

State of Maine

2020-2023 Unified State Plan

Workforce Innovation and Opportunity Act

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State Workforce Board

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CONTENTS

- I. WIOA State Plan Type and Executive summary 6**
 - I.(a) Plan Type..... 6
 - I.(b)Executive summary 7
- II. Strategic Planning Elements 9**
 - II.(a) Economic and Workforce and Workforce Development Activities Analysis 9
 - II.(b) State Strategic Vision and Goals 67
 - II.(c) State Strategy 75
- III. Operational Planning Elements79**
 - III.(a) State Strategy Implementation..... 79
 - III.(b) State Operating Systems and Policies..... 113
- IV. Coordination with State Plan Programs173**
- V. Common Assurances (for all programs)174**
- VI. Program Specific Requirements for Core Programs177**
 - Adult, Dislocated Worker and Youth Activities 177
 - Wagner-Peyser Act Program and Agriculture Outreach Plan (AOP)211
 - Adult Education and Literacy Programs240
 - Vocational Rehabilitation.....272
- Appendices278**
 - Appendix A: Glossary278
 - Appendix B: WIOA Steering Committee283
 - Appendix C: SWB Visioning Sessions.....285
 - Appendix D: Maine’s Public and Private Colleges and Universities.....294
 - Appendix E: Draft Infrastructure Funding Agreement Policy.....296
 - Appendix F: Response to Comments Regarding 2020-2023 Agricultural Outreach Plan316

TABLES

Table 1: In-Demand occupations	11
Table 2: Private Employers with More than 500 Jobs in the Coastal Counties Region, Second Quarter 2019.....	19
Table 3: Private Employers With More Than 500 Jobs in Central Western Region, Second Quarter 2019.....	22
Table 4: Private Employers With More Than 500 Jobs in Northeastern Region, Second Quarter 2019	25
Table 5: Maine’s Public Sector Investment (in Millions) in Workforce Development; WIOA Core Partner Programs.....	47
Table 6: Maine’s Public Sector Investment (in Millions) in Workforce Development; Other Publicly Funded Employment and Training Programs	50
Table 7: Maine’s Public Sector Investment (in Millions) in Workforce Development; Other Publicly Funded Education Programs	59
Table 8: Maine’s Public Sector Investment (in Millions) in Workforce Development; Additional Publicly-Funded Programs.....	61
Table 9: Maine’s Public Sector Investment in Workforce Development; Summary	63
Table 10: Adult Performance Goals PY2020 AND PY2021	69
Table 11: Dislocated Worker Performance Goals PY2020 AND PY2021	69
Table 12: Youth Performance Goals PY2020 AND PY2021	70
Table 13: Adult Education Performance Goals PY2020 AND PY2021	71
Table 14: Wagner-Peyser Performance Goals PY2020 AND PY2021.....	72
Table 15: Vocational Rehabilitation; Performance Goals PY2020 and PY2021	74
Table 16: State Workforce Development Board Membership Roster 2019.....	124
Table 17: Additional Commissioners and Higher Education Representatives Providing Input	126
Table 18: Title III Wagner-Peyser Performance PY18 Outcomes	140
Table 19: Adult Education Federal Participant Performance Outcomes	141
Table 20: Title I Allocation of Distributed Funds Under Three Local Areas	147
Table 21: Services Provided to Migrant Seasonal Farm Workers 2018-2019	221
Table 22: Projected Maine MSFWs by Crop.....	223
Table 23: Wagner-Peyser Service Goals for 2019-2020	226
Table 24: Outreach Field Visit Schedule.....	230

Table 25: State Monitor Advocate Local Office Monitoring Schedule.....	234
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FIGURES

Figure 1: Industries Projected to gain the Largest Number of Jobs in Maine	12
Figure 2: 25 Occupations with the Fastest Projected Rate of Job Growth	12
Figure 3: Sub-State Regions	15
Figure 4: Coastal Counties Index of Total Jobs	18
Figure 5: Central Western Index of Total Jobs.....	21
Figure 6: Northeastern Index of Total Jobs.....	23
Figure 7: Unemployment Rate	26
Figure 8: Ratio of Openings to Unemployed.....	27
Figure 9: Participation Rate	28
Figure 10: Labor Participation Rates	28
Figure 11: Civilian Labor Force	29
Figure 12: Organizational Structure--Employment Services.....	121
Figure 13: Organizational Structure--Rehabilitation Services	122
Figure 14: Organizational Structure--Adult Education	123

I. WIOA STATE PLAN TYPE AND EXECUTIVE SUMMARY

I.(a) PLAN TYPE

The following pages outline Maine’s four-year strategic and operational plan for enhancing its workforce. Maine, like the rest of the nation, is experiencing a healthy, thriving economy and historically low unemployment. This plan is developed with the intent of continuing the success of Maine’s businesses and helping people whose employment barriers have kept them from thriving in this economy.

This is a Unified Plan developed in accordance with the requirements¹ of the Workforce Innovation and Opportunity Act (WIOA)² and to establish the long-term agenda for Maine’s workforce development system. This plan covers the following programs authorized by the WIOA:

- Title I Adult, Dislocated Worker and Youth programs
- Title II Adult Education and Family Literacy Act Program
- Title III Wagner-Peyser Employment Services
- Title IV Vocational Rehabilitation Program

Under the direction of the State Workforce Board (SWB), the aforementioned programs and other stakeholders participated in facilitated sessions to develop the vision and priorities for the Unified Plan and to collaborate on the development of an integrated, performance-based employment and training system. This Unified Plan will result in: quality jobs for Mainers, employers matched with skilled workers, and a more efficient workforce development system (WDS).

¹ [Required Elements for submission of the Unified or Combined State Plan and Plan Modifications under the Workforce Innovation and Opportunity Act, September 5, 2019 https://www.doleta.gov/wioa/docs/State-Plan-ICR.pdf](https://www.doleta.gov/wioa/docs/State-Plan-ICR.pdf)

² A glossary of terms and acronyms is provided in Appendix A of this document

I.(b)EXECUTIVE SUMMARY

In late 2019, Governor Mills published a 10-year economic development strategy³ for the State of Maine. The strategy has two key components, increasing talent and spurring innovation. Maine's workforce is talented, skilled, and needs more participation. There are approximately 100,000 people in Maine who are of working age and not working. Many individuals have barriers to employment that they struggle to overcome. It is the State's goal to build bridges over these barriers, enabling all who wish to work to do so. We firmly believe that everyone has a place in Maine's economy.

Maine has numerous resources that contribute to its workforce development system. In order for that system to meet the needs of employers and workers alike, these resources must be better aligned and integrated across all sectors – public, private, non-profit and philanthropy. A high-quality workforce will enable Maine to better retain existing businesses, draw new ones that bring high quality and good paying jobs, and attract new workers to meet the goal set forth in Governor Janet Mills' economic development plan to add at least 75,000 people to our workforce over the next ten years.

The Unified Plan (Plan) starts with a clear vision:

Maine's residents and businesses will have economic opportunity and contribute to the growth of the state through a responsive, networked, and coordinated workforce development system across public and private sectors. The system will integrate all services into a seamless continuum resulting in increased educational and employment attainment for residents with a focus on careers and support Maine's business sectors with skilled and qualified workers. To realize its vision Maine will:

- Partner and respond to the talent needs of Maine employers
- Create a system of lifelong learning and employment connection for Maine residents
- Build an integrated workforce development infrastructure accountable to residents and businesses

Throughout the strategic planning process Maine's workforce system partners demonstrated a willingness to engage in the development of solutions and strategies that will meet the needs of

³ [Maine Economic Development Strategy 2020-2029](https://www.maine.gov/decd/strategic-plan) <https://www.maine.gov/decd/strategic-plan>

employers, workers, and Maine's economy. These actions will result in quality jobs for Maine residents, employers matched with skilled workers, and a more efficient workforce development system.

Maine's State Workforce Development Board (hereafter referred to as the State Workforce Board or SWB) directed the creation of this Unified Plan with the intent that the plan should reflect the state's unique workforce and economic development characteristics and challenges, as well as the ideas and solutions of the myriad stakeholders that comprise Maine's workforce development system.

Beginning in September 2016, the SWB formed a Workforce Innovation and Opportunity Act (WIOA) implementation steering committee that included the directors of Maine's local workforce investment boards and the directors of the authorized core programs: Adult, Dislocated Worker, Youth, Wagner-Peyser, Adult and Basic Education, and Vocational Rehabilitation⁴. The Steering Committee's role was to monitor the implementation of the State's workforce plan.

Maine used a collaborative process to establish the vision, goals, and strategies represented in this plan. During October, November, and December the SWB held sessions across the state where stakeholders including the administrators of core programs, local workforce board directors and members, secondary and higher education representatives, policy makers, advocates and employers participated in the visioning work represented in this Plan⁵.

⁴ See Appendix B for members of the WIOA implementation steering committee

⁵ See Appendix C for a list of sessions and participants

II. STRATEGIC PLANNING ELEMENTS

II.(a) ECONOMIC AND WORKFORCE AND WORKFORCE DEVELOPMENT ACTIVITIES ANALYSIS

II.(a.1) ECONOMIC AND WORKFORCE ANALYSIS

II.(A.1.A) ECONOMIC ANALYSIS

Economic conditions in much of Maine are positive going into 2020. In the last several years, growth has created new jobs and driven unemployment and other measures of the labor market to near record lows. These tight labor market conditions, with high numbers of job openings and rising wages, provide a positive environment for individuals but are a challenge for many employers seeking to attract and retain the staff they need.

While we are currently in a positive, expansionary environment, economic cycles still exist; we need to be prepared for the next downturn. In addition, the aging of our population presents a significant challenge to maintaining the size of our labor force in the years to come.

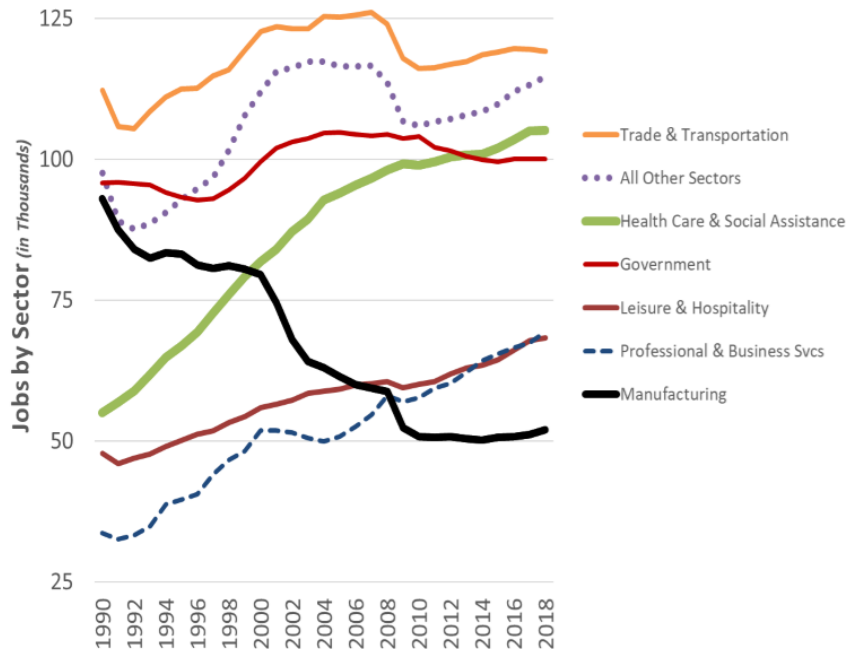
Recent Trends and Current Conditions

Total output of the economy increased at accelerating rates in recent years with gross domestic product reaching \$67 billion in 2019. The average of 633,000 nonfarm payroll jobs was up more than 4,000 from 2018, marking the ninth straight year of job growth. Though the recovery from the very deep recession of 2008 and 2009 was initially quite slow, conditions today are better by nearly every measure than before the decade-ago downturn.

ECONOMIC ANALYSIS

Existing Demand Industry Sectors and Occupations

Over the last three decades, the industry structure of jobs changed significantly. The most prominent trends were the near doubling of jobs in the healthcare and social assistance and the professional and business services sectors, as well as a sharp decline in manufacturing jobs. The types of jobs in sectors that are growing have different education, skill, and performance requirements than the types of jobs in sectors that are declining.



Regarding occupations, the ten highest occupational groupings employ almost three-quarters of those working in Maine. 2018 data available through the U.S. Bureau of Labor Statistics shows that the top three occupational groups for the state are Office and Administrative Support with 92,250 employees, Sales and Related Occupations with 57,760 employees, and Food Preparation and Serving-Related Occupations with 56,960 employees. These three groups, along with the others that round out the top ten, include approximately 451,000 employees and about 75 percent of Maine workers. The top ten categories and number of workers in each are provided in the following table. Standard Occupational Codes are also provided for reference. The top category, Office and Administrative Support, is comprised of such occupations as customer service representatives, administrative assistants, and stock clerks.

TABLE 1: IN-DEMAND OCCUPATIONS

Rank	Occupational Major Group	# Employed
1	Office and Administrative Support	92,250
2	Sales and Related	57,760
3	Food Preparation and Serving-Related	56,960
4	Education, Training and Library	41,760
5	Healthcare Practitioners and Technical	41,280
6	Transportation and Material Moving	36,360
7	Production	35,900
8	Management	35,630
9	Personal Care and Service	26,850
10	Construction and Extraction	26,140

Emerging Demand Industry Sectors and Occupations

Job openings and growth in the decade through 2026 are concentrated in two areas: human capital-intensive occupations that generally require postsecondary education and offer above average earnings and in labor-intensive functions that generally do not require high levels of education and offer lower than average earnings. Middle-income jobs that traditionally have had limited education or skill demands are either declining or rapidly changing, requiring increasingly higher levels of technology competency.

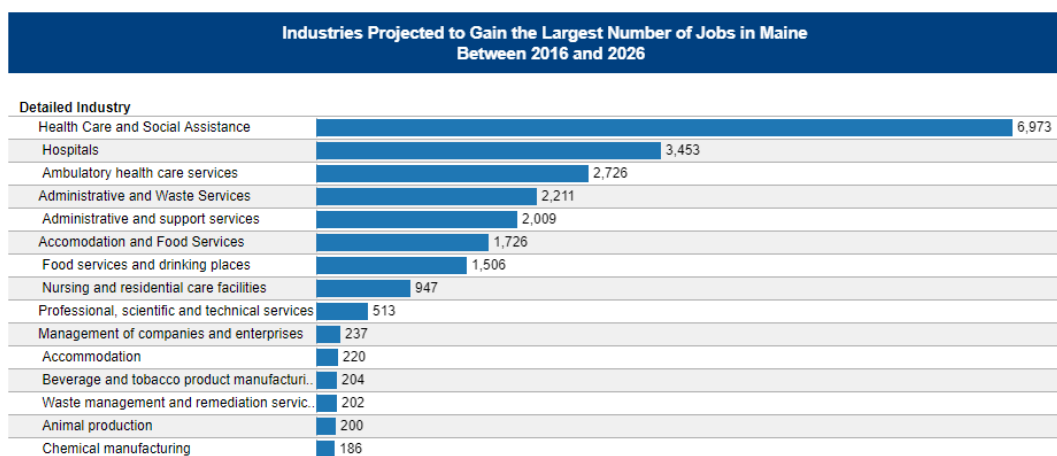


FIGURE 1: INDUSTRIES PROJECTED TO GAIN THE LARGEST NUMBER OF JOBS IN MAINE

Healthcare is the largest sector in Maine, accounting for nearly 17 percent of jobs. As the chart below shows, Maine will see the largest growth in healthcare-related sectors over the next several years.

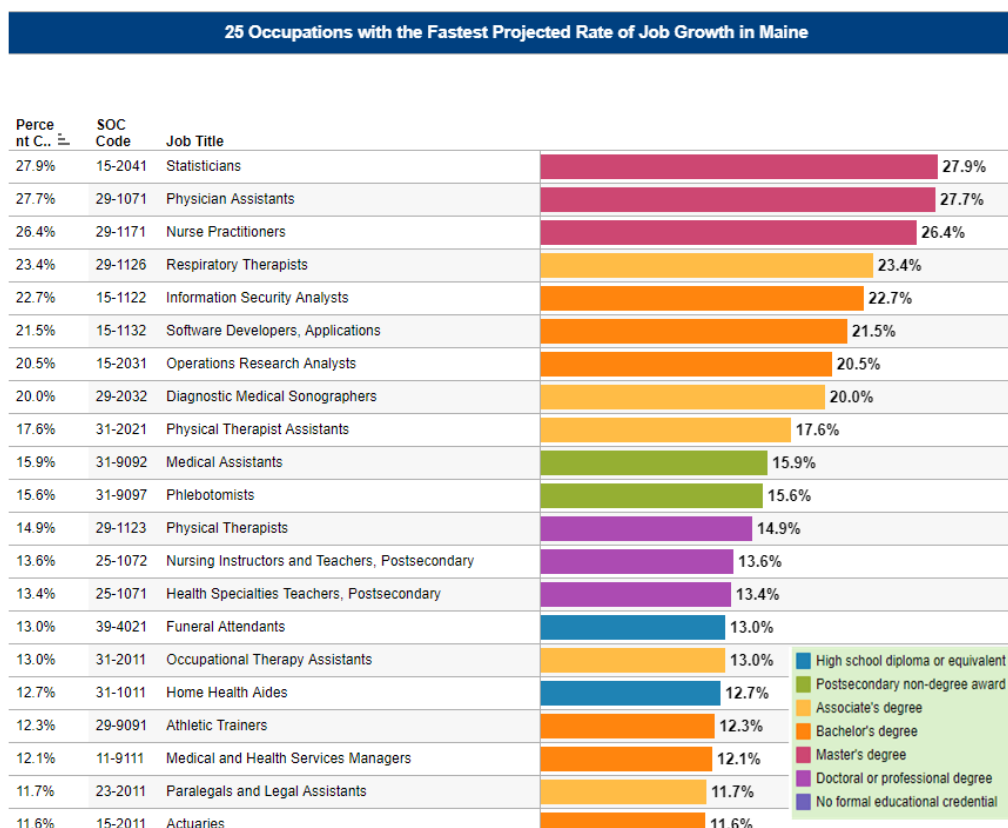


FIGURE 2: 25 OCCUPATIONS WITH THE FASTEST PROJECTED RATE OF JOB GROWTH

From an occupational standpoint, large numbers of physicians, nurses, laboratory, and diagnostic technicians will be required. Healthcare practitioner and technician occupations require postsecondary education ranging from certifications to highly advanced degrees.

Information technology (IT) is expected to continue to increase in importance across every sector of the economy with IT-related occupations continuing to be among the fastest growing. Many IT jobs not only require certification in certain applications but the types of applications, systems, and platforms are changing quickly, and require a flexible, adaptable workforce that is regularly pursuing additional education. Technology competency will increasingly pervade most occupations often in ways that cannot yet be anticipated.

Other areas of projected job growth include hospitality industries including food service and other associated occupations with mostly limited education and skill demands.

Manufacturing was the backbone that built many cities in Maine in the 19th and 20th centuries. Textile mills, shoe shops, paper and saw mills, and others provided middle income jobs for tens of thousands of workers without postsecondary education. The number of manufacturing jobs peaked in the late 1970s but declined sharply until about 2010 before stabilizing.

The forecast through 2026 is for fewer manufacturing jobs as automation continues to be adopted in an even wider range of processes. This will mostly impact the number of jobs in production occupations. This will also continue to be the case for jobs in administrative support occupations as office technology continues to advance which will allow people in professional and technical occupations to perform those functions digitally.

Regional Trends

Economic performance across the state has been uneven. Maine's economy is strongest in the south especially along the Interstate 95 and 295 corridors. The economy has been more limited in the central and mid-coast regions, while some counties along the northern rim of the state continue to lose residents and jobs.

There are a wide range of factors involved in the differing performance of regions. The economic structure of northern Maine is highly concentrated in forest products and agriculture. Advances in mechanization of harvesting of timber and crops, as well as other factors, have displaced thousands of workers from those industries over the years. Much of the region has not found the economic development solutions to replace those industries. This has caused stagnation or decline in many communities as a large share of young people leave for southern Maine or other states in search of

better job opportunities, leaving a generally older population behind. Several counties in Maine are among the oldest in the nation by median age.

Jobs are increasingly concentrated in and around cities primarily because stable and growing industries tend to be in densely populated areas. Healthcare, the strongest growing industry in Maine, is mostly concentrated in and around hospitals which are only found in places of population density. Law and accounting firms and other types of professional services, colleges, and some other industries that comprise a rising share of jobs also are primarily found in cities.

Maine has identified three regions for the purpose of aligning workforce development resources to regional economies as shown in the map on the following page. These regions are referred to as Northeastern, Central/Western and Coastal Counties. State and Local Boards considered factors such as alignment with economic development districts and postsecondary institutions, inclusion of major urban hubs and distribution of employment by industry. It is also very important to support partnerships already in place for community planning and development and appropriate distribution of financial resources for workforce development.

Sub-State Regions



FIGURE 3: SUB-STATE REGIONS

Several factors set the workforce board regions apart. The Coastal Counties region contains 49 percent of the population and 52 percent of jobs on just 12 percent of the land area, making by far the most densely populated of the regions. This region has high concentration of jobs in the financial services and hospitality sectors. Coastal Counties is the only region that has had population growth in the last decade. Some of that growth is from people moving from northern Maine in search of better job prospects.

The Central/Western region has 25 percent of the jobs and 28 percent of the population on 29 percent of the state's land area. The region has the state's highest concentration of jobs in manufacturing and education and--as home to the state capital--a large share of jobs in government. Farming and food production are burgeoning growth industries. Demographics and population declines are the region's most pressing issues; the outlying counties are projected to experience a decline in the working age population over the next two decades.

The expansive but sparsely populated Northeastern region represents nearly 60 percent of the state's land and 24 percent of the population. The region has 22 percent of the jobs in the state with relatively high concentrations in natural resources, government and retail. The Northeastern region also has the lowest share of manufacturing jobs. Many companies in this sector downsized or ceased operations, displacing thousands of workers over the years.

A more detailed discussion for each region follows below.

COASTAL COUNTIES REGION

The Coastal Counties Region is comprised of six counties and is the most demographically and economically diverse of Maine's three regions. Six of the ten largest municipalities in the state are in this region: Portland, South Portland, Brunswick, and Scarborough in Cumberland County and Biddeford and Saco in York County.

Given the size of the area, the region is generally classified into four distinct hubs for service delivery purposes.

York County, located in the southern area of the region, is the gateway to Maine. Its coastal plain contains Maine's most visited beaches and supports a large tourism base. Beyond tourism, York has several defined economic clusters related to defense-dependent industries, healthcare, retail, and manufacturing. Interstate 95, which runs north to south through York and Cumberland Counties, creates an east to west demarcation that separates the seasonal tourist industry of the beaches and larger commerce centers from the rural, agricultural, bedroom communities and, for the most part, small business and retail-centered communities. Commerce in extreme southwestern county towns is focused on New Hampshire where there is no sales tax.

Just up the coast, Cumberland County, is the most populated county, and home to Portland, the most significant commerce hub and the largest city in the state. Portland capitalizes on its strategic location. The city's port has had a resurgence of shipping and bulk cargo transfers and it is a major port of call for cruise ships. The city hosts the state's major airport and it is a hub for healthcare, banking, insurance, IT, bio tech, retail, and education. West of Interstate 95 is characterized by growing bedroom communities and retail expansion. The lakes and mountain regions focus on tourism and seasonal, recreational-based economies.

Sagadahoc, Lincoln, Knox, and Waldo counties, commonly identified as the mid coast, comprise the northern segment of the region. These counties are historically steeped in farming, dairy, and the traditions of the sea including boat building and fishing. Similar to York County, the mid coast

attracts and is supported by a significant influx of seasonal tourists. The three cluster communities of Brunswick, Topsham, and Bath form one of the major economic regions of the four-county mid coast. Shipbuilder Bath Iron Works is the largest manufacturer in the state. The nearby Brunswick Landing, which is the redevelopment of a former Naval Air Station, is one of the most significant commerce parks in the state. Healthcare, retail and colleges offer opportunities for growth on the southern end of the mid coast hub.

The closure of Brunswick Naval Air Station in 2011 presented a challenge for economic and workforce development in the region, potentially removing millions of dollars of economic activity from the region and reducing demand for a wide range of products and services. Redevelopment of the former base locations in Brunswick and Topsham is well underway and having a positive economic impact. To date, the project has attracted \$400 million in capital investment. Over 135 public and private entities employ more than 2,000 people in six target sectors: aerospace, composites, IT, bio tech, renewable energy, and education as well as other complementary industries.

The Boothbay/Damariscotta hub features a strong tourist industry, hosts Renys retail and distribution operations and Mölnlycke Medical, as well as two substantial boat builders, Washburn and Doughty and Hodgdon Yachts. The north end of this hub features the retail commerce cluster of Thomaston, Rockland, Rockport, and Camden. Major employers include Fisher Engineering, Dragon Cement, Penbay Medical Center and those associated with the tourist industry. Rockland, Rockport, and Camden are home to working waterfronts, both commercial and seasonal recreational. The one area of commonality among all four counties in this hub is the fact that tourism is a critical industry either on a transient or destination basis. Route 1 (the coastal route) hugs the coast, providing access points to the hundreds of miles of coast line and peninsular amenities found along the way.

Biggest Challenges:

- The tightening labor market--unemployment is at a historic low--has challenged many employers in their efforts to attract and retain the staff they need.
- Population demographics are impacting growth as mid coast counties, with a large share of retirees, are among the oldest in the nation.

Population and workforce trends in this region are more favorable than in the other two regions due to higher birth rates and in-migration, both from around the state and from outside it. Still, the region will be challenged by a rapidly aging population. Between 2016 and 2031, the Coastal

Counties population is projected to rise by 3.5 percent, though the working-age population is projected to decline somewhat.

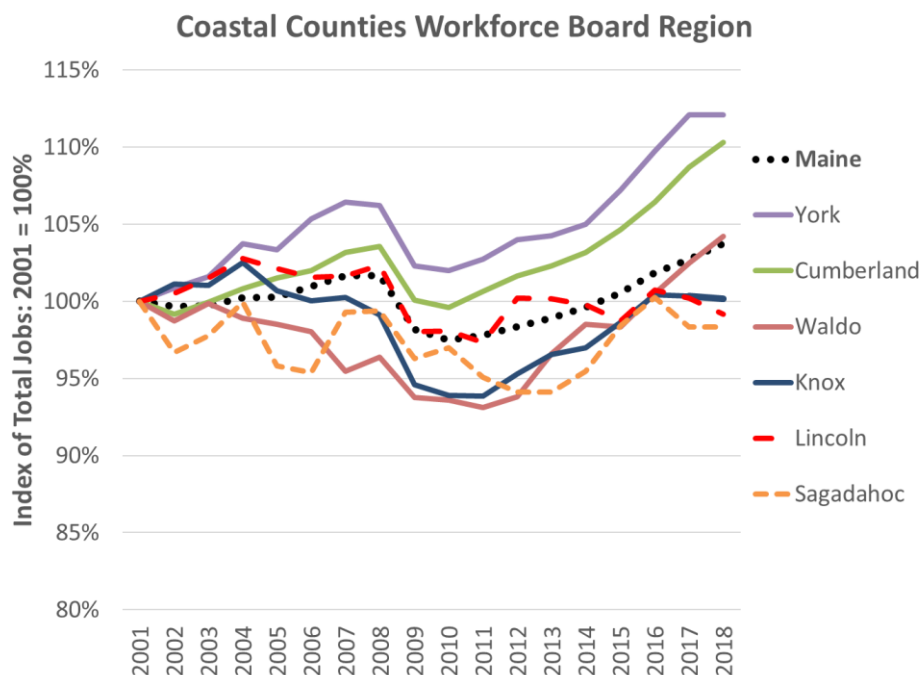


FIGURE 4: COASTAL COUNTIES INDEX OF TOTAL JOBS

Because the region comprises such a large share of jobs in Maine, its industry composition is not significantly different from the state's as a whole. The region has a slightly smaller share of government jobs than the statewide average. The distribution of other industries is nearly the same as the state.

The 2018 annual average unemployment rate of 2.9 percent in the region was well below the statewide average rate of 3.4 percent. Within the region, unemployment rates ranged from a low of 2.7 percent in Cumberland County to a high of 3.3 percent in Lincoln County.

Incomes are higher in the southern counties of York, Cumberland and Sagadahoc compared to the state and to the mid-coast counties of Lincoln, Knox, and Waldo. From 2013 through 2017, median household income ranged from a high of \$65,700 in Cumberland County to a low of \$50,200 in Waldo County. The state median household income is \$53,000⁶.

⁶ U.S. Census Bureau, 2013-2017 ACS

The range of incomes and unemployment rates across the six counties is due in large part to internal variations in economic structure. Southernmost York and Cumberland counties have the highest density of population and jobs. Together, these two counties account for 82 percent of the region's jobs, with an above-average share of jobs in growth industries (healthcare and social assistance, professional and business services, private education, and leisure and hospitality). The mid coast counties of Sagadahoc, Lincoln, Knox, and Waldo are less populated and more reliant on seasonal tourism, agriculture, and fishing. These counties have a below-average share of jobs in growing industries.

EMPLOYERS

In 2019 the largest private employers were primarily in the healthcare and social assistance, retail trade, and manufacturing sectors. The three southernmost counties have a concentration of jobs associated with national defense which includes the federal Portsmouth Naval Shipyard, Pratt and Whitney Aircraft Group, General Dynamics Armament Systems, and Bath Iron Works.

TABLE 2: PRIVATE EMPLOYERS WITH MORE THAN 500 JOBS IN THE COASTAL COUNTIES REGION, SECOND QUARTER 2019

Rank	Employer	Number of Jobs (Range)
1	MAINEHEALTH	12,501 to 13,000
2	BATH IRON WORKS CORP GEN DYNAMICS	4,001 to 4,500
3	HANNAFORD BROS CO	3,501 to 4,000
4	L.L. BEAN, INC.	2,501 to 3,000
5	UNUM GROUP	2,001 to 2,500
6	PRATT & WHITNEY AIRCRAFT GROUP	1,501 to 2,000
7	WAL MART	1,001 to 1,500
8	SHAWS SUPERMARKETS INC	1,001 to 1,500
9	MERCY HOSPITAL	1,001 to 1,500
10	MID COAST HOSPITAL	1,001 to 1,500
11	UNIVERSITY OF NEW ENGLAND	1,001 to 1,500
12	WEX LLC	501 to 1,000
13	IDEXX LABORATORIES INC	501 to 1,000
14	BOWDOIN COLLEGE	501 to 1,000
15	T D BANK N A	501 to 1,000
16	YORK HOSPITAL	501 to 1,000
17	MARTINS POINT HEALTH CARE CENTER	501 to 1,000
18	ATHENAHEALTH INC	501 to 1,000
19	TYLER TECHNOLOGIES INC	501 to 1,000

Rank	Employer	Number of Jobs (Range)
20	IDEXX DISTRIBUTION INC	501 to 1,000
21	GOODWILL INDUSTRIES OF NORTHERN NEW ENGLAND	501 to 1,000
22	LOWES HOME CENTERS LLC	501 to 1,000
23	INTERMED PA	501 to 1,000
24	BANK OF AMERICA, NA	501 to 1,000
25	SPURWINK SERVICES INCORPORATED	501 to 1,000
26	SWEETSER	501 to 1,000

The latest available statistics reveal that the majority of the region's workforce--280,300 primary job holders--lives and works within the area. About 56,600 resident workers commute to jobs outside the region, offset by 52,700 non-resident workers commuting into the region⁷.

CENTRAL/WESTERN REGION

The Central/Western Region encompasses 29 percent of Maine's land area. It is home to 28 percent of the state's population and 25 percent of private sector jobs. The largest population centers in the region are the cities of Lewiston and Auburn in Androscoggin County, and Augusta and Waterville in Kennebec County.

Similar to the state, the region will be challenged by a rapidly aging population. Between 2016 and 2031, the Central/Western Region is projected to lose two percent of its population, with a sharper decline in the working-age population.

In 2018, the annual average unemployment rate of 3.6 percent in the Central/Western region was close to the 3.4 percent statewide average. Unemployment rates ranged from lows of 3.2 and 3.3 percent in Kennebec and Androscoggin counties to a high of 4.8 percent in Somerset County.

⁷ 2017, *OnTheMap*, U.S. Census Bureau

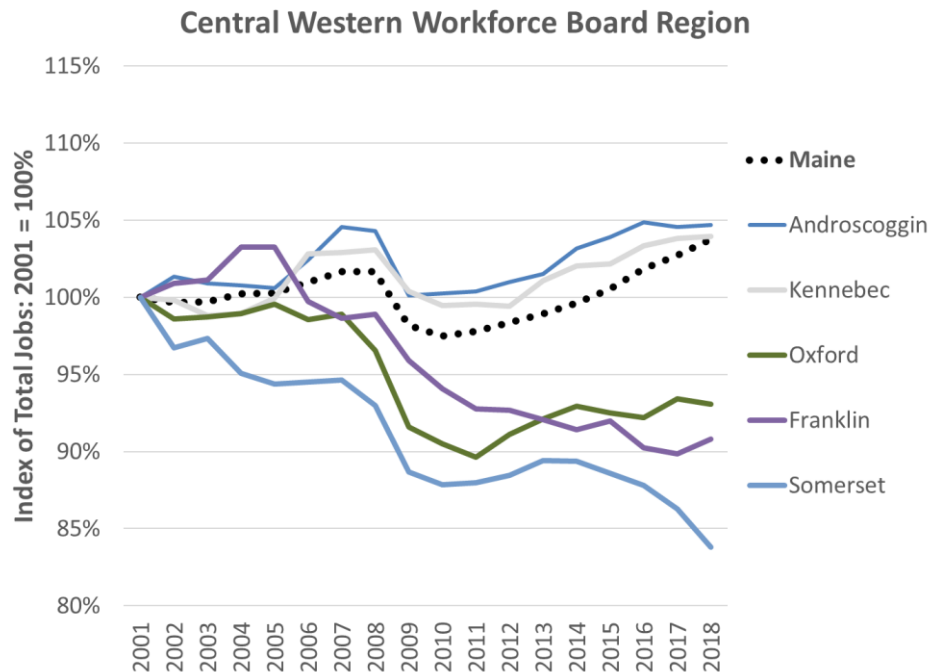


FIGURE 5: CENTRAL WESTERN INDEX OF TOTAL JOBS

The disparity of unemployment rates across the five counties is due in large part to variations in the economic structure within the region. The central more populous counties of Androscoggin and Kennebec—have more job opportunities than the more sparsely-populated rim counties of Franklin, Oxford and Somerset.

The economic base in Androscoggin and Kennebec counties is diversified across a broad spectrum of industries, with higher concentrations of jobs in professional and business services, transportation and warehousing, and healthcare than the region or the state. In addition, Kennebec County is home to Augusta, Maine’s capital city, and has a significant concentration of jobs in state government. Kennebec and Androscoggin counties are home to 72 percent of jobs in the region.

In the rim counties, the economy is less diverse and more concentrated in forestry-related industries, seasonal agriculture and hospitality, including major ski resorts.

Within the region, incomes are higher in the central counties of Androscoggin and Kennebec compared than the western counties of Franklin, Oxford, and Somerset. From 2013 through 2017, the median household income ranged from a high of \$50,100 in Kennebec County to a low of

\$41,500 in Somerset County. Median household income was lower in each county in the region than the state median income of \$53,000⁸.

EMPLOYERS

In 2019, the largest private employers were primarily in the healthcare and social assistance, manufacturing, and retail trade sectors.

TABLE 3: PRIVATE EMPLOYERS WITH MORE THAN 500 JOBS IN CENTRAL WESTERN REGION, SECOND QUARTER 2019

Rank	Employer	Number of Jobs (Range)
1	MAINEGENERAL MEDICAL CENTER	2,501 to 3,000
2	WAL MART SUPERCENTER	2,001 to 2,500
3	CENTRAL MAINE COMMUNITY HEALTH CORP	1,501 to 2,000
4	HANNAFORD BROS CO	1,501 to 2,000
5	T D BANK N A	1,001 to 1,500
6	ST MARY'S REGIONAL MEDICAL CENTER	1,001 to 1,500
7	MAINEHEALTH	1,001 to 1,500
8	COLBY COLLEGE	501 to 1,000
9	BATES COLLEGE	501 to 1,000
10	T MOBILE USA INC	501 to 1,000
11	NEW BALANCE ATHLETIC SHOE INC	501 to 1,000
12	S D WARREN	501 to 1,000
13	JOHN F MURPHY HOMES INC	501 to 1,000
14	REDINGTON MEDICAL PRIMARY CARE	501 to 1,000
15	ND PAPER INC	501 to 1,000

Statistics describing worker flow into and out of the Central/Western region reveal that 71 percent of the region's 145,000 resident primary jobholders lived and worked within the area. In 2017, about 46,000 resident workers commuted to jobs outside the region, partially offset by 36,700 nonresident workers commuting into the region to work, for a net outflow of 9,300 commuters⁹.

⁸ U.S. Census Bureau, 2013-2017 ACS

⁹ 2017, *OnTheMap*, U.S. Census Bureau

NORTHEASTERN REGION

The five counties comprising Northeastern Region encompass 59 percent of Maine's land area. They are home to 25 percent of the state's population and 23 percent of private sector jobs. The largest population centers in the region are the cities of Bangor, Orono, and Brewer in Penobscot County and Presque Isle and Caribou in Aroostook County.

Like the state, the region will be challenged by a rapidly aging population. Between 2016 and 2031 the region is projected to lose 1.3 percent of its population, with a sharper decline in the working-age population.

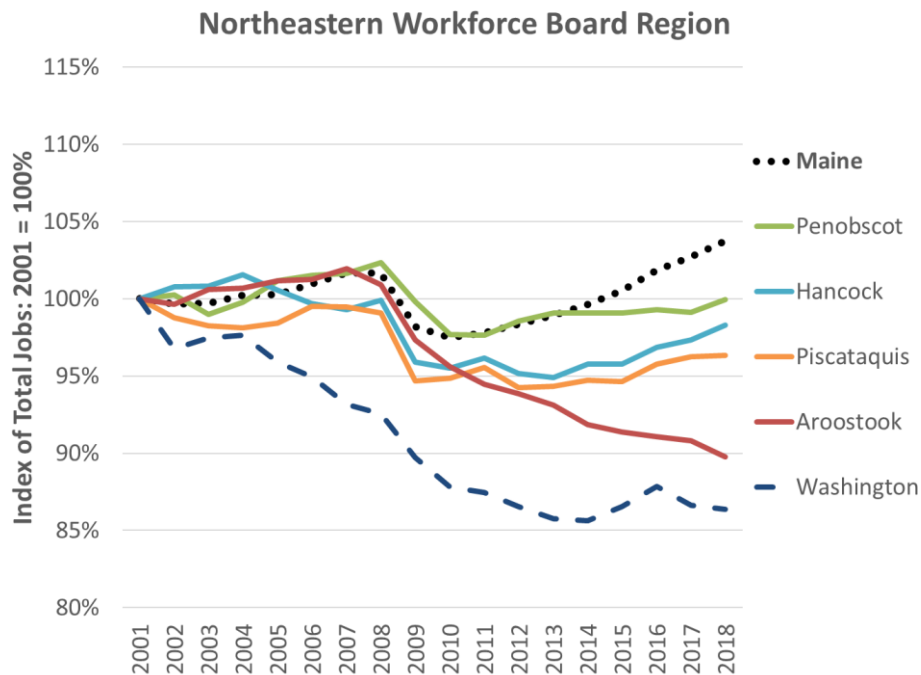


FIGURE 6: NORTHEASTERN INDEX OF TOTAL JOBS

The 2018 annual average unemployment rate of 4.1 percent was higher than the 3.4 percent statewide average. Within the region, unemployment rates ranged from a low of 3.8 percent in Penobscot County to a high of 4.9 percent in Washington County.

The disparity of unemployment rates across the five counties is due in large part to the diverse makeup of the region's economic structure. The more densely populated Hancock and Penobscot Counties offer better job prospects than the sparsely populated northern and eastern counties of Piscataquis, Aroostook, and Washington.

There are three distinct economies within the region: coastal Hancock and Washington counties, regional service centers in Bangor and Presque Isle/Caribou, and Piscataquis, interior Hancock, Washington, and rural Penobscot and Aroostook counties.

The economic base in coastal Hancock and Washington counties is dependent on seasonal, tourism-related commerce and maritime trades, with concentrations of jobs in hospitality, retail, and construction industries.

The economic base in the Bangor metropolitan area and Presque Isle/Caribou is diversified across a broad spectrum of industries with relatively large shares of private jobs in retail, wholesale trade, health care and social assistance. These areas are commercial and regional centers for government administration and educational services.

Away from the coast and outside of its service areas, the region is rural. The economic base is heavily dependent on natural resource-based industries (farming and logging), woods-based manufacturing and seasonal tourism. Relatively high concentrations of private jobs occur in natural resources, retail and manufacturing industries.

The industry structure of the Northeastern Region features higher concentrations of jobs in government, healthcare and social assistance, and retail trade. Five percent of the region's jobs are in natural resources and mining compared to one percent statewide.

Within the region, incomes were higher in the central Hancock and Penobscot counties than the northern and eastern counties of Aroostook, Piscataquis, and Washington. From 2013 through 2017, the median household income ranged from a high of \$51,400 in Hancock County to a low of \$38,800 in Piscataquis County. Median household income was lower in each county in the region than the state median wage of \$53,000¹⁰.

¹⁰ U.S. Census Bureau, 2013-2017 ACS

EMPLOYERS

In 2019, the largest private employers were primarily in the healthcare and social assistance, retail, and manufacturing sectors.

TABLE 4: PRIVATE EMPLOYERS WITH MORE THAN 500 JOBS IN NORTHEASTERN REGION, SECOND QUARTER 2019

Rank	Employer	Number of Jobs (Range)
1	EASTERN MAINE MEDICAL CENTER	3,001 to 3,500
2	WAL MART	1,001 to 1,500
3	HANNAFORD BROS CO	1,001 to 1,500
4	THE JACKSON LABORATORY	1,001 to 1,500
5	NORTHERN LIGHT HEALTH	501 to 1,000
6	ST JOSEPH HOSPITAL INC	501 to 1,000
7	THE AROOSTOOK MEDICAL CENTER	501 to 1,000
8	PENOBSCOT COMMUNITY HEALTH CARE	501 to 1,000

Statistics describing worker flows into and out of Northeastern region reveal that most of the region's 116,600 primary job-holders lived and worked within the area. In 2017, about 7,400 resident workers commuted to jobs outside of Aroostook-Washington counties, partially offset by 4,400 non-resident workers who commuted in. About 20,100 resident workers commuted to jobs outside of the Penobscot, Piscataquis, Hancock counties, offset by 20,100 non-resident workers who commuted into the three counties¹¹.

Employers' Labor Force Needs

Employment has shifted towards industries with a greater share of educated workers. Over the last two decades, industries recording employment gains had a higher share of workers with a bachelor's degree than industries that shed jobs. The education, health, business, and professional services industries have a higher than average share of workers with a bachelor's degree. Conversely, manufacturing and construction, which have shed thousands of jobs, have a lower than average share of workers with a bachelor's degree.

¹¹ 2017, *OnTheMap*, U.S. Census Bureau

The changing educational needs of employers reflect the changing nature of work, that is, the shifting occupational structure of the workplace. Changes that have been taking place and are expected to continue include:

- An increase in higher level jobs and a decline in traditional manual occupations
- Movement from skills associated with manual dexterity toward skills associated with understanding and monitoring complex systems
- A shift away from routine processes toward coordination and collaboration
- An increase of general work skills required in many jobs such as the ability to use computers
- Expanded need for communication skills
- Jobs that include a broader range of responsibilities

Even among production workers, the demand for highly educated workers has grown. Since 1990 the share of production workers with some college or an associate degree and a bachelors' degree rose by 15 percentage points and two percentage points, respectively, even as the number of workers fell by 52 percent.

II.(A.1.B) WORKFORCE ANALYSIS

Employment and Unemployment

The statewide seasonally adjusted unemployment rate was near three percent throughout 2019, and as the year closes, it has been below four percent for 48 consecutive months—more than twice the previous record. The graph below shows that Maine's unemployment rate since the recession has been below the national average.

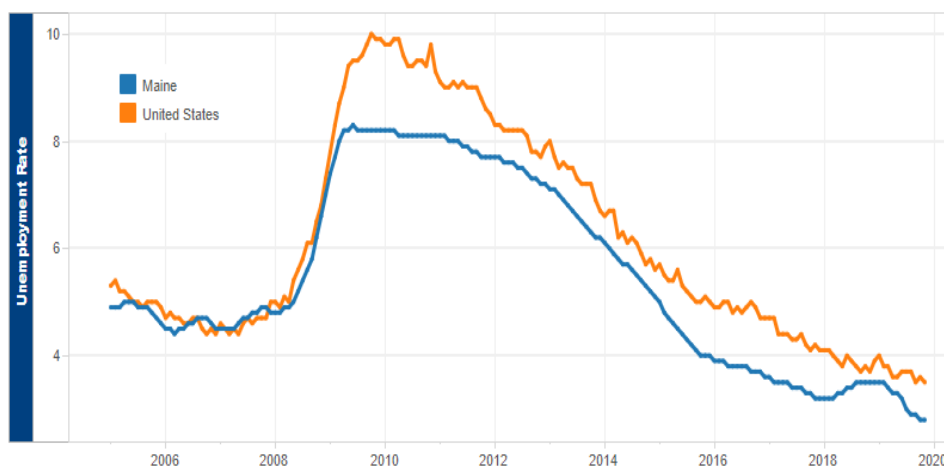


FIGURE 7: UNEMPLOYMENT RATE

These positive conditions pushed the job openings rate to new highs in 2019. The job openings rate in Maine was not markedly different than for the nation. Due to the large influx of summer tourists, however, there is much more seasonality to openings in Maine than in most of the nation. Hospitality businesses that cater to tourists, especially in communities along the coast, have been particularly challenged to attract the staff they need during the peak season in the summer and early fall. This situation has been exacerbated by a reduction in seasonal H2B visa workers that previously had been an important source of labor during those peak months of the year. The graph below shows that there have been more job openings than unemployed people in the United States for the last two years; in Maine that has been the case for three years.

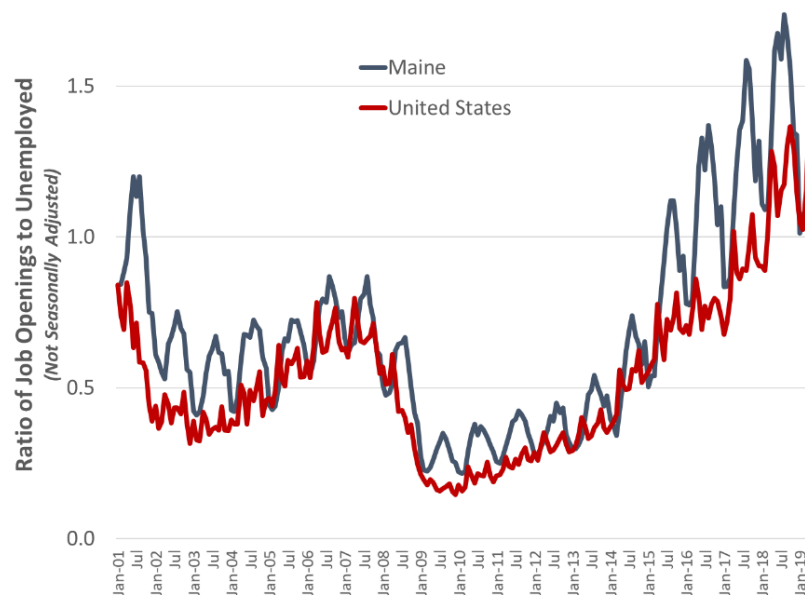


FIGURE 8: RATIO OF OPENINGS TO UNEMPLOYED

The Labor Force Participation Rate measures the share of the population age 16 and over that is employed or actively seeking employment. The graph below shows that the labor force participation rate in Maine and across the country has declined over the last two decades. This follows a pronounced rise in participation in the previous three decades. Maine's current labor force participation rate of 62 percent is the lowest since 1983, but it is higher than at any point before that.

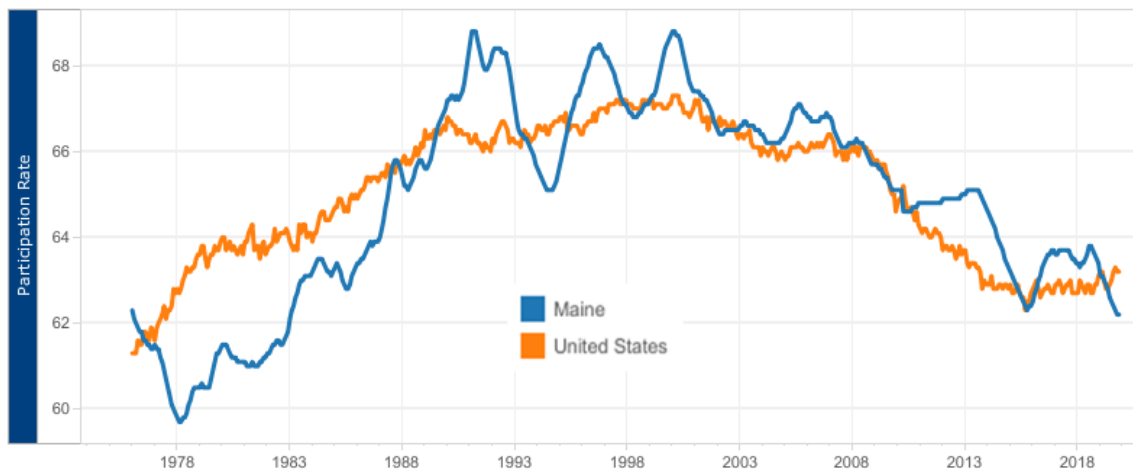


FIGURE 9: PARTICIPATION RATE

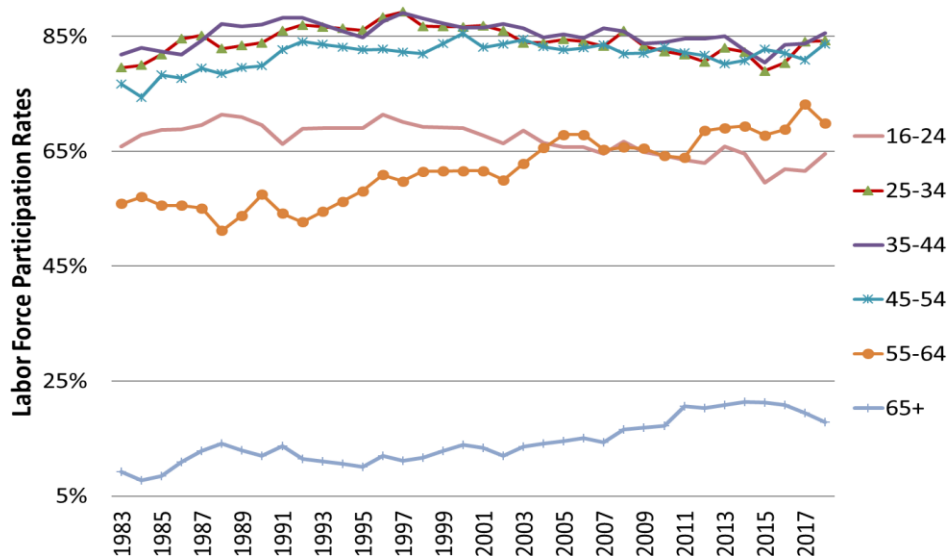


FIGURE 10: LABOR PARTICIPATION RATES

The decline in participation over the last two decades is due to the advancing age of the large baby boom generation, the same reason it increased in the previous three decades. In the 1970s and 1980s, many baby boomers entered the labor force. In the 2000s, boomers began to move beyond the 25 to 54 peak age of participation. As the graph on the following page shows, participation rates have not changed much over the years in the three age cohorts that include people aged 25 to 54. However, participation is up in older cohorts as people now tend to work well into their 60s, and down among those under 25 years of age as more are enrolled in school than in the past.

Close to 425,000 people age 16 and over in Maine are not employed, while just 22,000 of those are classified as “unemployed.” Those who are unemployed are people who are able and available to work and are actively looking for work. While they are between jobs, unemployed people are considered to be in the labor force. The rest of those who are not employed are not in the labor force for a variety of reasons. They may be retirees, full-time students, homemakers raising children. They may have a disability or some other barrier that prevents them from working.

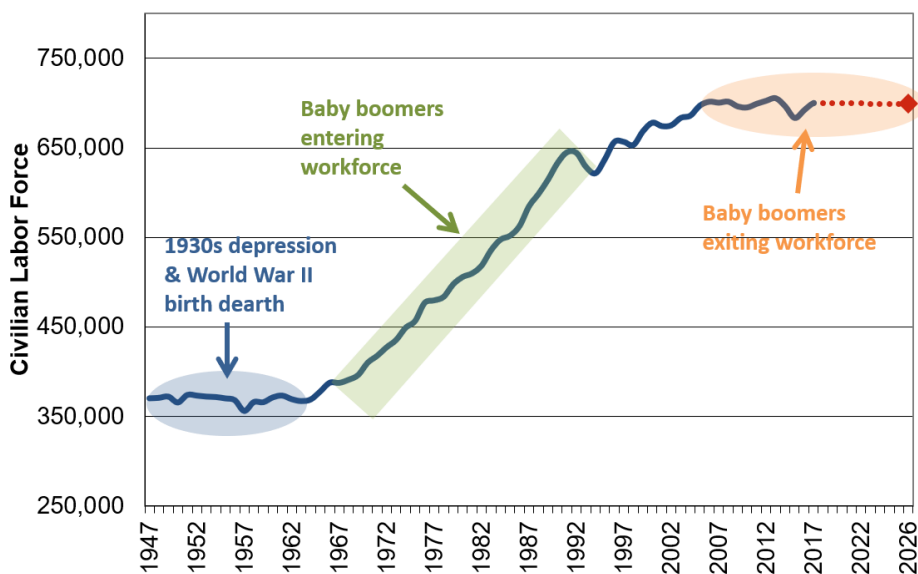


FIGURE 11: CIVILIAN LABOR FORCE

Taking a longer view of the labor force, the growth that was the norm in the three decades before the turn of the 21st century has not been present for the last two decades. This is because of a decline in the number of births over the last five decades especially since the 1990s. As baby boomers born in the two decades after World War II advance in age to retirement, fewer young people are aging into the labor force to replace them. Succession planning for employees and business owners will be critical as these individuals move to retirement. The State projects a relatively flat trend in its labor force over the next decade.

Education and Skill Levels of the Workforce

A look at employment rates (the share of the population that is employed) of the working age population is illustrative of the very different outcomes those with limited education face compared

to those with higher educational attainment. Data from the American Community Survey 2018¹² one-year estimates, includes outcomes for Maine people aged 25-64. The data shows that 53 percent of those with less than a high school diploma are in the workforce compared to 74 percent of those with a high school diploma and 87 percent of those with a bachelor's degree or higher. Further, unemployment decreases as education levels increase even in this current period of low unemployment. Unemployment is eight percent for those without a high school diploma and decreases to four percent for those with a high school diploma and two percent for those with some level of post-secondary education.

Educate Maine's report on Education Indicators for Maine 2018 states that approximately 87 percent of Maine students graduate from high school in four years, placing Maine above the national average for high school completion. However, only 55 percent of the state's high school graduates enroll in some form of postsecondary education. Of those who begin college, only 46 percent return for a second year and 30 percent receive a two- or four-year degree. The rates of enrollment and completion are substantially different based on the economic standing of the student. Only 16 percent of students who are economically disadvantaged receive their two- or four-year degree.

Occupational projections to 2022 indicate that 60 percent of net job growth is expected to occur in occupations requiring some form of postsecondary training or credential, including 35 of the 50 fastest growing occupations. Workers entering or returning to the job market with lower levels of education find a much more challenging environment to prosper in than was the case not many years ago.

Skills Gap

There has been a great deal of discussion about a rising skills gap as the recovery has advanced and unemployment rates have reached very low levels. Many businesses and trade associations assert that the available labor force lacks the knowledge and skills they need. This has been widely reported in the media.

It is challenging to quantify the gaps between the skills that employers seek and those that job seekers possess. Skills are attributes of performance requirements, ranging from basic functions such as hand-eye coordination, repetitive machine feeding, and instruction following, to advanced functions such as deductive reasoning, analytical thinking, and complex problem solving. At present,

¹² American Community Survey 2018 ACS 1-Year Estimates

there is no way to catalog or inventory skills to determine who possesses what skills and at what level. Additionally, employer requirements for certain functions vary.

Though we cannot broadly define or measure skill gaps, we can see indications of a mismatch between employer needs and the available workforce in job trends over the last decade. There are declining numbers of jobs in production, administrative support, and other functions that value physical labor, routine tasks, and direction following. There are rising numbers of jobs in managerial, professional, and technical occupations that require skills in critical thinking, problem solving, reading comprehension, social perceptiveness, communication, and other more cognitively-oriented functions. The transition from operating a production machine in a manufacturing environment to operating a diagnostic imaging machine in a hospital, for example, is complicated. This transition and many others involve learning entirely new technical skills and different ways of interacting with customers and coworkers.

INDIVIDUALS WITH BARRIERS TO EMPLOYMENT

PRIORITY POPULATIONS

Stakeholders and businesses in Maine grasp the need to prioritize services that will facilitate participation of **all** potential members of the labor force. They will continue to work to implement strategies that alleviate barriers to attaining employment.

SWB advocates on behalf of individuals facing challenges to employment. An official standing committee is charged with examining the barriers specific target populations face and developing recommendations that address such barriers. SWB promotes employment without discrimination based on the basis of gender, race, age, ethnicity, national origin or other barriers.

Individuals with barriers to employment include the following:

- Displaced homemakers
- Eligible migrant and seasonal farmworkers
- English language learners and those facing substantial cultural barriers
- Formerly incarcerated
- Foster care youth or youth transitioning out of foster care
- Homeless individuals
- Native American Indians, Alaskan Natives, and Native Hawaiians
- Individuals with disabilities, including youth with disabilities

- Individuals with low literacy levels
- Older individuals
- Individuals within two years of exhausting lifetime eligibility for TANF
- Long-term unemployed individuals
- Low income individuals
- Single parents

PERSONS WITH DISABILITIES

Maine can rightly claim a long standing and abiding concern with the employment issues facing people with disabilities. Addressing these issues and increasing the workforce participation of this population must be a priority to improve the economic wellbeing of individuals with disabilities but also for the state as a whole.

From 2013 through 2017, an average of 208,600 persons with one or more disabilities resided in Maine, equal to about 16 percent of its civilian non-institutionalized population of 1.3 million. This proportion was higher than that of the United States in which an estimated 13 percent of residents had a disability. The age distribution of the civilian noninstitutionalized population with disabilities differs from the general population (with and without disabilities) and has a higher share of persons over 64 and a lower share in cohorts 64 or younger. In Maine, nearly 40 percent of the population with disabilities is over 64 years, more than double the comparable share of the general population (18 percent).

Adults with disabilities in Maine are less likely to be employed than adults without disabilities. Fewer than half work or seek work; the unemployment rate among adults with disabilities is three times that of other working age adults. From 2013 through 2017, 33 percent of working-age Mainers with disabilities were employed compared to 80 percent of those with no disability. Those who do work earn less than workers with no disability. Median earnings of workers with disabilities were \$18,434 in a twelve-month period, compared median earnings of \$31,217 among workers with no disability. Adults with a disability are more likely to live in or near poverty regardless of work status and are less likely to have postsecondary education than adults with no disability.¹³

¹³ [Maine Workers with Disabilities](http://www.maine.gov/labor/cwri/disabilities/) <http://www.maine.gov/labor/cwri/disabilities/>.

The Commission on Disability and Employment (CDE):

The CDE was established by the Maine Legislature in 1997. It promotes collaboration with the public and private sectors to increase awareness of and influence policy related to employment for people with disabilities. Its members envision a Maine workforce that includes all people with disabilities employed in jobs that meet both their economic and personal needs. The CDE issues a formal annual report that includes recommendations to the Governor and Legislature.

WOMEN

According to the June 2016 brief *Gender Pay Gap- Recent Trends and Explanations*¹⁴, issued by the Council of Economic Advisors, women represent approximately 47 percent of the labor force. On average, women make 79 cents for every \$1.00 earned by men in similar occupations. This gap is even larger when race and ethnicity are factored in. A non-Hispanic Black woman earns 60 cents to a non-Hispanic White man's \$1.00, a Hispanic woman earns 55 cents. While the disparity is smaller, women of color make less when compared to men of color.

The *2017 Report on the Status of Women and Girls in Maine*¹⁵ was presented as a series of one-page briefs presented to the Maine Legislature and covers the topics of economic security, freedom from violence, health and education. The report indicates that Maine women continue to be drawn to jobs that are traditionally female and, as such, traditionally pay low wages. Despite long-term efforts to encourage Maine women to explore traditionally male, high-wage occupations such as the construction trades, those jobs often require travel to different areas, overnights or weeks away from home, longer work days, and other issues that specifically impede women from entering them particularly those who are single parents with childcare needs.

Single heads of household are made up more of women than men, due, in part, to the fact that women live longer than men (more widowed), but also because more remain unmarried or divorced. According to the U.S. Census Bureau's American Community Survey, this population group included an estimated 33,570 females with nearly 40 percent of these households living in poverty.

¹⁴ [Gender Pay Gap- Recent Trends and Explanations](https://obamawhitehouse.archives.gov/sites/default/files/page/files/20160614_gender_pay_gap_issue_brief_cea.pdf)

https://obamawhitehouse.archives.gov/sites/default/files/page/files/20160614_gender_pay_gap_issue_brief_cea.pdf

¹⁵ [2017 Report on the Status of Women and Girls in Maine](https://www.maine.gov/sos/womens-comm/documents/MePCSW2017Report.pdf) <https://www.maine.gov/sos/womens-comm/documents/MePCSW2017Report.pdf>

The Women's Employment Committee:

The Women's Employment Committee (WEC) is committed to taking action on current factors affecting women's participation in the workforce such as the gender wage gap and affordable dependent care. Committee members review women-specific employment issues and develop recommendations to the SWB that remove barriers which prevent women from attaining economic success and security and that result in legislation supporting full economic opportunity for all Maine women. Five years ago, the WEC produced a report entitled "Working Women in Maine, Indicators for Progress" which featured quantifiable benchmarks to measure, monitor, and evaluate Maine's progress in achieving economic opportunity and security for all Maine women. WEC has identified the following program and policy priorities for the next five years:

Education and Training:

- Affordable, accessible college and degree attainment, including advising services to help women and girls of all ages become informed about higher education and how to plan for college or other pathways to earning credentials
- Access to comprehensive workforce preparation, training, and support services that help women and girls to develop foundational skills and transition to education and employment leading to higher paying jobs in growth sectors
- Access to support services to assist them as adult learners to persist and achieve degree attainment, including such services as scholarship assistance, healthcare, access to child and elder care, and transportation resources

Employment and Business Ownership:

- Pay equity and paycheck fairness, including minimum wage increases
- Family-friendly workplace policies and benefits, such as paid sick and family medical leave health insurance, retirement, flexible work options, support for education and advancement
- Training and technical assistance to employers to build and sustain a diverse workforce
- Support for women's entrepreneurship and business ownership for starting and growing their own businesses

Financial Education and Asset Ownership:

- Access to timely and relevant financial education and coaching services
- Support for multi-generational savings and asset building strategies (education, business, home ownership) and equitable tax policies which address the income gap
- Increase retirement savings options including protecting Social Security

Address Barriers to Economic Security for Women:

- Access to affordable healthcare and family planning services
- Access to affordable and available child and elder care services
- Affordable and energy-efficient housing and transportation options
- Freedom from violence and sexual harassment
- Support for leadership development of girls and women to contribute to the workforce, business ownership, and public life

RURAL RESIDENTS LACKING RELIABLE TRANSPORTATION

Maine is a geographically large, rural state in which those without affordable, reliable transportation face significant barriers to accessing occupational training and employment. Rural communities in the state's three regions have limited or non-existent public transportation services. The larger cities are served by municipal or regional bus services, but intercity bus links are limited. Stakeholders must work to identify new ways for rural Mainers to access workforce and educational resources. Some do not have access to high-speed internet and many lack basic computer literacy skills.

Partnering with Maine's Public Library System

Workforce boards will work to promote the resources of Maine's public library system as a key partner in addressing this issue. Maine has over 266 public libraries, the smallest of them serving an island population and the largest serving urban hubs (Portland, Lewiston-Auburn, and Bangor). Libraries are vital centers of community access to technology and resources for online learning. Recent surveys reveal that 750,000 Mainers have a library card. Over 1.7 million high speed internet sessions took place through 230 libraries. (Each library has between 100 mbps to 1 gigabit of fiber connections.) Maine libraries offer safe, family welcoming environments where single parents can access job search resources with children in tow. They offer informal training in digital literacy from tools to set up email accounts (which are needed to register for labor exchange and file unemployment claims) to assisting with uploading resumes to various job sites.

In partnering with Maine's public library system, workforce providers can promote participant access to resources in the Digital Maine Library, specifically, the Career Preparation, Adult Skills and Computer Skills Center. The Digital Maine Library also provides access to "Career Transitions," an online resource for job seekers that assists them in finding sustainable employment. The Maine State Library invests state and federal dollars as well as money from the Maine MTEAF (Maine Telecommunications Access Fund) to provide a vast array of resources for all Maine citizens. The Career Preparation Center provides specific occupational practice tests that assess and provide online skill development through varied occupationally-specific tools that address readiness to enter careers from allied health to homeland security. Residents can also access tools that prepare them to pass high school equivalency exams such as the High School Equivalency Test (HiSET) and post-secondary entrance exams such as the Scholastic Aptitude Test (SAT) or Accuplacer.

Local Boards will develop agreements with regional libraries and, using best practices already available in state, engage in staff cross-training that will inform workforce system staff about the resources libraries offer and how to promote these to their customers. Library staff, in turn, will become versed in promoting the programs and resources provided through CareerCenters.

When the CareerCenter closed in Waterville, the Waterville Library (Library) established an active partnership to provide access to career services and expertise from agencies such as the Augusta CareerCenter, New Ventures, the Kennebec Valley Community Action Program, Chambers of Commerce, local workforce boards. The Library has fully integrated and embedded workforce development as part of its mission and activities. The Library hosts itinerant staff from the Augusta CareerCenter who are able to provide employment and training services as well as a local job fair.

Many public libraries can assist members of the public who are not digitally literate, including those who either do not have access to or do not know how to navigate the internet or on-line resources. All partners must continue to engage in creating solutions because the need for this level of one-on-one digital guidance far outstrips the capacity of either library or CareerCenter staff to address alone.

OLDER WORKERS

Older workers in Maine face considerable barriers to employment. The median age in Maine is 44.6 years compared to the national average of 38.1. This segment of Maine's population is large and growing rapidly. In 2018, 21 percent of the population was over age 65; by 2036 this figure is expected to increase to 28 percent. As the first baby boomers reach traditional retirement age, labor force participation among older workers will increase. As increasing numbers age into their 70s and beyond, labor force participation is likely to decline. This initial increase presents an opportunity to find ways to capitalize on the skills and experience of older workers who continue to work, either in their current careers or in "encore" careers.

Proven strategies to engage older workers include educating employers about the benefits of hiring older workers who, as a cohort, are recognized for their expertise and skills, judgement, commitment to quality, and demonstrated work ethic. Older workers are valued for their flexibility regarding work hours, schedules, place and benefits, deferred retirement option plans, job sharing, and workplace accommodations.

The Older Workers Committee:

The SWB's Older Workers Committee (OWC) is dedicated to working with employers, employees, retirees, and older worker advocacy groups.

Members of OWC work to promote the value of Maine's workers (age 55+) through advocacy, education, and policy development. The main objective of OWC is to address the needs of older workers and their employers. The OWC instituted the "Silver Collar Employer Award" to recognize employers in Maine whose policies and practices fulfill the needs of older workers.

FORMERLY INCARCERATED

The formerly incarcerated often face barriers re-entering life outside of the corrections system. The Maine Department of Corrections (DOC) estimates it will release 6,000 prisoners from its facilities within the next five years. Based on the current population, at the time of their release, 31 percent of these individuals will have reading skills comparable to the middle school level and 76 percent will be similarly prepared in math. This lack of proficiency in math, reading and other skills create barriers to employment. The lack of employment prospects often lead to other problems such as securing housing and accessing support services.

Finding employment after release greatly reduces the likelihood that an individual will commit another crime. Workforce service providers assist those transitioning out of the corrections system

to access job search assistance resources, but system partners will need to work more closely with employers to identify ways they can best capitalize on this prospective labor pool. Evidence-based approaches will be promoted. Some local areas are currently launching projects that include provision of career services in pre-release and county jails that educate soon to be released inmates about job search and workforce training resources and that establish relationships between them and prospective employers. Maine is also working with employers to reduce concerns about hiring formerly incarcerated. Previous job fair-like events have been held at two Maine State Prison facilities. Employers who attended reported that it helped to better understand the system as well as the rehabilitation and education programs in which inmates participate. In addition, Maine is promoting the Work Opportunity Tax Credit (WOTC) and the Federal Bonding Program as incentives to employers considering hiring justice-involved individuals. The MDOL and DOC recently agreed to a partnership where DOC staff will pre-certify for WOTC and issue Federal Bond vouchers to inmates as part of their release processing. These formerly incarcerated individuals will leave correctional facilities with documents offering incentives to employers who hire them.

DOC has also implemented registered apprenticeship programs in some of its facilities for both staff and inmates. They also work closely with the university and community college system in the provision of educational opportunities for inmates.

YOUNGER WORKERS

WIOA requires that all programs serve youth with significant barriers to employment or education, including: high school dropouts, pregnant or parenting, homeless or runaway youth, those subject to the criminal justice system, youth with disabilities, and low-income youth who are basic skills deficient or lack English proficiency. These are documentable barriers, but the youth that fall under these categories often cope with numerous additional challenges such as low aspirations, depression, substance use, unstable homes, lack of appropriate adult role models, family violence, neglect, abuse, rural isolation, lack of transportation, sexual orientation and gender identity discrimination, and an overall lack of basic work-readiness competencies.

Youth service providers will partner to assess the need for a full menu of youth-oriented services from attainment of high-school diploma to parenting skills, financial literacy and career counseling. Employers will be at the table to offer work experience, internships and adult role-modelling and will continue to be involved with occupational and career awareness activities like EPIC Maine (a partnership of regional employers and education providers that introduces young adults to various careers) and the Annual Crafts Championships (a collaboration between industry, career and

technical education centers and community colleges to showcase careers in the construction trades).

The Younger Worker Committee:

This committee works to identify, evaluate and address issues facing youth ages 14 to 24 who are in transition and to ensure multiple partner resources are available. Committee membership includes representatives from the Bureau of Employment Services (BES), Job Corps, Jobs for Maine's Graduates, Title IB youth service providers, secondary and post-secondary career and technical education programs, YouthBuild, juvenile justice, private industry, Office of Child and Family Services serving transitioning foster youth, Maine Youth Transition Coalition, the Division of Vocational Rehabilitation (DVR), and Adult Education to name a few. In the past, the committee has focused on development of a youth resources guide that was distributed through schools and service agencies. Most recently, committee members have focused on strategies to address transportation, childcare, and housing issues that impede the ability of younger workers to enter employment or access higher education. Committee members collaborate to develop new and innovative ways to jointly serve youths in transition.

VETERANS

The flow of veterans and transitioning service members through Maine's one-stop CareerCenters averages over 3,500 people per year. Unemployment for veterans in Maine is at an all-time low with less than 2 percent of our veterans currently unemployed. Wagner-Peyser, WIOA and other USDOL funded projects operate in unison with the Jobs for Veterans State Grant (JVSG) to ensure that all veterans receive priority of service within the workforce delivery system. These and other workforce programs are the point of entry for Maine veterans, disabled veterans and covered persons. Our employment service capacity is strategically distributed throughout the CareerCenters to serve veterans.

The JVSG is a non-competitive, USDOL funded program that provides over \$800,000 annually to Maine, supporting 11 full time staff positions. A mix of disabled veterans outreach program specialists and local veteran's employment representatives (LVERs) work out of one-stop CareerCenter offices. There is one LVER who serves as the state veterans program manager based at the central office in Augusta.

The Veterans' Employment Committee:

This committee works to improve training and employment opportunities for Maine veterans, disabled veterans, and eligible spouses. The committee focuses on building employers' awareness of the advantages of hiring veterans and works to develop policy recommendations to increase the effectiveness and efficiency of veterans' employment and training programs in Maine. The committee began initiatives to improve outreach and education to both employers and veterans. This resulted in a new web portal at the Maine Bureau of Veterans Services which has been very effective. In addition, an advanced military culture training was developed and delivered to over 200 employers. This training is now available on YouTube¹⁶. The committee members include representatives from the following organizations: Boots2Roots, Easterseals Maine, Employer Support of the Guard and Reserve, Maine Bureau of Veterans' Services, Maine National Guard, Maine State Approving Agency for Veterans' Education, Military OneSource, Military Talent Source, student veterans' programs, Togus Veterans Administration Medical Center, Volunteers of America Northern New England, and several Maine employers. The MDOL's Veterans Employment and Training Services (VETS) program manager staffs this committee.

This committee continues its Hire-A-Vet campaign that promotes hiring of 100 veterans in 100 jobs with 100 employers in 100 days. The average wage for veteran hires increased from \$17.43 in 2015 to \$23.06 in 2019. Employers partnered to make the initiative a success and all goals have been exceeded in each of the last four years. The campaign connected nearly 750 employers with 1,000+ veteran-hires since its inception in 2015 and was recognized as a best practice by the USDOL and the National Association of State Workforce Agencies (NASWA).

PERSONS WITH LANGUAGE BARRIERS

People who are foreign-born and for whom English is not their primary language typically face considerable barriers to employment in the United States. According to 2018 American Community Survey one-year estimates¹⁷, approximately 3.5 percent of Mainers were born outside the United States. Of those, nearly one third entered the U.S. since 2010.

¹⁶ [Maine Hire-A-Vet Military Culture 202](https://www.youtube.com/playlist?list=PL5ZdVPP4QOB-tAfF1fXygXWBMfAfXsBDE) <https://www.youtube.com/playlist?list=PL5ZdVPP4QOB-tAfF1fXygXWBMfAfXsBDE>

¹⁷ American Community Survey 2018 ACS 1-Year Estimates

According to the American Community Survey, about 6 percent of the population speaks a language other than English at home.

Persons with language barriers live throughout the state. However, clusters of foreign-born Mainers with language barriers are more prevalent in cities where services are more available, such as in Lewiston/Auburn, Greater Portland and Saco/Biddeford. According to the Maine Center for Economic Policy, in addition to New Mainers. Maine has a population of second-, third-, and even fourth-generation French-speaking Franco-Americans. Roughly 10 percent of adult Franco-Americans and Acadians in Maine do not have a high school diploma or equivalency and one in five has some college but no degree. Low English language proficiency among this population may account for some of these numbers. Even within the cities, the state does not have enough current resources available to meet the need for English language instruction.

INDIVIDUALS LIVING IN POVERTY AND WITH LOW LEVELS OF EDUCATION

Other people with barriers to employment in Maine include those who are low income with low levels of education. Twelve percent of the population lives in poverty. Of that figure, 35 percent are Native Indian and Alaskan Native, and 20 percent are black or African American. In addition, 25,361 Mainers over 25 have less than a 9th grade education and 43,100 are without a high school diploma.¹⁸ The State Workforce Board's (SWB) subcommittees focus on many of those populations who are statistically in poverty. Committee chairs are working across the committees in recognition that each constituent group is not mutually exclusive and many barriers to employment are crosscutting.

WIOA - TANF PARTNERSHIP OBJECTIVES

Under Governor Mills' administration, the Temporary Assistance for Needy Families (TANF) program will be a full partner of the one-stop system as recommended under WIOA. As such, the Maine Department of Health and Human Services (DHHS) will support and guide its TANF service provider (currently and hereafter, Fedcap) to work with core and required partners of the one-stop system to jointly serve customers and, as appropriate, leverage and share resources on their behalf.

First-Steps to Partnership

¹⁸ Ibid

The Greater Portland and Rockland CareerCenters will serve as pilot sites for the development of collaborative service delivery. Staff from each agency have identified program services that each agency provides, such as assessment, case management, plan development, barrier mitigation, training, and job search activities such as job fairs and job development through outreach to employers.

The pilot project teams identified specific services they can collaborate on, including the following:

- Supplemental job search services, such as participation in job search, resume, and interviewing workshops offered by each provider
- Registration with Maine JobLink, the labor exchange system that matches worker skills with jobs listed by Maine employers (i.e.: teaching Fedcap staff how to guide TANF clients through this process and/or having employment services staff assist TANF recipients with this process)
- Coordination between agencies on client service plan development to eliminate unnecessary duplication of services for co-enrolled customers
- Referrals and program co-enrollment that will enable customers to leverage the supports and resources of multiple programs
- Co-management and accountability of participant involvement in activities and services of partner programs, such as coordinated and/or shared case management and formal protocols for communication between programs on behalf of shared customers
- Ongoing cross-informing between Fedcap and employment services to better align service coordination overall
- Collaboration on employer outreach and job development activities

Staff collaboration and communication steps have been drafted between employment services, Fedcap and other DHHS staff to include:

- Involvement of DHHS regional planners acting as liaisons between programs and possibly co-located at pilot sites (CareerCenters or Fedcap service sites)
- Formal cross-training in which Fedcap staff will learn how to access WIOA core and required partner services and vice versa
- Sharing of best practices and practical example of resource leveraging and braiding of services
- Instituting regular (monthly) partner team meetings to:
 - Further develop relationships

- Fine tune and implement collaborative practices
- Discuss pilot and customer progress and success and address identified challenges
- Promote continuous improvements
- Define success and establish measurable outcomes

Coordinated Sector Pilot

A second pilot designed to address worker shortages in the healthcare sector and meeting the work requirements of TANF is in development. The pilot will focus on workforce needs of healthcare providers and how TANF and other partner resources can be aligned to meet the sector needs. The project will focus on locations with high but unmet demand for entry-level healthcare positions. The project will involve Adult Education, the Maine Community College System, and the TANF-funded Parents as Scholars and Higher Opportunity for Pathways to Employment (HOPE) programs. The collaborative will work to launch participants on career paths with advancement opportunities and the potential for ongoing training and development, allowing trainees to advance in skills and earnings over time.

Formal Steps

DHHS will formally partner with each of Maine's three local workforce boards to take part in a Memorandum of Understanding (MOU) that guides collaborative and integrated service delivery across programs and funding streams. Local workforce boards act as the lead conveners of partners for their regions.

The Northeastern Workforce Development Board (NWDB) has oversight of Aroostook, Hancock, Penobscot, Piscataquis and Washington counties.

The Central Western Maine Workforce Development Board (CWMWDB) has oversight of Androscoggin, Franklin, Kennebec Oxford, and Somerset counties.

The Coastal Counties Workforce board, (CCWI) has oversight of Cumberland, Knox Lincoln, Sagadahoc, Waldo, and York Counties.

The boards work with partners to develop and maintain the local one-stop system and to articulate the coordinated service delivery design for their local region. Local boards bring additional partners to the table and promote collaborative resolution of issues facing the region such as poverty, the effects of opioid use and more. Local boards also negotiate cost sharing between partners to ensure adequate one-stop infrastructure and access to all partner programs and eliminate redundancies

such as multiple intake or assessment specialists when these could possibly be provided by staff shared between programs.

Signing of a MOU is a formal step that introduces TANF as a partner to the one-stop system and outlines how TANF service providers will work with all required partners going forward.

Future Steps

For partner agencies to better serve TANF recipients it will be beneficial for them to adopt a whole family approach to jobs that looks at not only the enrolled individual but that takes children and other family dependents into consideration when developing service delivery approaches that will enable them to achieve success through a holistic approach to employment services. Likewise, partners should understand how the benefits cliff affects TANF recipients.

TANF could play a key role in educating system partners regarding the benefits of two-generation approaches to service, as well as how to use a benefits cliff tool to be developed for Maine.

II.(a.2) WORKFORCE DEVELOPMENT, EDUCATION, AND TRAINING ACTIVITIES ANALYSIS

Maine has a variety of programs and activities to address the skilled workforce needs of employers that focus on developing the skills, abilities, and credentials of the population, including those with barriers to employment. The aggregate public investment in these activities is significant, totaling more than \$500 million. Developing greater levels of coordination and alignment among programs is an integral component of this unified plan and essential to navigating Maine's many workforce development challenges.

The tables in II.(a.2.a.) provide an analysis of Maine's workforce development, education and training activities that receive regular public funding.¹⁹ ²⁰ For the purposes of this analysis, programs and activities are grouped into four categories: WIOA core partner programs, other

¹⁹ These tables do not include public investments in K-12 education (although secondary career and technical education is included), nor does this analysis represent a comprehensive view of DHHS training programs.

²⁰ Funding levels vary with a range of factors and are subject to yearly change, and allowable expenditures are governed by federal and state laws and policies.

publicly funded employment and training programs, other publicly funded education programs, and additional programs.

II.(A.2.A)THE STATE’S WORKFORCE DEVELOPMENT ACTIVITIES

WORKFORCE INNOVATION AND OPPORTUNITY ACT (WIOA) CORE PARTNER PROGRAMS

The WIOA core partner programs: adult, dislocated worker and youth programs; employment services, vocational rehabilitation (VR), and adult and basic education served more than 90,000 participants and represented \$56.9 million in public investment in fiscal year (FY) 2019 (58 percent of which was federal, 24 percent state and 18 percent local funds). This information is displayed in Table 5, below.

The MDOL oversees administration of the Title IB adult, dislocated worker and youth programs and the Title III employment services program. In program year 2018 (PY18), 542 adults, 264 unemployed workers and 402 youth were served by these programs. On average, 75.2 percent found jobs. During the year 4,819 job seekers received individualized career services and 42,700 participated in labor exchange services.

MDOL’s Bureau of Rehabilitation Services (BRS) works to bring about full access to employment, independence, and community integration for people with disabilities. While under the oversight of the U.S. Department of Education, BRS operates within the offices of MDOL at CareerCenters and provides VR services through its Division of Vocational Rehabilitation (DVR) and Division for the Blind and Visually Impaired (DBVI). The co-location of VR and employment services offers greater opportunities for aligning programs and services. During PY18 BRS had 3,773 new applicants and served 6,968 individuals through plans for employment.

Maine Adult Education (hereafter, Adult Education) is part of the Maine Department of Education. Service providers are housed within nine educational programming areas (hubs) and consist of 67 local providers aligned with local school districts statewide. In fiscal year (FY) 2019, over 17,000 individuals participated in high school completion, workforce training, and college transitions programming. Of those, 5,830 participated in federal programs directly linked to high school equivalency completion, entering employment, and entering postsecondary education.

Over 23,000 people also participated in lifelong learning classes such as health and wellness, political awareness, personal finances, and other community enriching courses.

Maine's unified plan emphasizes greater levels of integration, alignment and coordination among core programs and one-stop partners.

In 2016, Adult Education began implementing Integrated Education and Training (IET). The passage of WIOA in 2014, enabled Adult Education to use federal literacy funds to support training when combined with education. Integrating relevant reading, math, and comprehension instruction, occupation training, employability skills, and English language acquisition as needed is a training model with proven effectiveness. Another key piece of an IET is the earning of a credential of value. Combining these elements compresses learning time frames and accelerates entry into the workplace. While IETs are successful, they are expensive to develop and run, making cost-sharing with partners essential. The IET programs offered are based on identified local workforce board needs, and on collaboration with employers, other service providers, and postsecondary institutions. From the initial six programs, the number of IETs has grown to 402 in FY19. The goal is to increase the number of adults receiving credentials through an IET to 800. IET is a proven training model that enhances learning comprehension by integrating classroom and occupation training and often compresses learning time frames. Based on identified local workforce needs, the pilot projects were developed with extensive employer engagement and the involvement of support service providers and a variety of educational institutions. Since then, IET programming has been rolled out statewide and is a required programming element for each adult education hub.

TABLE 5: MAINE'S PUBLIC SECTOR INVESTMENT (IN MILLIONS) IN WORKFORCE DEVELOPMENT; WIOA CORE PARTNER PROGRAMS

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
Workforce Innovation and Opportunity Act (WIOA) Title IB	\$7.20			\$7.20	MDOL	WIOA Title IB provides employment and training services to adults, dislocated workers, and youth who meet priority and eligibility criteria. IB programs overseen by three local workforce boards and delivered through four service providers served a total of 1,230 participants. Of those who exited the programs an average of 75.4 percent were employed. Of those who participated in classroom training, 63 percent earned a degree, diploma or credential.
WIOA Title III Employment Services	\$3.60			\$3.60	MDOL	WIOA Title III amends the Wagner-Peyser Act of 1933 and provides employment and labor exchange services to individuals and employers. Over 42,700 job seekers accessed the Maine JobLink labor exchange system in which 5,408 employers posted 31,464 jobs. Individualized career services were provided to 4,819 job seekers who required more intensive assistance finding employment.

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
WIOA Title IV Rehabilitation Services	\$18.50	\$8.20	\$0.50	\$27.20	USDOE/ MDOL	The Bureau of Rehabilitation Services (BRS) works to bring about full access to employment, independence and community integration for people with disabilities: The Division of Vocational Rehabilitation helps individuals with a range of disabling conditions to achieve or retain employment; the Division for the Blind and Visually Impaired provides services to individuals who are blind or have low vision; and the Division for the Deaf, Hard of Hearing and Late Deafened assists individuals with hearing loss. During PY18, BRS had 3,773 new applicants and served 6,958 individuals through plans for employment.
WIOA Title II Adult Education	\$1.70	\$6.00	\$11.17	\$18.87	MDOE	Maine Adult Education promotes programs that help adults get the foundational skills they need to be educated and productive workers, family members, and citizens. The major areas of instruction and support are adult basic education, adult secondary education (high school completion), English language acquisition, college transition, and workforce training. These programs emphasize foundational skills such as reading, writing, math, English language competency, career awareness and exploration, workforce training, and problem-solving. In FY19, adult education served 17,640 adults in academic and workforce programs, including 5,830 participants in federal funded programs. An additional 23,150 adults participated in self-sustaining personal enrichment courses.

	Federal	State	Other	Total
Totals in millions	\$31.0	\$14.2	\$11.7	\$56.9
Percentages	55%	25%	21%	

OTHER PUBLICLY FUNDED EMPLOYMENT & TRAINING PROGRAMS

A wide range of employment and training activities in Maine occur outside the core WIOA programs. Many of these activities are described in Table 5, below. These programs are supported by \$45.2 million in public funding (see Table 6) and deliver employment and job training services to a variety of population groups including veterans, dislocated workers, youth, and individuals with skill deficiencies and other barriers to employment. Programs are accessible through Maine’s one-stop CareerCenters administered by local workforce boards in three regions.

In addition to the programs displayed in Table 6, a variety of other employment and training activities are funded through discretionary grant awards to the state of Maine. Such grants include, but are not limited to H1B grants, Youth Build, and Trade Adjustment Assistance Community College Training (TAACT) grants.

TABLE 6: MAINE'S PUBLIC SECTOR INVESTMENT (IN MILLIONS) IN WORKFORCE DEVELOPMENT; OTHER PUBLICLY FUNDED EMPLOYMENT AND TRAINING PROGRAMS

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
Jobs for Veterans State Grant (JVSG)	\$0.80			\$0.80	MDOL	Jobs for Veterans State Grant (JVSG) funds are allocated to state workforce agencies from the Department of Labor's Veterans' Employment and Training Service (VETS) in direct proportion to the number of veterans seeking employment within their state. The grants support two principal staff positions: disabled veterans' outreach program specialists, and local veterans' employment representatives. This grant provides funds to exclusively serve veterans, other eligible persons and, indirectly, employers.
Trade Adjustment Assistance (TAA)	\$2.80			\$2.80	MDOL	The Trade Adjustment Assistance (TAA) program is a federal program that provides a path for employment growth and opportunity through aid to US workers who have lost their jobs as a result of foreign trade. The TAA program seeks to provide these trade-affected workers with opportunities to obtain the skills, resources, and support they need to become reemployed.
Work Opportunity Tax Credit (WOTC)	\$0.08			\$0.08	MDOL	The Work Opportunity Tax Credit (WOTC) is a federal tax credit available to employers for hiring individuals from certain target groups who have consistently faced significant barriers to employment.

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
ReEmployment Services & Eligibility Assessment (RESEA)	\$0.00	\$0.00	\$0.00	\$0.00	MDOL	The ReEmployment Services and Eligibility Assessment (RESEA) program assists unemployed workers to return to work more quickly by delivering and services to those claimants profiled as “most likely to exhaust” and all transitioning veterans receiving unemployment compensation. Targeted claimants will be provided relevant reemployment services and eligibility review interviews. Services will be delivered through group workshops, one-on-one meetings, and other methods allowing individuals who would not be able to attend for various reasons to attend.
CareerCenter General Funds		\$0.50		\$0.50	MDOL	The Maine CareerCenter provides a variety of employment and training services at no charge for Maine workers and businesses.
Competitive Skills Scholarship Program (CSSP)		\$2.60		\$2.60	MDOL	The Competitive Skills Scholarship (CSSP) helps workers learn new skills and succeed in a changing economy. The program is open to all qualified Maine residents and pays for education and training for high wage jobs in demand in Maine. The number of new CSSP applicants accepted into the program each year is based on available funding and allocated by county.

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
Maine Apprenticeship Program (MAP) and Apprenticeship Expansion Grant	\$0.70	\$0.50		\$1.20	MDOL	Maine Apprenticeship Program (MAP) and Apprenticeship Expansion Grant helps mobilize Maine's workforce with structured, on-the-job learning in traditional industries such as construction and manufacturing, as well as emerging industries such as healthcare, information technology, energy, telecommunications and more. Registered apprenticeships connect job seekers looking to learn new skills with employers looking for qualified workers, resulting in a workforce with industry-driven training and employers with a competitive edge.
WIOA Title ID National Dislocated Worker Grants (NDWG's)	\$1.10			\$1.10	MDOL	National dislocated worker grants (NWDGs) provide additional assistance to support employment and retraining efforts for dislocated workers displaced due to mass layoff or natural disaster. USDOL offers access to these funds through a competitive process to address other issues affecting workers such as the opioid crisis or need for technology upgrades. Maine is in the process of implementing a single portal from which job seekers can access the services of all core partners. The portal allows information to be shared between the information systems of each partner upon request from the job seeker, saving the customer from answering the same questions multiple times.

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
WIOA Title IC: Penobscot Job Corps Center	\$9.40			\$9.40	Boston Re- gional Office of Job Corps	Job Corps is a no-cost education and career technical training program administered by the USDOL that helps young people ages 16 through 24 improve the quality of their lives through career technical and academic training. The Job Corps program is authorized by Title I-C of the Workforce Investment Act of 1998. The Penobscot Job Corps Center is operated by Career Systems Development Corporation for the USDOL.
WIOA Title IC: Loring Job Corps Center	\$9.50			\$9.50	Boston Re- gional Office of Job Corps	See above
Maine Conservation Corps (MCC)	\$0.40	\$0.09	\$0.70	\$1.40	Maine De- partment of Agriculture, Conservation and Forestry	The mission of Maine Conservation Corps (MCC) is to accomplish conservation initiatives that inspire individuals and enhance communities. The MCC is a state AmeriCorps program, comprised of members who undertake conservation projects while completing job readiness training and achieving personal development goals. Service inherently includes the distillment of personal responsibility, accountability, teamwork, communication, problem solving, as well as many other appropriate workplace behaviors and attitudes. Members also engage in career research, goal setting, resume and cover letter writing, develop interview skills, and earn certifications as part of their AmeriCorps terms.

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
New Ventures Maine (NVME)	\$0.20	\$0.90	\$0.70	\$1.80	UMA/ UMS	New Ventures Maine (NVME) is a statewide community outreach and education program of the University of Maine at Augusta/University of Maine System. NVME provides in-person and online training and individual coaching in career planning, entrepreneurship, and financial education and asset building. For Mainers in life and career transitions, NVME provides an empowering environment for participants to define and achieve goals. NVME helps individuals recognize strengths, overcome barriers, access resources, develop a plan and take action towards their goals--finding good jobs, furthering their education, starting a business, managing their money and building savings and assets.
Senior Community Service Employment Program (SCSEP)	\$1.90			\$1.90	USDOL/ A4TD	The Senior Community Service Employment Program (SCSEP) is a community service and work-based training program for unemployed, low-income persons over the age of 55 with barriers to employment. Authorized by the Older Americans Act (Title V), the program provides subsidized, service-based training by placing participants in paid internships at 501C3 non-profit and public agencies. Participants are also able to participate in workshops that improve their job search skills and job readiness. Individuals train for an average of 20 hours per week and are paid minimum wage. The community service training serves as a bridge to unsubsidized employment opportunities.

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
Jobs for Maine Graduates (JMG)	\$4.00	\$3.50	\$3.30	\$10.80	JMG	Jobs for Maine Graduates (JMG) partners with public education and private businesses to offer results-driven solutions to ensure all students graduate, attain post-secondary credentials and pursue meaningful careers. JMG is hosted in Maine's public middle and high schools, and community college and university systems. JMG reaches more than 10,000 students throughout all of Maine's 16 counties. JMG programs are led by JMG specialists who serve as mentors and educators. The JMG model integrates competency-based learning strategies with career exploration. JMG helps students overcome academic, financial and social barriers to help students reach their fullest potential. JMG increases high school graduation rates, post-secondary persistence, and degree attainment.
WIOA Title ID Youth-Build Portland (YBA)	\$1.00			\$1.00	USDOL	Youth Building Alternatives (YBA) program serves teens and young adults who struggle to find their way in the traditional education system. Since 1994, high school dropouts aged 16-24 were assisted in successful transition to adulthood through an alternative education model that includes HiSET exam preparation, construction skills training, leadership development, job skills, and life skills. Through YBA, young adults obtain important certifications including NCCER, OSHA-10, ServSafe, and more. Most advance toward postsecondary education or career-oriented employment. In addition to the program itself, one year of follow-up services support graduates' transition to education and work.

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
WIOA Title ID National Farmworker (NFJP)	\$0.20			\$0.20	USDOL	The National Farmworker Jobs Program (NFJP) provides workforce development services and training assistance to migrant and seasonal farmworkers and their dependents.
WIOA Title ID Indian and Native American (INA) Program	\$0.20			\$0.20	USDOL	The purpose of WIOA Indian and Native American (INA) programs is to support employment and training activities in order to: develop more fully the academic, occupational, and literacy skills of such individuals; make such individuals more competitive in the workforce and to equip them with entrepreneurial skills necessary for successful self-employment; and promote the economic and social development of INA communities in accordance with their goals and values.
Federal Bonding Program	\$0.30			\$0.30	USDOL	The USDOL established the federal bonding program in 1966 to provide fidelity bonds for “at-risk,” hard-to-place job seekers. The bonds cover the first six months of employment at no cost to the job applicant or the employer.

	Federal	State	Other	Total
Totals in millions	\$32.6	\$8.1	\$4.9	\$45.6
Percentages	71%	18%	11%	

**Program funding is sporadic.*

In addition to core partner programs and other employment and training programs, the University of Maine System (UMS), the Maine Community College System (MCCS), Maine's Career and Technical Education (CTE) and Maine Quality Centers (MQC) provide education programs to prepare participants for success in careers and the workforce. As shown in Table 7, below, these programs represent more than \$440 million in annual public funding, 80 percent of which are state funds.

With seven campuses²¹ and annual enrollment of more than 40,000, the UMS represents a foundational component of the state's postsecondary education system. The university system offers associate, bachelor, master, and doctoral degrees as well as a selection of specialized undergraduate and graduate certificates.

Maine's network of seven community colleges²² has a combined enrollment of more than 18,000 of which 94 percent are Maine residents. 65 percent of these students attend part time. The MCCS offers certificate, diploma and associate degree programs directed at the educational, occupational, and technical needs of Maine residents as well as the workforce needs of employers. The goals of the MCCS are to create an educated, skilled, and adaptable labor force responsive to the changing needs of the economy, and to promote local, regional, and statewide economic development.

The UMS and MCCS have been working together to develop an ecosystem around micro-credentials/digital badges which are employer recognized. With the support of MDOL and other partners, the UMS received a \$350,000 grant from the Lumina Foundation to enhance this ecosystem and focus on engaging people of color, low income, Native Americans and incarcerated individuals.

Additionally, the UMS and MCCS have been engaged in a regional and national project to improve the transparency of available credentials and educational opportunities through a searchable, centralized credential registry, Credential Engine. New England Board of Higher Education received a grant of \$650,000 to launch High Value Credentials for New England (HVCNE) in partnership with Credential Engine. HVCNE will provide individuals, institutions, state policy leaders and employers the tools to:

²¹ See Appendix D for a list of Maine's public and private colleges

²² Ibid

- Develop a common language to describe credentials
- Evaluate credentials' value
- Identify critical education and employment pipelines
- Understand the skills and competencies obtained in earning a credential

The mission of Maine's CTE program is to ensure that students acquire the high-quality technical skills that will prepare them for postsecondary education, entry into an ever-changing workplace and society, and to meet the rigorous academic standards of Maine's Learning Results. Students benefit from this integrated system of academic and applied learning.

MQC provide customized workforce training grants to employers who are either seeking to locate or expand their operations in Maine or who are interested in providing training to their incumbent workers. Training programs are coordinated and delivered through Maine's seven community colleges, and other service and training providers as needed.

In conjunction with the MCCS and MQC, Bath Iron Works (BIW) established a tuition-free training program at the former Brunswick Landing Naval Air Station. Using one of the former airplane hangars, participants get training and exposure to the facets of welding, pipe fitting, insulation and painting in the ship building industry. Acknowledging the difficulties of transportation for some students, housing for the four-week program can also be provided on site. BIW has an agreement to interview successful Maine Job Corps welding students for positions at BIW as they prepare to transition out of Job Corps.

Addressing the workforce development challenges that confront Maine will require coordination and partnership across employment and training programs and education institutions, as well as a commitment to measuring the employment outcomes of program participants. Recognizing the need for greater levels of alignment, the UMS, MCCS and MDOL formed a data sharing partnership to evaluate the employment outcomes of college students. As part of this relationship, the university and community colleges send student records to MDOL where they are matched with corresponding wage records. MDOL then formulates employment and wage outcomes by credential, area of study, and school. These efforts, funded by grants from the USDOL and Maine Department of Education, have resulted in the development of Maine Education and Attainment Research Navigation system or MaineEARNs. This system has since expanded to include Adult Education and vocational rehabilitation programs. MaineEARNs is expected to play an integral role in measuring and providing outcomes information that drives program evaluation and policy decisions.

Table 7: Maine's Public Sector Investment (in Millions) in Workforce Development; Other Publicly Funded Education Programs

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
Career and Technical Education (CTE) (secondary)	\$2.30	\$56.50		\$58.80	MDOE	As part of the Maine Department of Education's ongoing commitment to support all learners, Maine Career and Technical Education (CTE) aims to ensure that students acquire the high-quality, industry-recognized technical skills and related academic standards that will prepare them for postsecondary education and entry into an ever-changing workplace and society.
University of Maine System (UMS)	\$54.50	\$230.90	\$28.80	\$314.20	UMS	The University of Maine System (UMS) offers associates, bachelors, masters and doctoral degrees (including the JD degree) as well as a selection of specialized undergraduate and graduate certificates. The UMS currently is developing a series of micro credentials specific to 21st century work ready and technical skills and is working across the state to develop a statewide approach to this. The UMS features seven universities—some with multiple campuses—located across the state, as well as eight University College outreach centers, a law school, 31 additional course sites, and Cooperative Extension. It has an annual enrollment of nearly 30,000 students in credit bearing programs and serves over 500,000 individuals annually through educational and cultural offerings, including non-credit continuing education and professional development programming.

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
Maine Community College System (MCCS)	\$4.70	\$70.00		\$74.70	MCCS	The mission of the Maine Community College System (MCCS) is to provide associate degree, diploma, and certificate programs directed at the educational, occupational, and technical needs of the state's citizens and the workforce needs of the state's employers. The primary goals of the MCCS are to create an educated, skilled and adaptable labor force responsive to changing economic needs and to promote local, regional and statewide economic development.
Maine Quality Centers (MQC)		\$0.90		\$0.90	MCCS	The Maine Quality Centers (MQC) program funds customized workforce training delivered through Maine's seven community colleges. MQC grants are available to fund pre-hire, post-hire, and incumbent worker training. The program is designed to ensure that businesses have the qualified workers they need to succeed. Grant limits for incumbent worker training are based on company size. Employers with 1-50 employees may apply for 100 percent funding. Employers with 51-100 employees may apply for 75 percent funding, with a 25 percent company match. Employers with 101+ employees may apply for 50 percent funding, with a 50 percent company match. Other customized training is provided at no cost to either the business or trainee.

	Federal	State	Other	Total
Totals in millions	\$61.5	\$358.3	\$28.8	\$448.6
Percentages	14%	80%	6%	

ADDITIONAL PUBLICLY FUNDED PROGRAMS

The state correctional system, and Maine Manufacturing Extension Partnership, Additional Support for People in Retraining and Employment (ASPIRE), and Food Supplement Employment & Training programs provide workforce development activities to inmates, manufacturing employers and low-income adults. Details of these programs are provided below. Please note that the following table does not represent all publicly funded DHHS programs for employment supports with individuals with significant disabilities.

TABLE 8: MAINE'S PUBLIC SECTOR INVESTMENT (IN MILLIONS) IN WORKFORCE DEVELOPMENT; ADDITIONAL PUBLICLY-FUNDED PROGRAMS

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
State Correctional System	\$0.20	\$3.20	\$1.30	\$4.70	MDOC	Provides programs and services to reduce the likelihood of reoffending.
Maine Manufacturing Extension Partnerships (MEP)	\$9.40	\$3.60	\$0.20	\$13.20	U.S. Dept. of Commerce	Maine Manufacturing Extension Partnerships (MEP) leverage a vast array of public and private resources and services that are available to every manufacturing enterprise in Maine. The nationwide system of MEP centers is linked through the U.S. Department of Commerce - National Institute of Standards and Technology, with the common goal to strengthen the global competitiveness of U.S. manufacturers. MEP's mission is to become the state's premier provider of growth-based solutions for Maine's small and medium sized manufacturers; and its vision is to create profitable growth opportunities for small and medium sized manufacturers by helping them become more efficient, productive and globally competitive.

Program	Federal	State	Other	SFY19 Funding	Overseeing Agency	Program Description
Additional Support for People in Retraining and Employment (ASPIRE)	\$20.10	\$7.10		\$27.20	DHHS	DHHS's Additional Support for People in Retraining and Employment (ASPIRE) program is the training and employment program serving TANF recipients by developing individualized employment plans and providing supports which lead to successful transition to employment.
Food Supplement Employment & Training (FSET)	\$0.80	\$0.50		\$1.30	DHHS	DHHS administers Maine's Supplemental Nutritional Assistance Program (SNAP), including employment and training activities (E&T) provided by MDOL at CareerCenters. Maine's E&T program is known as the Food Supplement Employment and Training (FSET) Program.
Higher Opportunity for Pathways to Employment (HOPE)	\$2.20	\$0.10		\$2.30	DHHS	Higher Opportunities for Pathways to Employment (HOPE) is administered by DHHS to assist low income families. HOPE provides financial assistance and campus-based navigators to support families and help them to achieve education goals leading towards employment.

	Federal	State	Other	Total
Totals in millions	\$32.7	\$14.5	\$1.5	\$48.7
Percentages	67%	30%	3%	

***NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY, HOLLINGS MANUFACTURING EXTENSION PARTNERSHIP (NIST MEP)

TABLE 9: MAINE'S PUBLIC SECTOR INVESTMENT IN WORKFORCE DEVELOPMENT; SUMMARY

	Federal	State	Other	Total
Core Partner Programs (in millions)	\$31.00	\$14.20	\$11.67	\$56.80
Other Publicly Funded Education and Training (in millions)	\$32.58	\$8.09	\$4.91	\$45.58
Other Publicly Funded Education and Training (in millions)	\$61.50	\$358.30	\$28.80	\$448.60
Additional Public Funded Programs (in millions)	\$32.70	\$14.50	\$1.50	\$48.70
Totals	\$157.78	\$395.09	\$46.81	\$599.68

II.(A.2.B)STRENGTHS AND WEAKNESSES OF WORKFORCE DEVELOPMENT ACTIVITIES

Strengths and weaknesses of Maine's workforce development activities are discussed below. These attributes and characteristics reflect the views of the core partners and the WIOA Steering Committee.

Strengths:

- Commitment and willingness among the core partners and other stakeholders to build a better workforce development system. Partners are committed to continuing and enhancing coordination and integration so that the people of Maine are better served. This commitment to bring the shared vision to fruition is foundational to repositioning Maine's workforce development system
- Quality of service, programs and operations
- Accessibility to stakeholders, business leaders and key decision makers. Collaboration and partnering are core strengths of Maine's workforce development system activities. Maine's close-knit workforce development communities foster an environment where business relationships can be easily maintained, resources mobilized quickly and access to key decision makers is abundant. This is a state with relatively little bureaucracy, which fosters access to decision makers and resources
- Apprenticeship program is successful in expansion by working with industry organizations to reach large and small businesses statewide
- Maine's relatively small population and lean infrastructure enables collaboration between service providers without layers of bureaucracy. For example, Bath Iron Works has been working with the Maine Community College System and Maine Quality Centers in the development of welding programs and guarantees an interview to anyone who completes the program.

Weaknesses:

- Maine's large geographic size and dispersed population present barriers to the efficient delivery of services. Rural communities in Maine struggle with higher than average

unemployment rates. Delivering services to these rural areas is a challenge. Moreover, limited public transportation networks make it difficult for many to access employment opportunities.

- Maine’s workforce development, education and training activities are governed by multiple state and federal agencies. This often results in coordination and alignment challenges. Maine is taking steps to better coordinate activities, starting with the creation of a statewide vision and goals for the workforce development system
- Individual and employer awareness of the workforce system and available opportunities, as well as how to access them continues to be less than desirable
- There are misconceptions about Maine’s demographic challenges and the future workforce needs. While Maine is projected to have relatively flat job and workforce growth through 2026, there will be an estimated 73,000 jobs openings in Maine each year, largely to replace others as older Mainers leave the workforce
- Most stakeholders recognize the importance of using valid and reliable information to drive decision making, program evaluation and to support policy initiatives. Unfortunately, the core partners are currently working with three separate and discreet management information systems. The realities of current financial constraints leave the state without the means to develop a robust system for integrating data.
- Maine has limited financial resources with which to address its many workforce development challenges. WIOA program funds are allocated to states based on population size and unemployment levels. Maine’s outlying counties are geographically large with comparatively small populations that are struggling with unemployment considerably higher than the state average rate. Delivering needed services to these individuals is costly and not effectively supported in the funding model. In addition, program administration funds are capped at 5 percent resulting in low levels of funding to cover fixed costs required to remain in compliance with administrative activities. Rural, less populous states such as Maine are at a “small state disadvantage.”: they receive substantially fewer funds to support system costs comparable to large states and higher delivery costs.

II.(A.2.C) STATE WORKFORCE DEVELOPMENT CAPACITY

The range of workforce development programs and activities previously described represent a significant investment of both human and capital resources into Maine's workforce development system. Since the implementation of its unified plan, the state has made concerted efforts to increase interagency collaboration to better coordinate federal employment services and training for adults, dislocated workers and youth, and adult education, as well as create additional access points for vocational rehabilitation services. These activities resulted in a developed network of physical assets, including strategically located one-stop affiliate centers; seven community colleges and seven university campuses. In addition, Maine's workforce development system includes 76 local adult and basic education sites across the state.

While Maine's workforce development system contains a robust network of partnerships, it must continue the development of additional partnerships in order to reach people and businesses for which the distance to an access point is prohibitive. Two strategic partnerships are with the DHHS, which provides TANF services across the state, and with the network of libraries, which consists of approximately 260 public libraries across the state. By partnering with these entities, Maine's workforce development system will be able to reach more communities, people and businesses in the next four years.

In addition, technology will facilitate service delivery. Maine's economic strategic plan calls for the substantial expansion of broadband. Once implemented, this will enable Maine residents and businesses to access workforce and other online services that will allow them to thrive. More specific to the workforce development system, three of the core partners have jointly developed Workforce Opportunities, Referrals, and Knowledge Services (W.O.R.K. Services), an online portal that will allow people, either independently or with staff support, to assess their employment needs, research next steps, and find services in their area. At launch, information on services include: job matching, resume and interviewing preparation, services for veterans, services for people with disabilities, and, training through adult Additional partners will be added, with a vision of being a one-stop online portal for all workforce development system services.

II.(b) STATE STRATEGIC VISION AND GOALS

During November and December 2019, the State Workforce Board (SWB) convened 10 strategic planning sessions attended by over 100 stakeholders, including administrators of core programs, employers, workforce developers, educators, youth, advocates, representatives of state agencies and policy makers, to discuss the workforce development system and create a vision for a bright and prosperous future

Discussion centered on what success will look like for Maine's workforce development system in five to ten years and what will need to occur in order to make the vision a reality. A broad range of ideas were shared and discussed, some were challenged and others were some honed. Ultimately, participants discovered that they shared many of the same ideals. The resulting vision addresses the requirements of WIOA and creates a defined direction for Maine's future workforce system.

II.(B.1) MAINE'S STRATEGIC VISION FOR 2023

Maine's residents and businesses will have economic opportunity and contribute to the growth of Maine through a responsive, networked and coordinated workforce development system across public and private sectors. All components of the workforce development system will be provided seamlessly, resulting in increased educational and employment attainment for residents with a focus on careers, not just jobs, and support Maine's business sectors with skilled and qualified workers.

II.(b.2) GOALS

In order to fulfill this vision, the following goals have been set.

1. Maine's untapped labor pool will enter employment and advance into high-demand occupations of their choice through private and public investment in training, education, and supports.
2. Current and future workers will be equipped to meet industry talent needs, with the goal that 60 percent of Maine's workforce will hold a credential of value by 2025.
3. Create a networked, aligned and demand-driven workforce system across public and private partners and fosters the growth of Maine's economy while supporting equitable, safe, productive employment opportunities.

II.(b.3) PERFORMANCE GOALS

TITLE I ADULT, DISLOCATED WORKER AND YOUTH

TABLE 10: ADULT PERFORMANCE GOALS PY2020 AND PY2021

	Program Year: 2020 Negotiated Level	Program Year: 2021 Negotiated Level
Employment (Second Quarter after Exit)	72%	73%
Employment (Fourth Quarter after Exit)	71%	71.5%
Median Earnings (Second Quarter after Exit)	\$4,953	\$5,203
Credential Attainment Rate	62%	63%
Measurable Skill Gains	45%	55%

TABLE 11: DISLOCATED WORKER PERFORMANCE GOALS PY2020 AND PY2021

	Program Year: 2020 Negotiated Level	Program Year: 2021 Negotiated Level
Employment (Second Quarter after Exit)	79%	79.5%

	Program Year: 2020 Negotiated Level	Program Year: 2021 Negotiated Level
Employment (Fourth Quarter after Exit)	76.5%	77%
Median Earnings (Second Quarter after Exit)	\$6,500	\$6,800
Credential Attainment Rate	64%	65%
Measurable Skill Gains	50%	55%

TABLE 12: YOUTH PERFORMANCE GOALS PY2020 AND PY2021

	Program Year: 2020 Negotiated Level	Program Year: 2021 Negotiated Level
Employment (Second Quarter after Exit)	67%	69%
Employment (Fourth Quarter after Exit)	70%	71%
Median Earnings (Second Quarter after Exit)	\$3,685	\$3,869
Credential Attainment Rate	57%	57%
Measurable Skill Gains	35%	40%

TITLE II ADULT EDUCATION

TABLE 13: ADULT EDUCATION PERFORMANCE GOALS PY2020 AND PY2021

	Program Year: 2020 Expected Level	Program Year: 2020 Negotiated Level	Program Year: 2021 Expected Level	Program Year: 2021 Negotiated Level
Employment (Second Quarter After Exit)	34.0%	TBD	35.0%	TBD
Employment (Fourth Quarter After Exit)	32.0%	TBD	33.0%	TBD
Median Earnings (Second Quarter After Exit)	\$4250	TBD	\$4300	TBD
Credential Attainment Rate	32.0%	TBD	33.0%	TBD
Measurable Skill Gains	36.0%	TBD	37.0%	TBD
Effectiveness in Serving Employers	Not Applicable	Not Applicable	Not Applicable	Not Applicable

TITLE III – WAGNER-PEYSER

TABLE 14: WAGNER-PEYSER PERFORMANCE GOALS PY2020 AND PY2021

	Program Year: 2020 Expected Level	Program Year: 2020 Negotiated Level	Program Year: 2021 Expected Level	Program Year: 2021 Negotiated Level
Employment Q2 after exit	67%		68%	
Employment Q4 after exit	65%		66%	
Median Earnings Q2 after exit	\$5,350		\$5,600	

TITLE IV PROGRAMS—VOCATIONAL REHABILITATION

Within the MDOL’s Bureau of Rehabilitation Services (BRS), Maine has two federally designated state units, the Division for the Blind and Visually Impaired (DBVI) and the Division of Vocational Rehabilitation (DVR), which deliver vocational rehabilitation (VR) services.

For the first two years of the 2020-2023 Unified State Plan, DVR and DBVI have two full years of data available for the Measurable Skill Gains indicator and thus have identified an initial expected level of performance on that measure only from which to negotiate with the Rehabilitation Services Administration. The following indicators will be designated as “baseline” for VR programs in PY 2020 and PY 2021:

- Employment (Second Quarter after Exit)
- Employment (Fourth Quarter after Exit)
- Median Earnings (Second Quarter after Exit)
- Credential Attainment Rate

TABLE 15: VOCATIONAL REHABILITATION; PERFORMANCE GOALS PY2020 AND PY2021

	Program Year: 2020 Expected Level	Program Year: 2020 Negotiated Level	Program Year: 2021 Expected Level	Program Year: 2021 Negotiated Level
Employment (Second Quarter after Exit)	Baseline	Baseline	Baseline	Baseline
Employment (Fourth Quarter after Exit)	Baseline	Baseline	Baseline	Baseline
Median Earnings (Second Quarter after Exit)	Baseline	Baseline	Baseline	Baseline
Credential Attainment Rate	Baseline	Baseline	Baseline	Baseline
Measurable Skill Gains	33.8%	33.8%	33.8%	35%

II.(b.4) ASSESSMENT

A State Plan Implementation Steering Committee tracks progress towards the goals set out in the unified plan. The committee is comprised of representatives of the core programs and local board directors. As part of their work, they will continue to monitor the employment of untapped labor pools. For example, the committee will use tools like the American Community Survey for monitoring the employment of people with disabilities.

The state's economic plan identifies targets of increasing the annual wage by 10 percent and increasing the value of products sold per worker by 10 percent as measures of increased performance of workforce and economic development.

Members of the steering committee also participate in MaineSpark, an initiative striving to have 60 percent of Maine's workforce have a credential of value by 2025. The State Board has been tasked

with making an annual report on this goal to the joint standing committees on education and cultural affairs and labor, business, research and economic development.

The State Board will continue to monitor and advise the Governor and the State on progress towards meeting employer needs.

Each core program monitors achievement of its negotiated performance measures and reports these to our federal partners annually.

II.(c) STATE STRATEGY

Stakeholders of the workforce development system and state agencies with responsibility for the administration of core programs developed strategic objectives to achieve the state's vision and goals. These strategies reflect Maine's unique economic, workforce, and workforce development characteristics; focus on delivering greater value to customers; and target opportunities for greater alignment between programs and increased system-wide efficiencies. Maine's strategic objectives are discussed below and more fully elaborated throughout this document.

Aligning with Maine's Economic Development Strategy 2020-2029, the Unified State Plan seeks to partner economic development with workforce development. The Economic Development Strategy identifies renewable energy (solar, wind, bio-fuel), sustainable fishing, aquaculture and bio-based products as sectors which will be areas of focus for the next 10 years. Coupling that with Maine's already growing needs in health care and manufacturing, workforce and economic development will be partnering to address the needs of established and emerging industries. Being a large, rural state, local workforce boards will be identifying local industry sectors as areas of focus as well.

Maine's strategy is three pronged to support employers, constituents and develop a sustainable system of growth for both of these important customers. The Strategic Objectives outlined below provide the framework and guiding principles of the implementation plan in III.a State Strategy Implementation.

STRATEGIC OBJECTIVE: PARTNER AND RESPOND TO BUSINESS TALENT NEEDS

For Maine’s economy to flourish, employers must have a ready supply of capable and skilled workers. Maine’s strategic objectives begin with the recognition that the system must place business and residents at the center and construct programs designed to support them rather than placing programs at the center and requiring business and residents to manage the programs.

Specifically, Maine will:

- 1) Align and coordinate with economic development efforts to anticipate and prepare for the next generation of talent requirements by executing a joint business engagement strategy and continual cross-agency communication on business needs and opportunities
- 2) Work across state agencies to coordinate business marketing, outreach, and engagement efforts to streamline business access to services and talent
- 3) Establish strategy for regular engagement with regional business groups, industry associations to ensure alignment of education and training services with employer demand, with a focus on priority industries in Maine
- 4) Identify strategies to leverage private sector investment in training their workforce, including apprenticeships and other work-based learning approaches, advancement strategies, and an employer of choice designation for businesses offering quality jobs

STRATEGIC OBJECTIVE: CREATE A SYSTEM OF LIFELONG LEARNING AND EMPLOYMENT CONNECTION FOR MAINE RESIDENTS

The success of Maine’s economy will ultimately be determined by the strength and quality of its workforce. As part of this unified plan, Maine will build its workforce using a multi-faceted approach.

Specifically, Maine will:

- 1) Align all public programs and funding that support Maine residents to increase their skills and education into a seamless continuum of programs and supports, with a focus on career pathways for in-demand occupations

- 2) Implement and expand best-in-class strategies to build worker skills and education and success through long-term engagement of residents, including:
 - a. Career pathways that are employer-defined with clear handoffs and connections throughout
 - b. Work-based learning, apprenticeships, incumbent worker training, and other strategies that support earning and learning together
 - c. Work-readiness skill development throughout lifelong learning process
 - d. A concierge service across state agency, non-profit and higher education portals to create a “no wrong door” approach that networks existing capacity together
- 3) Establish coordinated, networked and targeted strategies to engage untapped talent for high-priority populations with specific employment goals for each population, including:
 - a. Families, using a two-generation approach that prepares both the current and future workforce for success
 - b. Youth and young adults both in and out of school and work
 - c. Veterans
 - d. Individuals with disabilities
 - e. Residents recovering from opioids
 - f. Re-entering citizens
 - g. New Mainers
 - h. Rural Maine residents, including telecommuting and remote work strategies
 - i. Older adults
- 4) Recognize and integrate essential work supports with workforce system to support workplace success, including child care, transportation, mental health and other services; identify and address gaps in work supports

**STRATEGIC OBJECTIVE: BUILD AN INTEGRATED WORKFORCE DEVELOPMENT
INFRASTRUCTURE ACCOUNTABLE TO RESIDENTS AND BUSINESSES**

Creating a workforce development system that is accessible, data and demand driven and accountable to Maine residents and businesses will require an integrated and streamlined way of doing business. In a large geographic state with unique demographics and very limited resources, the workforce development system must be nimble, efficient and effective to meet the needs of

current and future employers. Working together, the core partners are committed to aligning and integrating their systems to ensure optimal access for Maine's workforce and employers. Initiatives will be pursued that streamline customer navigation, data sharing and continuous improvement through evaluation, accountability, and data driven decision making.

To achieve this objective, the core programs will employ a range of strategies that focus on alignment and integration of systems, services and operations.

Specifically, Maine will:

- 1) Establish coordinated infrastructure across public and private agencies with education and workforce programs and align along career pathways and within sectors with a focus on high priority populations that is responsive to changing business and resident needs
- 2) Re-brand and re-market the newly defined and expanded workforce system as a transparent and easily accessible system
- 3) Utilize data effectively through a common set of metrics across state agencies and move to an integrated data system
- 4) Leverage funding to expand the capacity of the workforce system through private sector investments, competitive federal procurements and untapped funding sources; braid funds to support seamless service provision and partner with philanthropy to seed innovation

III. OPERATIONAL PLANNING ELEMENTS

III.(a) STATE STRATEGY IMPLEMENTATION

III.(a.1) STATE WORKFORCE BOARD FUNCTIONS

Maine's State Workforce Board meets the WIOA state board composition requirements and will implement the functions under section 101 (d) of WIOA. The State Workforce Board will assist the Governor in:

- 1) The development, implementation, and modification of the state plan
- 2) The review of state policies and programs and recommendations on actions to align programs to support a streamlined system, including the review and provision of comments on the State Plans, if any, for programs and activities of one-stop partners that are not core programs
- 3) The development and continuous improvement of the workforce system, including:
 - a. The identification of barriers and means to remove them to better coordinate, align, and avoid duplication among programs and activities carried out through the system
 - b. The development of strategies to support use of career pathways for the purpose of providing individuals, including low-skilled adults, youth, and individuals with barriers to employment, with workforce investment activities, education and supportive services to enter or retain employment
 - c. The development of strategies for providing effective outreach to and improved access for individuals and employers who could benefit from services provided through the workforce development system
 - d. The development and expansion of strategies for meeting the needs of employers, workers, and jobseekers, particularly through industry or sector partnerships related to in-demand industry sectors and occupations
 - e. The identification of regions, including planning regions, for the purposes of sec 106(a) and the designation of local areas under section 106, after consultation with local boards and chief elected officials

- f. The development and continuous improvement of the one-stop delivery system in local areas, including providing assistance with planning and delivering services
 - g. The development of strategies to support staff training and awareness across programs supported under the workforce development system
- 4) The development and updating of comprehensive state performance accountability measures, including state adjusted levels of performance, to assess effectiveness of core programs in the state as required under section 116(b)
 - 5) The identification and dissemination of information on best practices, including best practices for:
 - a. The effective operation of one-stop centers, relating to the use of business outreach, partnerships, and service delivery strategies, including strategies for serving individuals with barriers to employment
 - b. The development of effective local boards, which may include information on factors that contribute to enabling local boards to exceed negotiated local levels of performance, sustain fiscal integrity, and achieve other measures of effectiveness, and
 - c. Effective training programs that respond to real-time labor market analysis, effectively use direct assessment and prior learning assessment to measure an individual's prior knowledge, skills, competencies, and experiences, and that evaluate such skills and competencies for adaptability to support efficient placement into employment or career pathways
 - 6) The development and review of statewide policies affecting the coordinated provision of services through the state's one-stop system described in sec 121(e), including the development of:
 - a. Objective criteria and procedures for use by local boards in assessing the effectiveness and continuous improvement of one-stop centers
 - b. Guidance for the allocation of one-stop center infrastructure funds under sec 121(h)
 - c. Policies relating to the appropriate roles and contributions of entities carrying out one-stop partner programs within the one-stop delivery system, including approaches to facilitating equitable and efficient cost allocation of such system

- 7) The development of strategies for technological improvements to facilitate access and improve the quality of services and activities provided through the one-stop system, including improvements to:
 - a. Enhance digital literacy skills (as defined in sec 202 of the Museum and Library Services Act (20 U.S.C. 9101), referred to in this Act as “digital literacy skills”)
 - b. Accelerate participants’ acquisition of skills and recognized postsecondary credentials
 - c. Strengthen the professional development of providers and workforce professionals
 - d. Ensure technology is accessible to individuals with disabilities and individuals residing in remote areas
- 8) The development of strategies for aligning technology and data systems across one-stop partner programs to enhance service delivery and improve efficiencies in reporting on performance accountability measures. This includes the design and implementation of common intake, data collection, and case management information, and performance accountability measurement and reporting processes, and the incorporation of local input into such design and implementation, to improve coordination of services across one-stop partner programs
- 9) The development of allocation formulas for fund distribution to local areas for employment and training activities for adults and youth workforce investment activities as permitted under sections 128(b)(3) and 133(b)(3)
- 10) The preparation of annual reports described in paragraphs (1) and (2) of section 116(d)
- 11) The development of the statewide workforce and labor market information system described in section 15(e) of the Wagner-Peyser Act (29 U.S.C. 491-2(e))
- 12) The development of policies that promote statewide objectives for, and enhance the performance of, the workforce development system in the state.

Board membership complies with WIOA-required percentages of business and workforce representatives, government and state agency representatives, and representatives from community-based organizations.

Board membership was expanded in 2019 to include a third county commissioner to ensure representation from each local workforce area. Additionally, legislation was passed to add a seat representing the Department of Economic and Community Development (DECD) to the board (26

MRSA §2006, sub-§2-A). While the DECD representative had previously participated as an advisory member, this legislation codified their role on the board as a voting member. With the addition of these members, new employers and workforce partners were also added to the board to ensure it meets the employer majority and at least 20 percent workforce member requirements.

This same legislation also made members of the State Workforce Board subject to review by the joint standing committee of the legislature having jurisdiction over labor matters, and confirmation by the Legislature.

The board benefits from additional input from the Commissioners of Health & Human Services, Corrections, and Transportation, as well as representatives of the Maine Community College and the University of Maine systems.

The State Workforce Board meets quarterly and decisions are made by a vote of the majority present as articulated in the State Workforce Board by-laws²³. The by-laws also require a quorum of at least 50 percent of the appointed members and at least 50 percent of the quorum being business representatives.

The State Workforce Board is funded by the Maine Department of Labor and staffed by a director, a workforce development program coordinator and a labor program specialist.

It has six constituent committees that make recommendations to the board about service delivery and policy: Apprenticeship, Commission on Disability & Employment, Older Workers, Veterans, Women's Employment, and Younger Workers. These committees meet four to eight times annually. State Workforce Board members are active on the Youth, Veterans and Commission on Disability and Employment. Other committees are working on enhancing their membership and identifying State Workforce Board members to participate on the committees. To ensure continuity between the larger board and committees, the State is integrating regular committee updates into Board meetings as well. As the State moves to implement the State Plan, committees will be instrumental in participating in the activities and providing feedback on implementation. The State Workforce

²³ SWB by-laws <https://www.maine.gov/swb/laws/index.shtml>

Board staff also sit on the State Rehabilitation Councils for the Division for the Blind and Visually Impaired and the Division of Vocational Rehabilitation.

The State Workforce Board is in the process of implementing a process of providing updates to Board members between meetings. During the recent Covid-19 pandemic, updates were being provided on at least a weekly basis, at times, daily, and the intent is that updates will continue on at least a monthly basis when businesses reopen and information slows.

The State Workforce Board and the State Workforce Agency (SWA - Maine Department of Labor) will work together to establish and convene workgroups that focus on required implementation and service delivery components of WIOA.

Working closely with the SWA, core program staff and the workgroups, the State Workforce Board will fulfill its responsibilities to assist the Governor with all the required functions in section 101(d) of WIOA.

III.(a.2) IMPLEMENTATION OF STATE STRATEGY

(A) CORE PROGRAM ACTIVITIES TO IMPLEMENT THE STATE'S STRATEGY

Workforce Development Infrastructure

Commissioners of the core programs are represented on the State Workforce Board. This ensures a level of equal representation and collaboration to initiate state-level system changes. The State Workforce Board also has the WIOA Implementation Policy Committee (WIPC). This committee is made up of the program directors of the core partner agencies and executive directors of the local workforce boards. This group generates and examines policies to meet WIOA requirements and guide program alignment. System-facing policies are presented to the State Workforce Board for consideration and validation.

The WIOA Program Partner Committee, made up of the lead administrators of all WIOA-required partners and leads from additional partner agencies, is convened on an as-needed basis to inform the board and/or work in collaboration to implement the goals of WIOA. Partners have made commitments to achieving an integrated and seamless workforce system through a written

memorandum of understanding that provides the framework for how partners collaborate to serve workforce participants and employers. Partners will develop policies and procedures that improve shared customer flow.

The core partners recognize it important that employees and clients of their agencies understand the vision, the services available to users of the system, and the role and responsibilities of each partner relative to the success of the vision. To that end, they will:

- Work together with the local area one-stop operators to create and disseminate a common message about Maine's workforce development system
- Provide extensive professional development and cross-training between workforce partners so each can deliver a consistent message on services and practices (i.e. data/resources, recruiting, training opportunities, retention, educational opportunities, layoff assistance)
- Ensure agency points of contact have a broad knowledge and can be responsive and effective in connecting customers with workforce resources
- Contribute to informational websites for external stakeholders
- Develop marketing materials that highlight a collaborative approach to service delivery
- Post partner information on each other's website
- Create and disseminate marketing materials in alternate formats that are accessible to individuals with disabilities and reflect cultural competence
- Create and disseminate educational materials for employers regarding the benefits of employing priority populations, including veterans, older adults, youth, individuals with disabilities, formerly incarcerated, and New Mainers, paying specific attention to the needs of small businesses in rural areas of the state
- Use the compilation of data and evaluation with rapid cycle metrics as the cornerstones to increase the effectiveness of Maine's workforce development system. The core programs are committed to sharing data as allowed by law with vigilance regarding confidentiality and information security. The partners will establish mechanisms for tracking benchmark

performance indicators. MaineEARNs²⁴ and W.O.R.K. Services²⁵ are two examples of activities involving the core programs that will help analyze and improve Maine’s workforce development system.

Industry Outreach

Developing and sustaining close relationships with employers is essential to coordinating integrated responses to their needs. Using input from employers, the system will develop education and training programs to equip existing and future workers with necessary skills and align education and training programs that support industry-identified career pathways.

Employers will be engaged as system partners in a variety of ways to identify skill needs, validate stackable credentials, and act as training providers of work-based learning activities such as work-experience, on-the-job training, internships, apprenticeship, and customized training.

Business partners will be engaged at both the state and regional levels, through utilization and implementation of ongoing employer assistance initiatives such as the State Workforce Assistance Team (SWAT), a team made up of partners from education, workforce development, and economic development, and through strategic meetings with industry and trade associations and business-led forums.

A collaborative outreach campaign will be developed with involvement of workforce resource partners, education and training providers, and economic development entities. The outreach campaign will include development and delivery of oral presentations and marketing tools collaboratively created by the partners. They will present an easy to access, seamless system of employer services that blend workforce, education, and economic development resources in response to business needs. Recognizing the needs of employers to attract and retain a diverse talent pool, resources will include proven strategies and best practices in building an inclusive workforce.

²⁴ MaineEARNs <https://www.maine.gov/labor/cwri/maineearns/>

²⁵ W.O.R.K. Services <https://workservices.maine.gov/>

Implement direct contact with businesses and their representatives.

State and local boards and business outreach team leads will generate the input and involvement of employers through:

- Meeting with individual businesses at local, regional, and state levels
- Hosting and/or attending regional industry forums that address workforce development needs
- Strategic planning and formal communications with industry and trade associations
- Events sponsored by state and local workforce boards
- Employer advisory committees to the Career and Technical Education (CTE) schools, Maine Community Colleges, and the University of Maine system
- Chambers of Commerce and the Maine Workplace & Disability Connection

Lifelong Learning and Employment

Many Maine employers have identified an immediate need for skilled workers. Concurrently, many Maine adults with the need for employment do not have the time or means to enter traditional training programs or to commit to earning two or four-year degrees. Both employers and workers need alternatives to gain the skills, knowledge, and ability required for jobs within specific industry sectors. Through collaborative efforts, core partners will promote the use of stackable credentials, micro-credentials, Maine College and Career Access, Registered Apprenticeship, and other training programs that integrate and contextualize academic and workforce skills. These best practices of program delivery accelerate learning through concurrent rather than sequential pathways.

The core partners see great promise in their work to develop and institutionalize portable, industry recognized credentials that can be earned in a relatively short period of time. While recognizing the need for entry-level workers, the Maine workforce system is not interested in creating a system of credentials that lead only into entry-level positions. In full-support of the goal to develop a system of lifelong learning and continued connection to employers, Maine is focused on developing a system that addresses accelerated pathways to employment.

To fully implement and support the activities noted above, Maine's core partners are committed to:

- Adopt and articulate a shared vision of an aligned lifelong learning system that clearly delineates each partner's role and responsibilities in the development of a seamless continuum of programs and supports leading to employment
- Demonstrate shared leadership and commitment to institutionalizing this lifelong learning system
- Work within the workforce system (including required one-stop partners, non-required organizations and employers) to construct and deploy the activities listed above
- Focus on the development of portable, stackable credentials of value for in-demand occupations. The U.S. Department of Labor defines a "stackable credential" as "part of a sequence of credentials that can be accumulated over time to build up an individual's qualifications and help them move along a career pathway or up a career ladder to different and potentially higher-paying jobs" (Training and Employment Guidance Letter 15-10, U.S. Department of Labor).
- Work within Maine's academic arena to support and expand on the work being done to develop portable, stackable, in-demand micro-credentials that are accepted by employers and lead to digital badges bearing post-secondary credit
- Establish pathways to employment that contain agreed upon multiple entry and exit points that enable all learners to participate as a result of earning various credentials and degrees
- Give priority consideration to referring adults to the Maine College and Career Access program to receive, according to their learning and employment goals, the academic, employability skills and introductory hard skills needed to enter a postsecondary education or training program without the need for remedial coursework
- Recognizing the need for individuals to possess foundational skills for success in employment and meeting life challenges, all core partner programs will be developed with consideration regarding the inclusion of foundational skills in math, reading, and literacy which may best be provided prior to entering a credential or other job training program, or concurrently
- Develop a system of accountability to ensure that education and workforce training initiatives provide the knowledge and skills necessary for employability
- Provide equal access to these opportunities through the implementation of universal design from the program design stage through implementation and reflect cultural competency

- Integrate work-readiness skills into programs offered throughout the lifelong learning process
- Identify and integrate into the workforce system, those supports needed for workplace success; childcare, transportation, mental health, intensive academic and career advisement and other services
- Use and promote data and continuous improvement strategies. Partners are data-driven and focused on continuously improving efforts by measuring participants' interim and ultimate outcomes as well as process indicators
- Support professional development. Partners support robust and ongoing professional development for relevant practitioners and administrators
- Develop a process of promoting credentials as a pathway to employment
- Create differentiated strategies that support equity in rural areas

(B) ALIGNMENT WITH ACTIVITIES OUTSIDE THE PLAN

As authorized by WIOA, the State Workforce Board is also comprised of non-required WIOA partners. Their expertise, knowledge, and resources in the areas of developing an integrated and accountable workforce system will be of great benefit. The State Workforce Board will also make use of every opportunity, including presentations to the Joint Committees of Labor and Housing and Innovation, Development, Economic Advancement and Business, to educate the entire legislature about workforce development activities, challenges and infrastructure to ensure alignment and avoid duplication.

Further, the core partners are well-connected to both required and optional one-stop partners, which allows for optimal use of other resources that can support Maine's workforce and employers. Partnerships with other state agencies, such as the Departments of Health and Human Services, Corrections, Education, and Economic and Community Development, are critical to maximizing federal and state resources while reducing duplicative or parallel efforts. Sources of funds that can be leveraged by mapping across agencies and programs will be identified. SNAP Employment and Training expansion in partnership with DHHS is one example. Pursuing other federal procurement opportunities and funds, such as the Lewiston Choice application, and meeting with philanthropic organizations to understand their priorities are other activities that will be undertaken. These partnerships are also critical to addressing statewide issues of housing, transportation, childcare

and access to broadband, which were identified in the many listening sessions conducted for the Governor’s economic development plan, as well as the WIOA State Plan. An important part of this strategy is the development of career pathways that include secondary and career and technical education, adult education, apprenticeship, post-secondary education, work-based learning, and other opportunities within industry sectors that are responsive to employer and job seeker needs.

Maine partners have taken great strides toward inculcating the “Whole Family Approach to Jobs” as a best practice for serving low income individuals and their families. Also referred to as a two-generation approach, it brings human services, education and workforce stakeholders together to:

- Identify program and policy alignment opportunities at the local, state and federal level that will improve employment equity and economic stability for low-income parents and work toward undoing intergenerational poverty for families
- Promote state policies and systems alignment that will improve access to and success in education, training and employment for parents
- Develop a regional learning community focused on whole-family approaches to employment equity that will include employer stakeholders

Maine’s Whole Families Working Group conducted research to assess the impact of benefits cliffs on families that rely on social service supports. The study reviewed the interplay between several state and federal programs and found that childcare and health benefits programs had the most extreme cliffs with downward slopes across all benefit programs, negatively impacting parents’ financial security and capacity to work outside the home. The Earned Income Tax Credit (EITC) at the state and federal levels was shown to be an effective policy lever to ease the cliff effect but more needs to be done.

Maine enacted a bipartisan package of bills, referred to as the Invest in Tomorrow package (LD 1772, LD 1774), in 2019. The new laws look to address the state’s benefits cliffs. The package eliminates the gross income test for TANF, invests \$2 million in whole-family pilot programs and increases the income disregard in TANF to support parents’ transition to work. It also authorizes an increase in TANF funds for transitional food assistance and establishes a working group to align programs and improve accountability for better outcomes for families. In addition, the Legislature enacted LD 765, which requires the Maine Department of Health and Human Services to convene a

stakeholder group to study asset limits in various state social service programs, including TANF and SNAP.

It is important for employers to understand how the benefits cliff creates work disincentives for low income working families. These employers understand that a very slight increase in wage could move the employee out of the income bracket to retain subsidized childcare or food stamps which they use to survive. Employers who participate in whole family approaches to jobs are better able to support and retain their employees through involvement with employee supports such as affordable childcare, providing non-cash incentives for exemplary work, supporting employees to advance their skills through tuition assistance or formal training opportunities leading to upward mobility along a formal career ladder.

To prepare a robust system of lifelong learning, agencies beyond the core partners need to be included in the process of developing stackable credentials. Maine is a geographically large state. The challenge of distance and limited resources have resulted in a tradition of collaboration and cooperation. Non-core partners are needed as each brings expertise, adds value to the partnership and greatly increases the success of developing a highly integrated lifelong learning and employment system. Partners vital to meeting this strategy include, but are not limited to, Department of Health and Human Services, state and local libraries, state and local workforce boards, state and local chambers of commerce, secondary educational institutions, Maine's Community College and University Systems, Department of Corrections, industry associations and labor associations. Due to our current shared vision to improve the state's economic viability and the prosperity of residents (many of whom are common clients), a variety of collaborative efforts between these agencies are already in place. These provide a firm foundation to build upon.

The Maine Department of Labor is recognized by USDOL as a State Approving Agency (SAA) for USDOL Registered Apprenticeship Program in Maine. Registered Apprenticeship allows trainees to earn while they learn a skilled occupation under the watchful eye of a mentor. The Maine Apprenticeship Program (MAP) has experienced unprecedented growth, nearly doubling the number of apprentices served with the last year. In part because of the tight labor market, demand from businesses interested in adopting registered apprenticeship to recruit, hire and train a skilled workforce continues to increase. Apprenticeship provides an alternative, structured pathway for youth and adults to earn a credential of value and good wages while meeting employers' needs. As

a truly viable career pathway in Maine, apprenticeship programming continues to expand with the following activities currently underway:

- Partnership with the Bureau of Rehabilitation Services (BRS) to develop apprenticeship opportunities for BRS customers with disabilities. The pilot project is gaining momentum and the first BRS apprentice has been placed in an apprenticeship as a bridge carpenter. The pilot is an example of expanding apprenticeship opportunities for priority populations through braiding workforce resources. This project will be replicated statewide
- Expansion of existing registered apprenticeship programs offered within the prison system to better prepare formerly-incarcerated individuals for successful re-entry to employment
- Development and expansion of quality youth apprenticeship programs, in collaboration with Career and Technical Education (CTE) schools and community colleges, that provide youth with a paycheck and structured on-the- job learning that allows them to apply relevant and affordable classroom training that results in dual credit toward high school graduation and an associate degree. Also pursue support of out-of- school youth apprentices with WIOA funding and services
- Focus on the registration of additional community colleges as registered sponsors of apprenticeship to facilitate small business access to apprenticeship programming and affordable related technical instruction
- Work with system partners and employers to establish entry level apprenticeship programs that articulate into more advanced apprenticeship training programs

(C) COORDINATION, ALIGNMENT AND PROVISION OF SERVICES TO INDIVIDUALS

Maine's core programs are in agreement about the importance of a coordinated customer service approach in achieving an effective workforce development system. Time is of the essence in addressing the employment and life needs of people with barriers. Progress is being made but results must come quicker through the creation of coordinated, networked, and targeted strategies to engage the untapped talent also referred to as high-priority populations. Individuals who may already be financially under-resourced, dealing with health (physical, mental and or emotional) challenges, lacking foundational academic skills including English language literacy, unaware of the how to navigate the current workforce system, or lacking basic computer skills to apply online require a system of help that is agile and responsive.

The re-branding and marketing of the system will reflect this coordination and customer-centered focus. W.O.R.K. Services is one example of an initiative underway to establish an integrated referral and registration system that is easily accessible to individuals no matter when or where they need help with education and/or employment.

Individualized career plans are also recognized as a primary tool to ensure that activities are coordinated and that resources are effectively used across programs to provide comprehensive and high-quality services.

Adult education is experiencing an increase in the number of younger dropouts enrolling in preparation classes to earn their HiSET, the test that lead to Maine's high school equivalency credential. Most of these younger adults need fewer hours of preparation before testing and score higher than other demographic groups. In FY 19, 36 percent of HiSET testers ages 17-18 scored at the college and career readiness level on all five assessments. In the 19-24 age group, 35 percent scored at the college and career ready level. These two age groups scored significantly higher than the 23-44 age group in both pass rates and college and career readiness attainment. Advising and recruiting efforts by adult education providers, in collaboration with postsecondary partners will address steps to engage these individuals in additional education and training opportunities leading to employment.

Adult education is exploring how this data may support changes to the current high school completion process to reduce the drop-out rate, especially for those students who have the academic skills, but do not want to remain in the high school environment. Steps will be taken to establish an improved referral process to more quickly connect students who leave high school with an adult education provider. A system, that includes robust youth apprenticeship opportunities may result in an alternative that provides these younger adults with credentials and a pathway to postsecondary opportunities.

Refugees, asylum seekers, and foreign-trained professionals face unique challenges to entering the workforce. Credentialing issues and limited financial assistance to pay for prior learning assessments keep many New Mainers from accessing appropriate training and employment opportunities. In addition to creating additional opportunities for English language acquisition, core partners will engage with other workforce development stakeholders to try and streamline the

foreign credentialing process and improve licensing process through work with the state licensing departments. This can include improved workforce development State resources to provide low and no-cost evaluations of foreign secondary and postsecondary credentials and better participant assessment and navigation in the process.

Core partner leads will monitor the progress of collaborative efforts to ensure the needs of sub-populations are being systematically addressed statewide. This group will also work to ensure that no instances of implicit bias are impacting the creation and delivery of services.

(D) COORDINATION, ALIGNMENT AND PROVISION OF SERVICES TO EMPLOYERS

Through the statewide visioning sessions, information was gathered from employers and others regarding their understanding of and needs and recommendations for an effective workforce development system. Each core partner has learned from experience that no one agency can successfully meet the needs of employers and workers on their own and that there is strength in the many workforce programs in Maine combining resources on behalf of shared customers. Whenever possible, interagency staff must work to leverage available funds and resources. Moving forward, partners will collaborate and seek opportunities for co-enrollment, so that available funding can support as many individuals as possible.

The outcome of employment is critical for successful engagement and retention of learners in both academic and job skills training programs. WIOA requires that the core partners coordinate activities and resources to provide comprehensive, high-quality services to employers to meet their current and projected workforce needs and to achieve the goals of industry or sector partners in the state. To meet that goal, all partners need to understand the services each has to offer, speak a common language, and promote the part that each partner plays in the system. The use of local, regional and state plans to align programs and activities is also critical to best providing services to employers. Partnerships with businesses and sector strategies will increase knowledge of current and projected workforces needs, to ensure workforce training, education and employment placement are job-driven and forward thinking.

The state plan implementation committee will be responsible for gathering information from the partners to coordinate efforts, streamline services to employers, look for opportunities that dovetail efforts with the Maine Economic and Community Development Plan and leverages resources. It will

ensure that each agency can use consistent language to effectively communicate with employers that:

- Their input is required for creation of a workforce system that is committed and responsive to their needs
- Clarify the roles of each partner in the system
- Clarify what they can contribute toward establishing stackable credentials and micro-credentials that advance the progress of entry level workers
- Clarify the benefits of registered apprenticeship, internships, on the job training, customized training, incumbent worker training, and support services
- Assistance is available to help them identify skills and qualifications for in-demand employment
- Employer engagement is vital in the creation of credentials that meet their needs and that will result in employment for those who earn them
- Employer input should guide the identification of sector pathways to enter employment

Located within the Maine Department of Education, the state office of adult education provides technical and grant management support to over 70 local adult education providers throughout the state. In FY19, providers served over 13,900 adults. The majority of these adults lack the foundational skills in numeracy, literacy and work readiness needed to be competitive in Maine's changing economy. The state director is a voting member of the State Workforce Board and local adult education programs are represented on each local workforce board. Adult education personnel at both the state and local levels participate on a number of boards and initiatives addressing the workforce needs of Maine's employers.

In addition to the state system-wide approach, there are many activities underway with the partners in the coordination of services to employers. Examples include:

- On a quarterly basis, the Statewide Workforce Assistance Team (SWAT), comprised of core partners and other key partners responsible for providing business services, convene to share best practices, provide program updates and learn about new opportunities. SWAT participants include but are not limited to staff from the following partners: WIOA service providers, Wagner Peyser, CareerCenter, Vocational Rehabilitation, Local Veteran Employer

Representatives, State-funded apprenticeship and Competitive Skills Scholarship Programs, Rapid Response and Trade Adjustment Assistance, community colleges, adult education providers, chambers of commerce, and non-profit organizations engaged in workforce development activities. SWAT meetings have been held regularly for the past three years and have been instrumental in furthering collaborative workforce development efforts amongst interested parties

- The Maine-At-Work Initiative²⁶ was developed collaboratively with workforce partners and continues to be an easy way for employers to request assistance with their workforce needs. An on-line request is generated and sent to MDOL staff who either respond to the employer inquiry directly or forward it to a partner contact for response. Maine-At-Work is also marketed through a flyer enclosed with each employer's yearly unemployment insurance tax information to prompt them to request assistance if they have any workforce development assistance needs
- Maine's Competitive Skills Scholarship Program (CSSP) is open to individuals whose family income is at or below 200 percent of the federal poverty level and who do not yet already have a marketable post-secondary degree or credential. CSSP is funded by contributions from employers through and offset from their unemployment insurance taxes. CSSP provides funding to eligible individuals for education, training and necessary support services that lead to high-wage jobs that are in demand in Maine. The education and training must be universally recognized and accepted by the trade or industry in which the participant intends to seek employment. In 2019, CSSP served 1,041 individuals
- Job Fairs are held regularly at each CareerCenter. In the larger centers, job fairs for specific sectors are held so job seekers can apply to multiple employers within a sector. Staff engage with businesses in attendance to discuss their hiring needs to better understand what the businesses are looking for
- A successful model that needs to increase in implementation is Integrated Education and Training (IET). As the name implies, this type of programming involves intentional planning to deliver the specific academic, employability skills, and workforce training to a pre-

²⁶ [Maine at Work https://www.maine.gov/maineatwork/](https://www.maine.gov/maineatwork/)

determined audience resulting in a workforce credential and or further training and employment. For example, a group of learners may be enrolled in a welding program that incorporates instruction in reading and/or math all contextualized to pertain to welding. In this instance, the academic and trades instructors might work together to identify the vocabulary and calculation assistance participants will need to be successful. The benefit of this approach is it enables participants who may be closed out of a similar welding class because of low foundational skills to participate and be successful with appropriate supports.

- Historically, adult education providers in Maine have worked independently or with small-scale partnerships for specific purposes. Recently, local programs were grouped into regional hubs to promote common standards, fiscal efficiencies, economy of scale, and greater collaboration amongst the adult education programs within the hub. Rather than compete against each other for financial resources, the emphasis is on mutual collaboration and support. This reorganization has resulted in strengthening all programs, and especially those in smaller, more rural areas. Within the boundaries of each hub there are community college campuses, a local workforce board, CareerCenters, and a University of Maine presence. Many hubs are strengthening their connections to these organizations as well as with other core partners to address the needs of employers and workers.

Local providers will continue their long-standing work of connecting with individual employers to design instructional services in response to their needs. The number of employers contracting directly with a local literacy provider for help with workforce development is growing. As appropriate, these services may include job-site classes, contextualized vocabulary, connections with occupational training, Maine College and Career Access transition programs, micro-credentials, and other means that help build the foundational skills of students while preparing them for successful employment

- The Bureau of Rehabilitation Services (BRS) coordinates and aligns services to employers that will encourage and support them in the hiring of individuals with disabilities. Partners will inform employers of the value in Maine's *Workplace & Disability Connection*, which is housed at the Retail Association of Maine and supported by the Maine Department of Labor and the Department of Health and Human Services. The network provides a forum that encourages business-to-business discussions about hiring, retaining and career

advancement of people with disabilities. BRS also utilizes in-house staff to help provide the needed connections between Vocational Rehabilitation staff, clients seeking employment, providers, and employers. To do this, BRS learns the needs of employers and connects them with clients that have the strengths, abilities, and interests to meet those needs. BRS is starting this process at a younger age, working with youth through a model adopted from Vermont, called *Progressive Employment*, currently being offered in four Division of Vocational Rehabilitation offices. Maine's *Progressive Employment* initiative takes a dual customer approach to meet the needs of employers and Maine youth with disabilities by matching them to activities such as: job tours, interviews, job shadows, work experience, and on-the-job training. These experiences give the employer the opportunity to meet their next generation of workers at little to no risk while also assisting the youth to build employment skills

Future activities identified during this state plan period related to the coordination, alignment, and provision of services to employers include:

- **Business outreach tools developed with cross-agency partner input:** Tools will be developed to support an integrated, seamless system of services to businesses. New marketing and outreach tools will be co-developed by members of the business response teams from education, economic and workforce development. Integrated business assistance marketing tools will stress services over programs and promote no-wrong-door access, whereby businesses can rely on single point of contact to access the full menu of services.

Similarly, a business needs assessment tool to be used by business outreach team members to assess needs pertaining to workforce and other business challenges will be created with partner and employer input. Use of the common tool will ensure business needs are easily communicated and assigned to specific partners.

An integrated service response tool will be developed to outline response actions, agency resource commitments, employer commitments, and expectations. This tool will be accessible, easy to understand, and serve as a plan to be followed by the employer and the multiple service agencies responding to the business needs.

- **Employer/Business Response Team - No-Wrong Door** State and regional-level business response teams will be identified and cross-trained. These teams will include leads from agencies with resources and capacity to assess and address business needs (both economic and workforce). Business response team members will attend ongoing cross-training necessary to understand and represent the full menu of services and to ensure a single point of access by which employers can acquire the information and resources necessary to address their workforce and business development needs.

Business response teams at the state and regional levels may include representatives from three key resource areas:

- Workforce development:
 - Employment services (MDOL's Bureau of Employment Services and Bureau of Rehabilitation Services) on behalf of:
 - Apprenticeship
 - Competitive Skills Scholarship Program -Business
 - Federal Bonding Program
 - Foreign Labor Certification Program
 - Labor Exchange
 - Rapid Response
 - Reemployment Initiatives
 - SafetyWorks
 - Trade Act
 - Veteran's Services
 - Work Opportunity Tax Credit
 - DHHS - TANF (Fedcap – Parents as Scholars – LIFT – HOPE)
 - Title IB service providers (Adult, Dislocated Worker, Youth)
 - Vocational Rehabilitation (Division of Vocational Rehabilitation & Division for the Blind and Visually Impaired)
 - Pre-Employment Transition Services
 - Workforce boards
- Education and Training:

- Adult Education
- Career and Technical Education Secondary Schools
- Job Corps
- Maine Community College System
- Private schools, colleges, universities
- Trade skills training entities
- University of Maine System
- Educate Maine
- Economic Development
 - Center for Workforce Research and Information (CWRI)
 - Department of Economic and Community Development
 - Regional and municipal economic development entities
 - Small Business Association
 - Small Business Development Centers
 - May also include (as appropriate):
 - Coastal Enterprises, Inc.
 - Employer representatives
 - Finance Authority of Maine
 - Live and Work in Maine
 - Maine Chamber of Commerce
 - Maine Development Foundation
 - Maine Manufacturing Extension Partnership
 - Maine Rural Development Authority
 - Maine Technology Institute
 - Philanthropic entities
- **Expert Business Response Team** Comprehensive business support and integrated service strategies will be offered by a fully-informed business response team that has a grasp on the available resources available to be leveraged from a multitude of partner agencies. Cross-training of business response team members will include:
 - Understanding workforce development resources and who to work with at the local, regional, or state level

- Understanding economic development resources and who to work with at the local, regional, or state level
- Navigating education, training, and research and development resources
- Understanding labor market and industry information and sources
- Understanding best practices in attracting and retaining untapped labor talent pools
- Understanding and effectively utilizing business outreach materials and tools
- Effectively assessing employer needs and coordinating efficient low-risk responses in collaboration with business response team partners
- Addressing employer needs using the integrated response tool approved by team partners
- Tracking and communicating employer services to ensure follow-up and reporting of achieved outcomes
- **Seamless Coordination of Services** Business response teams will work behind the scenes to address industry needs using an integrated response tool as follows:
 - Using agreed-upon communication protocols to share business needs assessment data with appropriate partners
 - Within agreed-upon timeframes, partners will review and assess appropriateness of services their agency can offer and will identify the level and type of service(s) they can provide as part of the integrated service response, a point person and contact information, the dollar amount of either in-kind or cash resource to be provided, additional data required or steps the employer must take to access the resource, dates by which employer must provide information, timelines in which services/resources are to be provided, and outcomes achieved.
 - In most cases, the initial point of contact will act as lead liaison with the business on behalf of all partners and support the employer in achieving the desired outcomes and implementing the integrated service response.

A no-wrong-door, integrated service response strategy removes the need for employers to navigate a vast and complex system of services and assures they are presented with appropriate services. Interagency responses will promote layoff aversion activities, clarify and address perceived skill gaps, and allow workforce agencies to promote the employment of underutilized talent pools. It will link employers to business assistance programs and technical assistance on a just-in-time basis.

Properly assessment of an employer's workforce and business service needs is essential to developing and providing effective solutions. A collaborative approach to addressing business needs will eliminate duplication of efforts and ensure responses are developed with the focus on the employer rather than the program. As stated previously, business response team members must be those with an excellent command of the programs they represent and a good command of services/programs offered by the other partners.

(E) PARTNER ENGAGEMENT WITH EDUCATIONAL INSTITUTIONS

Educational institutions are key partners in Maine's workforce development system and play a critical role in the State's strategies to increase the effectiveness in how partners work together. Through articulation agreements, establishment of career pathways, joint professional development, and a focus on best practices that reduce barriers to employment (especially for high priority populations), the partners will work together and meet the strategic vision. To that end:

- The re-branding and marketing of the workforce development system will create and distribute a common message that conveys the role of educational institutions as part of the system
- The State's education and training systems will be supported to provide job-driven instruction as part of a cohesive continuum that includes secondary schools, adult education, community colleges, universities, on-the-job training, and apprenticeship
- Partners will increase engagement with secondary schools to expand student awareness of Maine's career pathways, in-demand occupations, and employment opportunities
- Postsecondary educational institutions and training organizations will join in the messaging of the workforce development system
- Engaging core partners and employers in micro-credentialing and digital badging will ensure that skills are meeting industry and business needs and credentials are recognized by employers
- Working with education, workforce, and employers, including the MaineSpark and All Learning Counts initiatives, criteria for a "credential of value" will be defined in a way which is clear, measurable, and meaningful to individuals and employers. Career pathways will be identified which allow workers to engage with educational opportunities that lead to higher wage occupations in in-demand sectors

- Workforce development service providers in each of Maine's local areas will partner with adult education providers, local community colleges, industry trade groups, and others to develop recruitment and training programs to meet the needs of individual or sector employers. For example, the Aroostook County Action Program (ACAP), provider of adult, dislocated worker, and youth programs in Maine's most northern county, regularly partners with the local adult education providers to address the new hire training needs of employers. A recent initiative involved three regional health care providers and resulted in a health care academy designed to prepare workers for entry-level positions in patient care. Similarly, a construction boot camp was developed in conjunction with adult education and Associated General Contractors to prepare entry-level workers to enter the construction trades. A new initiative is currently underway that will package recruitment, assessment and training services for a new processing factory.

Though adult education in Maine is characterized as working with learners beyond the age of compulsory education, historically, the majority of learners served have been in 24 and above. The efforts of adult education providers have been on moving this group on to college and/or employment. Adult educators are well-acquainted with the challenges and life situations of this group.

Data now indicates younger learners are seeking adult education services. Most of these students come well-prepared and earn high scores, many at the college and career-ready level. This group is not leaving school because they lack ability, but as a result of environmental issues. They report feeling bullied, disenfranchised, or dealing with anxiety and/or family issues. Adult education is no longer a place for problem students end, but a positive solution for a growing number of students. In response to this change, adult education will be taking steps to interact differently with the day school.

Steps planned:

- Conduct several listening sessions to hear from this group of young test takers more about why they chose adult education and how best we can serve them
- Provide professional development to instructors and staff on understanding the needs of this group

- Establish relationships with high school guidance counselors to inform them of possible ways adult education can help them, especially with career and postsecondary advisement as well as micro-credential attainment in technology and health care post-graduation
- Develop pathways to adult education for the 40 percent of high school graduates who do not have any post-secondary plans
- Explore pathways and collaborations with Career and Technical Education programs
- Work with high schools to formulate what it looks like for adult education to serve as a recognized pathway to high school completion

Adult education will look to update MOUs with educational partners and work to increase the number and quality of collaborations with other educational institutions and include those that may be missing.

It is important that communication occurs not only with the public postsecondary system but also the private institutions. There must be engagement with employer training departments to determine what foundational skills their current and prospective employees may need and how these skill requirements might be integrated into their training and hiring efforts.

Adult education will continue to draw on other agencies with expertise in the delivery of English language services to coordinate ways to meet the ever-rising demand for this type of instruction and will develop, introduce, and put into place, a referral system between the various programs and service providers so learners have access to the most appropriate provider.

(F) PARTNER ENGAGEMENT WITH OTHER EDUCATION AND TRAINING PROVIDERS

Core and other partner agencies will collaborate with the “MaineSpark” initiative (with a goal of ensuring 60 percent of Mainers will hold a credential of value by 2025) to ensure alignment of activities, sharing of information, participation in and contribution to cross-training and professional staff development, and participation in local, regional and state strategy implementation sessions. They will ensure local and regional employer stakeholder groups are apprised of the goals and work of the initiative and have opportunity for input on the specific credentials of value being considered and promoted.

Similarly, system partners will work with the University of Maine system to support work initiated through the “All Learning Counts” initiative, funded by the Lumina Foundation and focused on expanding opportunities for adults, (especially people of color) to attain credentials. The initiative supports the goal of MaineSpark and seeks to expand access to a range of credentials from micro-credentials to traditional degrees. Like MaineSpark, “All Learning Counts” is a coalition of public and private organizations working to develop a micro-credential ecosystem and to support adult learners in gaining credentials demanded by employers. Two critical components of this initiative are to validate skills learned outside of educational systems (non-institutional learning) for credit toward credentials and provide more flexible, accessible programming and access to support services that will address personal and academic challenges facing adult learners.

Key partners include University of Maine Orono and Augusta, the Wabanaki Center, Eastern Maine Community College, the Maine Department of Corrections and its vendor Edovo, the Maine Department of Labor, the State Board, the Maine Department of Education – Adult Education, the Maine State Library, the United Technologies Center and Educate Maine. Educate Maine is another collaborative initiative that promotes education and career readiness through teacher education and connecting teachers with businesses to ensure curricula are meeting the needs of industry.

It is important to stay in communication with the state postsecondary system and also the private institutions to stay current on their initiatives and avoid duplication. There must also be engagement with employer training departments to determine what foundational skills their current and perspective employees may need and how they might be integrated into their training and hiring efforts.

Adult education needs to draw on other agencies with expertise in the delivery of English language services to coordinate ways to meet the ever-rising demand for instruction.

A learner referral system between the various programs and service providers must be developed, introduced, put into place, and promoted to ensure learners, and the partner agencies have awareness of and access to the most appropriate provider.

(G) LEVERAGING RESOURCES TO INCREASE EDUCATIONAL ACCESS

The establishment of a coordinated, networked, and targeted strategies approach is the first in a series of steps needed to use each agencies' resources effectively. Deliberately planning together to serve specific sub-populations can result in collaborative programming and grant writing that strengthens an application rather than competing against one another.

To best leverage resources, it must be clear amongst the partners what the resources can support. Each agency has slightly different eligibility requirements. Being aware of who partners can serve and who they cannot creates the ability to braid funding and serve more customers. Collaboration for resource sharing among partners on a state and local level is effective as funding streams ebb and flow. Frontline case managers will be fully knowledgeable of what is available and able to guide individuals to appropriate core program services and other available benefits such as Federal Financial Aid, TANF/ASPIRE, individual scholarships, and more. Leverage of supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) funds can result in a federal match of state funds.

The involvement of core partners to support the efforts of other agencies also results in a synergistic environment and improved outcomes. Educate Maine and the Maine Development Foundation are focused on the state's goal that by 2025, 60 percent of Mainers will hold a credential valued by Maine's businesses. A workgroup is being established to focus on improving Kindergarten – 12th grade coordination, in conjunction with the State's Economic Development Plan. Other organizations with a similar vision, human capital, and expertise that can be leveraged include Finance Authority of Maine (FAME), New Ventures, and Maine Educational Opportunity Center. Others include the trade associations, chambers, private employment agencies, and employer training departments.

Additional steps to undertake to leverage resources include:

- Increase in co-location of adult education programs on post-secondary campuses
- Offer additional post-secondary courses in adult education programs through articulation agreements
- Joint professional development for intake and advising staff of educational and workforce system partners

- Elimination of barriers for evaluation of foreign secondary and postsecondary credentials

The majority of workforce and economic development programs and resources require a commitment from the employer/business in exchange for program assistance. Such commitments range from agreement to hire trainees who successfully complete training, provision of in-kind or cash match toward cost of formal classroom costs, paying the full wage for on-the-job training with an understanding that a partial wage reimbursement will be provided to offset the cost. In most cases, the employer invests more than 50 percent of the cost of employee training.

Partner resources that can be leveraged are as follows:

- Labor market research and information provided by CWRI
- Prevailing wage data and workplace safety information and training provided by the Bureau of Labor Standards
- Employer tax information provided by the Bureau of Unemployment Compensation,
- Employee recruitment and labor exchange services provided by the Bureau of Employment Services, including job fairs
- Informational services and training to businesses by the Bureau of Rehabilitation Services regarding the benefits of and supports available for employing individuals with disabilities
- Help to the farming industry to access migrant and seasonal farm workers and assurance of safe and clean living and working environments for workers hired through the H2B program
- Assistance with development of registered apprenticeship programs through the Maine Apprenticeship Program, an industry-led employee training mechanism that provides businesses with a formal, long-term method for ensuring new hires and existing employees to attain necessary skills
- Recruitment of participants from each of the core partners and/or outside partners, including assessment of work history and work readiness skills required by the employer and required to succeed in the specific on-the-job training, customized training, integrated education and employment activity and incumbent worker training

The Maine Community College System's Business and Industry Program works to develop and deliver industry-specific training to businesses across Maine and New England. One of the programs offered is the Maine Quality Centers (MQC). The MQC program funds the cost of customized

classroom training for new hires and/or incumbents whose positions will be backfilled once their skills have been upgraded. The MQC program is often packaged with WIOA funded OJT resources and the Bureau of Employment Services division of the Maine Department of Labor provides specialized recruitment services to the MQC to identify participants to fill the training slots.

Local workforce areas are partnering with Career and Technical Education Centers and high schools to offer a bridge program to the community college. This program allows CTE students to take college-level classes while in the secondary program and earn credits toward a college degree. This practice introduces students to college-level course requirements and alleviates the perception that college is beyond their reach.

Through Vocational Rehabilitation's Pre-Employment Transition Services, students with disabilities are engaging in real-world work-based learning activities (job tours, job shadows, paid work experiences, etc.) earlier. Partnership with Jobs for Maine Graduates is yielding promising results for students with disabilities in a research project in targeted Maine schools. Use of the Progressive Employment dual-customer approach is introducing Maine employers to a new generation of employees at low/no risk and innovative programming, such as Step Up and College Prep, and opening post-secondary and career opportunities that have not existed previously for individuals with autism and visual impairments.

(H) IMPROVING ACCESS TO POSTSECONDARY CREDENTIALS

The State's strategies as described throughout this plan will address issues that prevent access to postsecondary credentials, including establishing youth apprenticeship opportunities and increasing the number of Registered Apprenticeships, addressing student loan debt issues that prohibit readmission, continuing partnership efforts with initiatives, such as Live and Work in Maine, to encourage college graduates to stay and work in Maine, supporting the transition of students from high school to community college and university, including advocating for smoother credit transfers between institutions, developing and sharing a clear, concise consumer handbook with information on postsecondary services, publicizing no-cost and low-cost training opportunities, and promote availability for Vocational Rehabilitation to collaborate and coordinate with educational institutions in provision of services for students with disabilities.

The world of workforce development is becoming increasingly aware of the meaning, benefits and uses of stackable credentials to enable a person to progress from a series of stackable short-term certificates to postsecondary degrees to their chosen occupations. In the world of education, a very similar process is referred to as micro-credentials. Each micro-credential certifies competency in a specific skill. These micro-credentials can be stacked to indicate higher level of skill attainment and in Maine, the goal for many is to connect them with recognized course credits and if desired, lead a holder of micro-credentials on to other credentials or degrees.

The benefits to earners of micro-credentials, especially for WIOA clients, are that they are not place based, are short-term, tied to learner mastery, can be earned online at the learner's convenience, are self-directed, contain job embedded content, many include college credit, eliminates duplication of coursework, and can be used to recognize and validate prior learning. These factors make them a valuable solution to the state's need to connect with learners who feel unable to participate in traditional education and/or training due to financial or time constraints or who believe they are not "college material".

The benefits of micro-credentials to the workforce system is that they clearly articulate what the person has done to earn the credential in a job specific area. In addition, whereas new programs of instruction at the higher education level can take a long period of time to develop and be approved, micro-credential development is very nimble. This makes for a timely response to employer needs.

Both adult education and the MDOL are currently participating in an All Learning Counts (ALC) initiative lead by the University of Maine System. The project focuses on engaging adults with barriers in earning micro-credentials and gaining employment. Committees are currently focusing on the sub-populations of low-income, Native American, English language learners and incarcerated individuals. Other partners include the community college system, Maine Department of Corrections, Edovo, Educate Maine and the Maine State Library.

Though the content area will vary, all of the micro-credential work is separated into three consistent areas of competency attainment.

- Level 1- Exploration and Discovery
- Level 2- Skill Development
- Level 3- Initiative/ Leadership

Following the completion of these three levels, the learner earns a stacked macro-badge, which is the cumulative assessment of skills, evidence of learning is visible and validates alternative learning. Micro-badges, capturing 21st Century skill development and/or industry/association credentials, will also be embedded along the pathway, adding further value.

University of Maine System is part of Education Design Lab's Badged to Hire campaign, implementing employer-demanded 21st Century skill badges into courses and programs.

This micro-credential initiative relies on Maine's workforce data regarding areas of employer need and the specific competencies required of employees. It also includes the development of an employer advisory group to ensure, like stackable workplace credentials, that micro-credentials align with employer needs, will be recognized for employment purposes and support Maine's goal of a seamless continuum of programs and supports with a focus on career pathways for in-demand industries.

Adult education is expanding its connection to the state's postsecondary institutions regarding that continuous and seamless continuum. In 2019, adult education providers established a presence on three of the seven community college campuses. Efforts are continuing to expand that number. When adult education is on community college campuses, adult education learners envision themselves as college students and recognize they have adult education support services to help them transition to college. Having staff members on the campus also facilitates the communication that is needed amongst the two systems to articulate the best pathways for students.

Adult education will continue to build on the collaborative success of the Maine College and Career Access (MCCA) transitions program which also fully integrates into Maine's priority to develop a seamless continuum of programs and supports. MCCA, offered by adult education providers across the state, provides academics, college and employability success skills for adult education students seeking a postsecondary credential and/or employment. In the past, MCCA targeted adult students over 25 with a high school credential who were planning to attend a traditional postsecondary institution. In response to a changing adult education population and the Maine workforce needs, the state adult education office revised the grant goals in 2018 to include all adult education students and those seeking any postsecondary credential of value. This change allows adult education providers to increase access for young adults under 25 and for those students without

high school credentials. Pathways for students from a high school credential to MCCA or a postsecondary credential were created.

Partner efforts also resulted in the Maine Community College System accepting college and career readiness scores on the HiSET in place of the NextGen ACCUPLACER placement test. This change, which began in early 2019, allows students who perform at the HiSET college and career level to enter directly into credit-bearing courses. Beginning at the time of student intake and throughout their preparation for taking the HiSET, emphasis will be placed on the benefits of scoring at the college and career readiness level. When learners are prepared through MCCA to enter postsecondary without having to take developmental courses saves money and accelerates the path to graduation. Adult education providers, organized in regional hubs, continue to collaborate to ensure equitable access to MCCA programming across their region, as well as coordinating with postsecondary partners in their region to develop articulated courses or to encourage co-enrollment.

The adult education state director will continue meeting with representatives of the workforce training department of the Maine Community College system. Goals of those meetings have been to increase communication amongst the local programs and their community college partner with the focus on establishing the appropriate place for adult education to support learners in community college trades programs.

With greater availability for adult education students to earn college credits comes the possibility for them to enter community college with six college credits and be eligible for Pell funding. Currently, lack of access to federal financial aid is a major barrier for many WIOA eligible learners to enter postsecondary. Working with postsecondary partners, including the university system to develop a system for these learners to access Pell will greatly increase their access to academic and career education.

(I) COORDINATING WITH ECONOMIC DEVELOPMENT STRATEGIES

For the first time in more than 20 years, Maine has a ten-year economic development plan. This plan for 2020-2029, created by the Maine Department of Economic and Community Development (DECD) with input from many other government agencies, business leaders and private

organizations, focusses on the state's economic growth, particularly in rural Maine, and includes language that resonates with the goals and priorities of this state plan.

"By 2030, Maine will be an international leader with a vibrant, sustainable, environmentally-responsible economy. All across the state, the people of Maine will have access to an unmatched quality of life and good-paying jobs."²⁷

The hinge points of the DECD Plan are talent and innovation. This WIOA state plan includes several steps to address the DECD near-term recommendations and it will be important that related activities are coordinated on state, regional and local levels. Those include the development of a system of stackable, micro-credentials, increasing the availability of online learning, and instituting statewide a variety of real world, on the job learning opportunities.

Maine's economic development strategy focuses on three overarching goals: grow the average annual wage by 10 percent, increase the value of products sold per worker by 10 percent, and attract 75,000 additional people to Maine's talent pool. Seven core strategies have been outlined to achieve these goals:

1. Grow local talent
2. Attract new talent
3. Promote innovation
4. Support universal connectivity
5. Provide supporting infrastructure
6. Maintain a stable business environment
7. Promote hubs of excellence.

Workforce and economic development partners will work collaboratively to implement several action steps outlined in the State economic plan with a focus on four key industry sectors: Healthcare, Clean Energy, Manufacturing and Tourism.

²⁷ Maine Economic Development Strategy 2020-2029

Steps will be taken to promote career exploration, apprenticeship and internship opportunities and engage workers in continuing education that will result in attainment of stackable credentials for career advancement. Education partners will work to align curriculums to the digital economy and articulate career pathways that support workers along the continuum of careers in high-demand industry sectors. Providers working with diverse populations will strive to increase their participation in the workforce through specialized outreach, development of paid work experience opportunities, provision of service supports and promotion of the Work Opportunity Tax Credit and Federal Bonding programs to name just a few.

Workforce and economic development leaders at the State level will work to achieve structural alignment of workforce and economic development priorities, joint business engagement responses, and to establish regular use of a common database of employer contacts and service responses.

In addition to this, the State Workforce Board and the workforce development system will be working with the Children's Cabinet to work with other state agencies to address other issues which impact Mainer's abilities to find and maintain employment such as housing, transportation and childcare.

Regional collaborations between workforce, education, and economic development partners continue to work to align resources and address the needs of local and regional employers.

ATEC is a collection of WIOA partners, higher education, legislator representatives, employers, and other relevant agencies like New Ventures. The leadership is a collaborative effort to "tackle" regional workforce and education issues and to identify and braid services to address business workforce needs.

In the tri-county area of Penobscot, Piscataquis and Hancock counties, Title IB services are provided by Eastern Maine Development Corporation (EMDC) which is also the lead regional economic development agency. In these complementary roles, staff from each part of the agency are able to integrate a wide range of services to businesses and community partners, including work to assist the regions recovery from the demise of traditional manufacturing industries (paper, textiles, shoes, etc.) and the associated dislocation of workers and community infrastructure. EMDC was instrumental in leading the charge to revision economic assets in the region leading to identification

of new uses for abandoned mill sites, including site clean-up, to pave the way for new business development and launch retraining efforts to reposition the regions workers for new job opportunities resulting from those investments.

Similar collaborations between employers, education providers and workforce programs occur in the Central Western and Coastal Counties regions. Central Western service provider, Western Maine Community Action Program, promotes each collaboration through public media and on their website, publishing testimonials from participants, employers and partner agencies regarding each collaboration. Publications such as these promote additional employers and training providers to follow suit and because the projects often result in direct employment and credentials, it is an efficient way of recruiting prospective job seeker participants into the training initiatives.

III.(b) STATE OPERATING SYSTEMS AND POLICIES

III.(b.1) STATE OPERATING SYSTEMS

Core partners of this Unified Plan utilize the following case management and management information systems (MIS): Adult Education uses MaineSTARS, Vocational Rehabilitation utilizes AWARE, and workforce programs administered by the Maine Department of Labor use Maine JobLink a system developed and maintained by America's Job Link Alliance.

The systems comply with current federal reporting requirements for each program. The data elements required for each program are being collected and will be used to support the coordinated implementation of Maine's strategic objectives.

MaineSTARS is a federally approved MIS system compliant with adult education's National Reporting System. Local adult education programs are required to use MaineSTARS for all intake, demographic, assessment, and attendance data. At the state level, aggregate numbers are compiled in MaineSTARS and used to perform data matches against Maine Department of Labor employment data, high school equivalency completion data, and the National Student Clearinghouse database for postsecondary enrollment.

The AWARE system collects and reports data required by the Rehabilitation Services Administration in the delivery of vocational rehabilitation services, as well as serving as a case management tool for the Division for the Blind and Visually Impaired and the Division of Vocational Rehabilitation. The system is maintained by its vendor, Alliance Enterprises, and has been updated to meet WIOA reporting requirements.

The Maine JobLink (MJL) is a multi-faceted system with ability to interface with other MIS systems. MJL components include ReportLink which collects and dispatches the data required for federal and state reporting on behalf of multiple employment and training programs, ServiceLink, a case management system from which participant eligibility is determined and documented, employment and training plans are developed and updated, services are tracked, and assessment and outcome data captured, FiscalLink a financial management system that tracks program expenditures and funds leveraged from other resources, JobLink, which provides labor exchange services that match job seekers to employers position listings, ProviderLink also referred to as the Eligible Training Provider List (ETPL) which provides information on providers and programs approved for WIOA purposes, and finally, CertLink which provides a portal in which Maine employer can submit applications for the Work Opportunity Tax Credit (WOTC). The Maine JobLink system serves the following programs: Title IB Adult, Dislocated worker and Youth programs, Employment Services, Trade Act, Veterans, National Farmworker Jobs Program, Apprenticeship, Competitive Skills Scholarship Program, National Dislocated Worker Grant programs, H1B programs and more as necessary. The system interfaces with Unemployment Compensation's – ReEmployME system, Adult Education's – Maine Stars system, and Vocational Rehabilitation's – AWARE system.

The Maine JobLink system also tracks services to employers from which part of the annual Effectiveness Serving Employers report is generated. Employer assistance staff from multiple agencies enter information about the services provided directly in the employer account. The State has issued a policy delineating requirement for employer service tracking along with a guide for

employer assistance staff from all service agencies to use. See PY19-01Employer Services Tracking policy²⁸.

In the autumn of 2016, Maine received a \$1.1 million-dollar Reemployment and Systems Integration (RSI) Dislocated Worker grant (DWG) to investigate and implement a common access portal across core programs. The working group for this project gathered information from other states on their pursuit of similar initiatives and worked with vendors to review available options for solutions. A request for proposals (RFP) containing the State's requirements for a system was developed and a vendor secured through competitive bid. The system, named W.O.R.K. Services: Workforce Opportunities, Referrals, and Knowledge Services, went live in December 2019 at two soft launch locations, Bangor and Machias, and will be rolled out statewide in 2020. The system integrates the disparate management information systems of Adult Education, BES and BRS with the capacity for additional agency partners over time and includes a public facing portal. For more information on the portal see the Program Data; Data Alignment and Integration section of the plan for more information.

Center for Workforce Research and Information (CWRI), MDOL's labor market information provider, will add the data on participants of core partners to Maine's of Maine Education and Attainment Research Navigation system or MaineEARNs, thereby linking the records of core program participants with their corresponding wage and employment records for program evaluation and reporting purposes.

MaineEARNs also provides information on employment and wage outcomes for Maine workers who graduated from the University of Maine System and Maine Community College System after July 2008. Students, parents, educators, administrators, policy makers, and anyone interested in earning education credentials and employment in Maine will be able to use this data to research, plan and make informed decisions. Interest has been expressed by at least one private university to join in the collections and reporting. It is this same system which is being used to meet the requirement for the annual ETPL reporting.

²⁸ [Employer Services Tracking Policy PY19-01 https://www.maine.gov/swb/laws/policies/PY19-01_Employer_Services_Tracking_Requirements.doc](https://www.maine.gov/swb/laws/policies/PY19-01_Employer_Services_Tracking_Requirements.doc)

III.(b.2) STATE POLICIES

Administrators of the Maine’s core programs had extensive discussions regarding the policies and practices that will enable the state to achieve its strategic objectives. At the beginning of these discussions, it became apparent that establishing the basic operating principles, or the ‘must haves’ of an integrated workforce development system will be essential to creating operational plans that implement the state’s strategies. The principles outline how services can be integrated and delivered to customers of the one-stop system with the goal of enhancing the effectiveness in serving clients, minimizing duplication of efforts, and increasing customer satisfaction.

Following are the stages of customer flow that Maine’s core partner programs developed for one-stop centers.

- Initial Triage
- Intake
- Assessment by one of four core partners
- Services and plan development

Initial Triage —The first point of contact for customer at a one-stop center must be knowledgeable, welcoming and capable of assessing the customer’s needs and circumstances (e.g. does the customer have a disability?). In addition to performing an initial triage (a series of questions to identify what the customer’s needs and where to direct them), the initial contact person, or “navigator” will make the customer feel understood and connected. The navigator is responsible for directing customers to the optimal resources: intake, a specific program (referral) or the information center (self-service).

Intake (the process of gathering the data to determine eligibility)—Maine will have a common intake system where relevant customer data is captured and is electronically available to all partners with the informed consent of the customer. This will reduce the need for customers to fill out intake forms multiple times, thereby increasing efficiency of operations and customer satisfaction. Common intake will also foster greater continuity of service.

Assessment—Because core programs share a common purpose in assessing clients, there has been an effort to eliminate unique assessments and focus instead on an assessment process that is standardized, seamless, and integrated whenever possible. Progress in each area is outlined below.

Maine’s efforts for assessments to be:

- Standardized. Core partners have set standards for assessment tools that are accessible and to be used for specific purposes. Two examples are the CASAS for numeracy and literacy, and the WOWI for career goals)
- Seamless. Electronic CASAS testing enables access to test scores throughout the state and minimizes assessment mistakes and duplications. Through the new W.O.R.K. Services website, core partners can access customer assessments across agencies. Now, customers only take tests when different skills need to be assessed. This modular system of assessment streamlines the customer experience and minimizes duplication of effort
- Integrated. Core Partners have all been trained on the same workforce assessment (the WOWI) and now recognize and understand a customer’s assessment results even when the assessment is administered by another partner. The result is better communication among core partners

Services and Plan Development (getting every customer employed or on a career path)-

Currently, a client’s plan is not routinely shared among partners, thus reinforcing the ‘siloes’ nature of the existing system. As part of this unified plan, policies will be developed to enable a client’s service plan to follow them (paper copy or scanned file) when they are referred to a new program.

POLICIES SUPPORTING THE ENACTMENT OF THESE BASIC PRINCIPLES

The range of policies listed below will be developed by the WIOA Steering Committee to support the aforementioned ‘must haves’:

- Policies governing and optimizing communication across and among programs and partners to foster better continuity of service and reduce drop-out rates
- Protocols for record or scanned sharing of individualized service plans among partners
- The development of a quasi-standard individualized service plan template; programs are expected to continue to use their proprietary framework
- Policy on standards for assessments and protocols for inter-agency and inter-program assessment sharing
- Policies for professional development to enable the:
 - Development of new skill sets for those operating as navigators
 - Proper reading and interpretation of partner individualized service plans
 - Proper interpretation of intake data
 - Proper use of the front-end software
 - Proper interpretation of assessment data
- Policies governing the development of system improvement measures (communication, dropouts, number of customers referred, etc.).

MOUs will also be further developed and guide work that can be done by and between partners to align services and formalize referral processes and guidelines. Such agreements will also catalog and map out the parts of the workforce development system that will be made up of comprehensive one-stop centers, affiliate one-stop centers, and various other points of service entry, such as partner service sites. The MOUs will be a major tool for articulating specific ways that resources, services, and information will be aligned and integrated and the level and extent to which each partner will jointly serve and or refer an individual customer.

Current policies in place that are to be followed by system partners, include policy PY17-01-Nondiscrimination and Accessibility²⁹, PY15-23-Veteran's Priority of Service³⁰, PY15-20 Change 1-Referring Veteran's with Significant Barriers to Employment to DVOPs³¹, PY19-02 Expanded definition of Basic Skill Deficiency³², PY16-04 One-Stop Certification Criteria³³, PY19-01 Employer Service Tracking Requirements³⁴ PY16-01 Memoranda of Understanding³⁵, PY19-04 Infrastructure Funding Agreements/MOU Phase II (DRAFT),(Appendix E)

MEMORANDUM OF UNDERSTANDING & COST SHARING

Core and required partners must collaborate to design and support the local one-stop delivery system and must articulate how they will work together to jointly serve customers and share costs. It must be articulated through a Memorandum of Understanding (MOU) with each of the three local workforce boards.

The process requires partners to identify the types and levels of services they offer, the comprehensive, affiliate, and other sites their services can be accessed from, how referrals and customer co-enrollment will be handled, and how resources of each partner will be leveraged and coordinated. In addition to service coordination, local partners must establish cost sharing agreements that at a minimum, delineate how infrastructure costs of the local one-stop system will

²⁹ [PY17-01-Nondiscrimination and Accessibility https://www.maine.gov/swb/laws/policies/PY17-01_NonDiscrim-Accessibility.docx](https://www.maine.gov/swb/laws/policies/PY17-01_NonDiscrim-Accessibility.docx)

³⁰ [PY15-23-Veteran's Priority of Service https://www.maine.gov/swb/laws/policies/PY15-23_veterans_priority_of_service.doc](https://www.maine.gov/swb/laws/policies/PY15-23_veterans_priority_of_service.doc)

³¹ [PY15-20 Change 1-Referring Veteran's with Significant Barriers to Employment to DVOPs https://www.maine.gov/swb/laws/policies/PY15-20_referring_veterans_with_SBEs_to_DVOPs%20change%201.doc](https://www.maine.gov/swb/laws/policies/PY15-20_referring_veterans_with_SBEs_to_DVOPs%20change%201.doc)

³² [PY19-02 Expanded definition of Basic Skill Deficiency https://www.maine.gov/swb/laws/policies/PY19-02_Basic_Skills%20Deficient_Expanded_Definition.doc](https://www.maine.gov/swb/laws/policies/PY19-02_Basic_Skills%20Deficient_Expanded_Definition.doc)

³³ [PY16-04 One-Stop Certification Criteria https://www.maine.gov/swb/laws/policies/PY16-04_One_Stop_Certification_Criteria.doc](https://www.maine.gov/swb/laws/policies/PY16-04_One_Stop_Certification_Criteria.doc)

³⁴ [PY19-01 Employer Service Tracking Requirements https://www.maine.gov/swb/laws/policies/PY19-01_Employer_Services_Tracking_Requirements.doc](https://www.maine.gov/swb/laws/policies/PY19-01_Employer_Services_Tracking_Requirements.doc)

³⁵ [PY16-01 Memorandum of Understanding Phase 1 https://www.maine.gov/swb/laws/policies/PY16-01_MOU_Phase_1.doc](https://www.maine.gov/swb/laws/policies/PY16-01_MOU_Phase_1.doc)

be supported by each required partner. Local boards act as the lead in negotiating cost sharing and to develop the Infrastructure Funding Agreements. Local areas at an impasse in the agreement process must notify the Bureau of Employment Services who will provide technical assistance and if necessary, implement the state funding mechanism through which the state will impose infrastructure cost sharing requirements for that local area.

The Bureau of Employment services is currently working on a co-enrollment policy that will pertain to all core programs and other programs. The policy will promote co-enrollment and blending of services that are customer centered, seamless to the customer and that will stimulate higher-level collaboration and leveraging of resources between system partners.

III.(b.3) STATE PROGRAM AND STATE WORKFORCE BOARD OVERVIEW

III.(B.3.A) STATE AGENCY ORGANIZATION

The organization and delivery systems for the core programs covered in this Unified Plan are described below.

ADULT, YOUTH, DISLOCATED WORKER, AND WAGNER-PEYSER PROGRAMS

The Maine Department of Labor (MDOL) is the State Workforce Agency (SWA) established to provide oversight and administration of state and federal workforce programs. The Bureau of Employment Services (BES), within the MDOL, is designated to provide financial, administrative and policy support to Maine's one-stop system.

The BES provides labor exchange and employment services at one-stop centers across the state and through the Maine JobLink. BES also administers several USDOL-funded employment and training programs including: Veterans Services, Trade Adjustment Assistance, Rapid Response, Registered Apprenticeship Program. Bureau staff also conduct Work Opportunity Tax Credit (WOTC) certification and issue bonds to employers through the Federal Bonding grant. BES also administers the Competitive Skills Scholarship Program (CSSP), a state-funded program targeted to low income individuals enabling them to attain post-secondary credentials in high-demand, high-wage occupations

Bureau of Employment Services

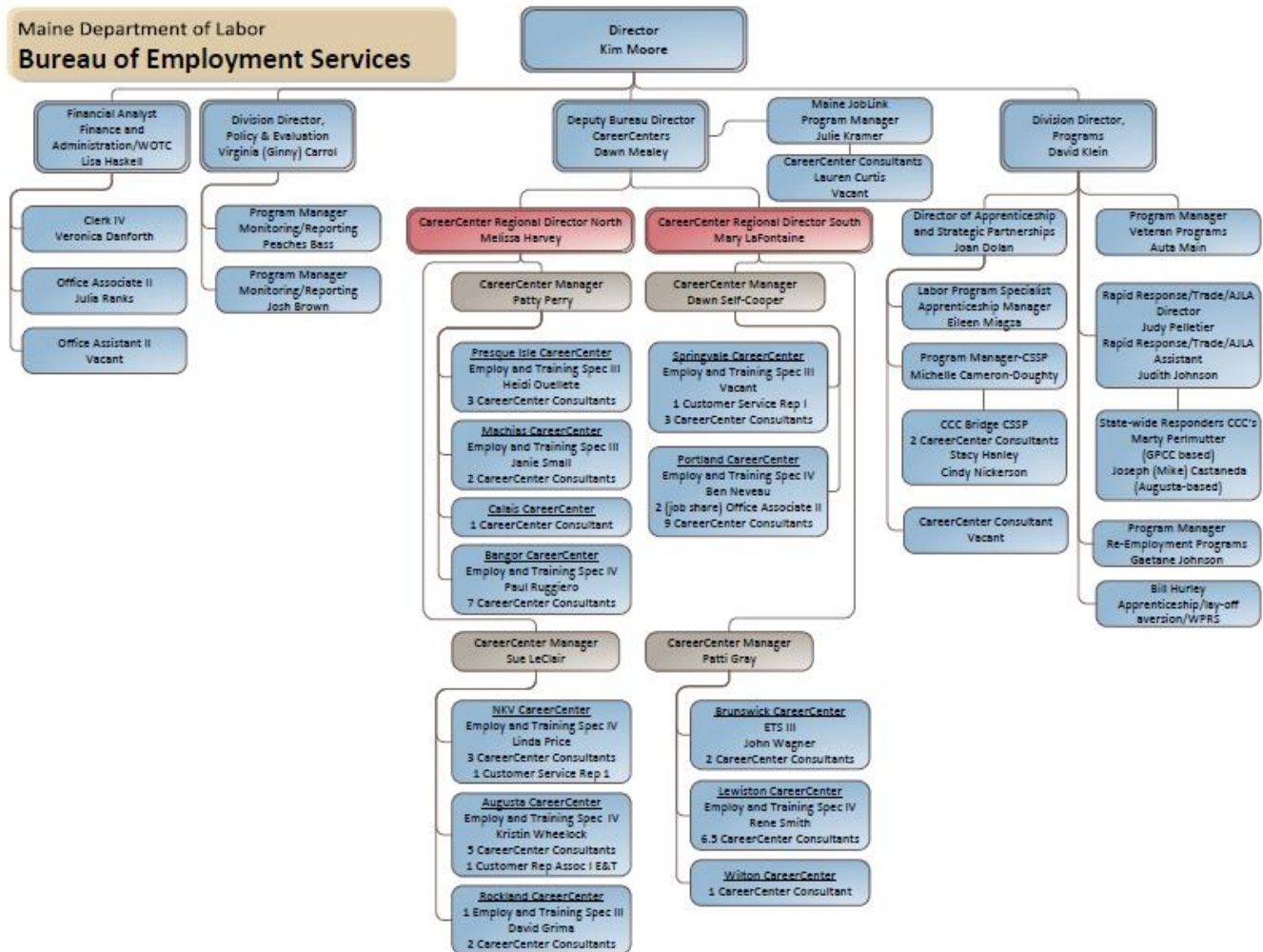


FIGURE 12: ORGANIZATIONAL STRUCTURE--EMPLOYMENT SERVICES

VOCATIONAL REHABILITATION

Within the Maine Department of Labor's Bureau of Rehabilitation Services (BRS), vocational rehabilitation services are delivered through the Division of Vocational Rehabilitation (DVR) and the Division for the Blind and Visually Impaired (DBVI). DVR and DBVI staff are regionally based in seven one-stop centers and provide statewide coverage.

Bureau of Rehabilitation Services

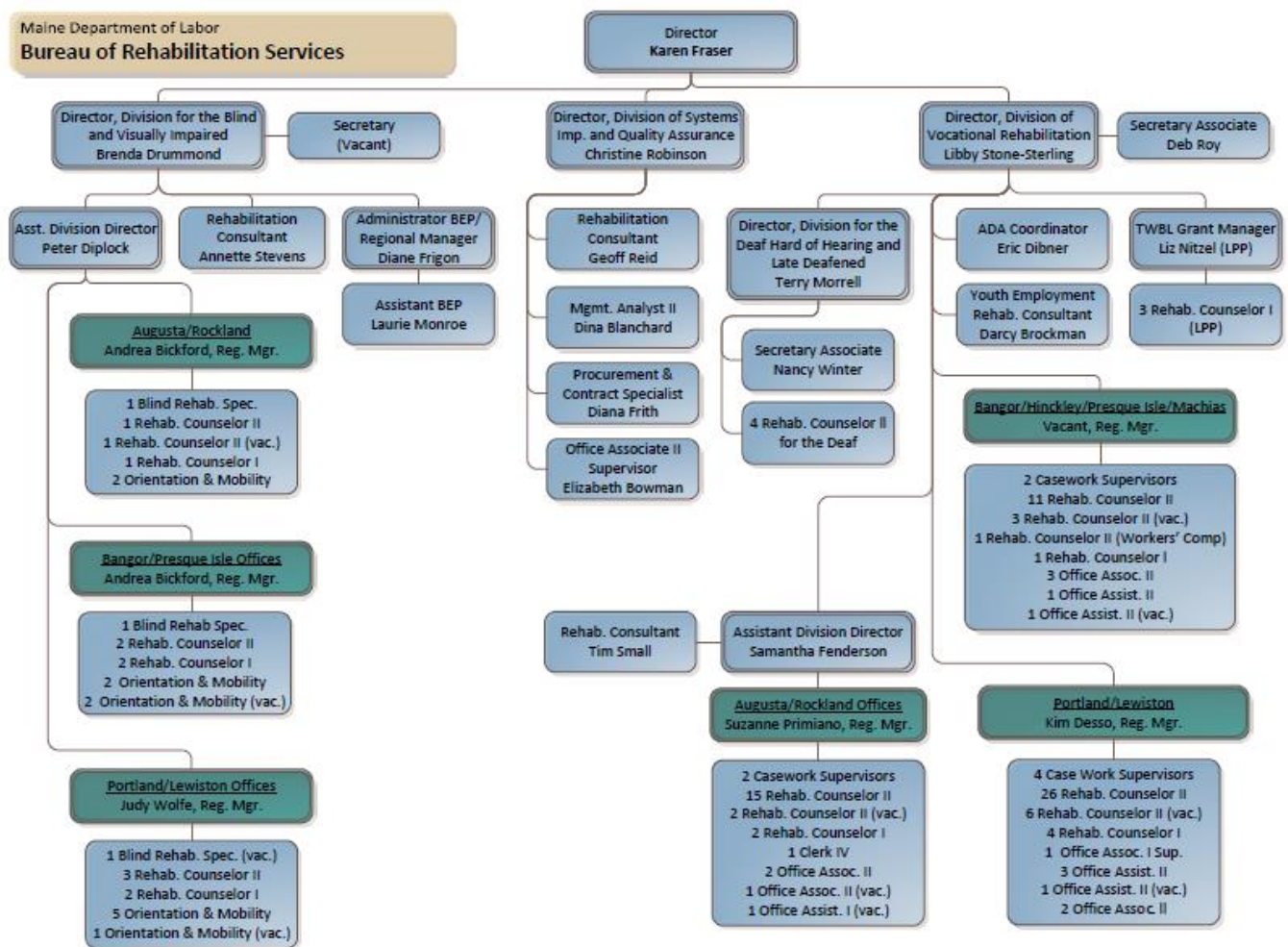


FIGURE 13: ORGANIZATIONAL STRUCTURE--REHABILITATION SERVICES

ADULT EDUCATION ORGANIZATIONAL STRUCTURE

The Office of Adult Education and Family Literacy is the state agency within the Maine Department of Education that provides services, instruction, and vocational training primarily for individuals beyond the compulsory school age through a career pathways system. Elements of this system include learner intake, assessment, advising, instruction, and individual learning plans. It is guided by data management and analysis, annual monitoring, and annual professional development plans. The system uses appropriately certified staff, is designed to meet identified local needs, and makes use of partnerships and alignment with workforce development, postsecondary institutions, and support services.

Maine Adult Education offers courses in literacy and adult basic education, English language acquisition, citizenship, high school completion, college transition, career exploration and preparation, job skills training, and personal enrichment. In addition, support services, such as academic and career advising, and financial literacy are provided. Maine Adult Education has over 76 programs located throughout the state administered through public school administrative units.

Maine Department of Education

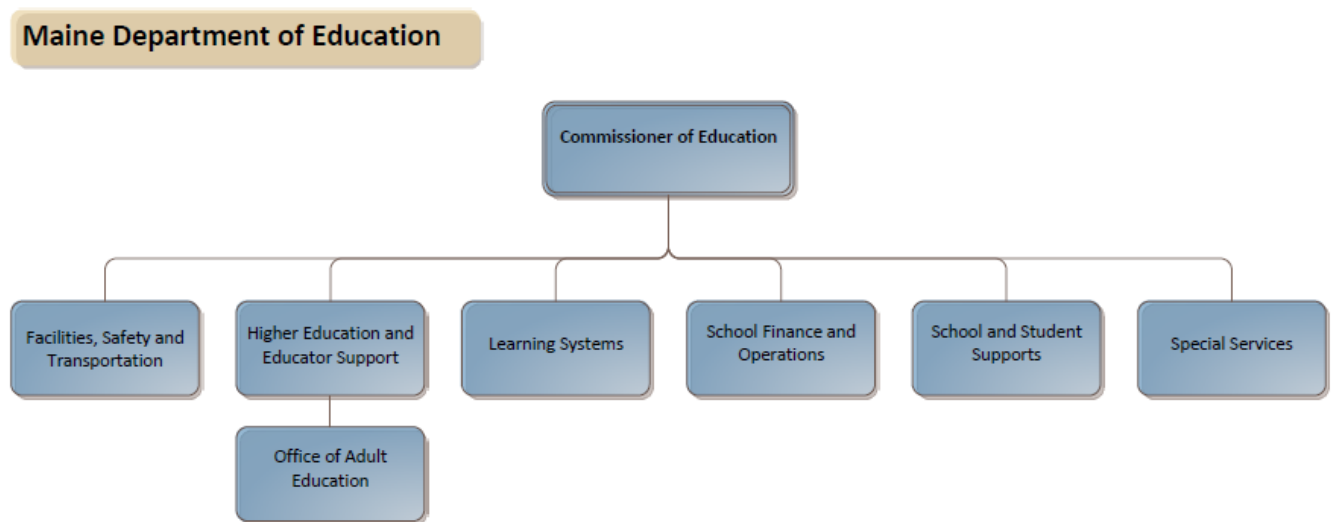


FIGURE 14: ORGANIZATIONAL STRUCTURE--ADULT EDUCATION

III.(b.3.B) STATE WORKFORCE BOARD

Maine's SWB is responsible for the functions articulated in WIOA Section 101(d). The SWB serves as a convener of workforce, education, and business stakeholders and seeks to align and improve employment and training activities and programs to enhance the economic prosperity of Maine residents and enable business growth. The SWB implements Governor Mills' workforce development initiatives and ensures the workforce system is customer focused and responsive to job seeker and employer needs.

MEMBERSHIP ROSTER

The membership roster for the State Workforce Board, including members' organizational affiliations, is provided.

TABLE 16: STATE WORKFORCE DEVELOPMENT BOARD MEMBERSHIP ROSTER 2019

<u>NAME</u>	<u>COMPANY/ORGANIZATION</u>	<u>Affiliation</u>
Janet T. Mills	State of Maine	Governor
Guy Langevin, Chair	Dead River Company	Business representative
Peter Anania	Anania & Associates	Business representative
LuAnn Ballesteros	The Jackson Laboratory	Business representative
Bob Dorko	Sappi North America	Business representative
John Fortier	State Farm Insurance	Business representative
Scott Good	Crescendo Consulting	Business representative
John Herweh	MMG Insurance	Business representative
Colleen Hilton	Northern Light Health	Business representative

<u>NAME</u>	<u>COMPANY/ORGANIZATION</u>	<u>Affiliation</u>
Kimberly Lindlof	Mid-Maine Chamber of Commerce	Business representative
Jon Mason	Bath Iron Works (BIW)	Business representative
Ed McKersie	Pro Search	Business representative
Jim Nimon	Sanford Regional Economic Growth Council	Business representative
Ashley Pringle	Maine & Company	Business representative
Mary Kate Reny	Renys	Business representative
Greg Sweetser	Sweetser Orchards	Business representative
Vacant		Business representative
Vacant		Business representative
Vacant		Business representative
Tarlan Ahmadov	Catholic Charities Maine	Worker Advocate
Tracey Cooley	Job Corps	Worker Advocate
Jen Fullmer	Boots 2 Roots	Worker Advocate
John Leavitt	Carpenters Local 1996	Labor organization
Nate Pelsma	JMG	Youth
Grant Provost	Iron Worker Local 7	Labor organization

<u>NAME</u>	<u>COMPANY/ORGANIZATION</u>	<u>Affiliation</u>
Jason Shedlock	Maine Building and Construction Trades Council	Labor Organization- joint labor-management registered apprenticeship program
Peter Baldacci	Penobscot County Commissioner	County Commissioner
Steve Gorden	Cumberland County Commissioner	County Commissioner
Robert Sezak	Somerset County Commissioner	County Commissioner
Mike Sylvester	State Representative	Senator
Ned Claxton	State Senator	Representative
Denise Garland	Deputy Commissioner, DECD	State
Laura Fortman	Commissioner, MDOL	State (Title I-B & III)
Karen Fraser	Bureau of Rehabilitation Services	State (Title IV)
Gail Senese	Adult Education	State (Title II)

In addition to the members listed above, the following commissioners and higher education representatives also provide input to the board:

TABLE 17: ADDITIONAL COMMISSIONERS AND HIGHER EDUCATION REPRESENTATIVES PROVIDING INPUT

<u>NAME</u>	<u>COMPANY/ORGANIZATION</u>	<u>Affiliation</u>
Nina Fisher	Maine Department of Transportation	Deputy Commissioner

<u>NAME</u>	<u>COMPANY/ORGANIZATION</u>	<u>Affiliation</u>
Sara Gagne-Holmes	Health and Human Services	Deputy Commissioner
Randy Liberty	Maine Department of Corrections	Commissioner
Rosa Redonnett	University of Maine System	Associate Vice Chancellor
Dan Belyea	Maine Community College System	Executive Director of Workforce Training

BOARD ACTIVITIES

In addition to the activities described above, the SWB assists the Governor in the development, modification, and implementation of Unified Plan. The SWB convenes member and stakeholder board meetings at least four times per year. Regular communications with board members are carried out via email. The SWB also maintains a website, which contains meeting minutes, important news, and other relevant information. The website serves as a communication tool with stakeholders and interested parties. State board activities also include the production of an annual report and the coordination of other activities that are relevant to the development of the state's workforce. During the autumn of 2019, the board hosted nine statewide visioning sessions to gather input into the creation of the State's workforce development vision and Unified Plan.

III. (b.4) ASSESSMENT OF PROGRAMS AND ONE-STOP PROGRAM PARTNERS

ASSESSMENT OF TITLE I-B ADULT, DISLOCATED WORKER AND YOUTH PROGRAM SERVICES

Maine Bureau of Employment Services has established a schedule of formal monitoring, which includes a program and fiscal review of each of the Title I-B programs. Maine's Monitoring Policy and Guidance Manual covers oversight and monitoring of WIOA Title I-B and Title III programs and spells out the roles and responsibilities of local area monitoring and identifies criteria to be reviewed annually and on an ongoing basis.

FINANCIAL RISK ASSESSMENT

Fiscal reviews ensure that expenditures meet the programmatic, performance, cost category, and compliance requirements of WIOA. Fiscal reviews assess the quality of financial administration by reviewing and assuring that service providers have adequate internal controls and fiscal policies and procedures in place. Financial reviews are conducted using tools provided by the USDOL Employment and Training Administration. In addition to on-site fiscal reviews, the Department of Administrative and Financial Services (DAFS) also reviews the audit reports completed on each local area and their subrecipients. Bureau staff work very closely with DAFs staff to ensure that costs for which funds are being requested are allowable and documentation of such are clear and allocated appropriately.

Fiscal monitoring results in an informal exit interview at which identified findings and concerns are discussed and best practices lauded. It is followed up with a formal report that articulates specific findings, cites the regulations and/or policies pertaining to the findings, outlines required action steps that must be taken to resolve the findings and the timelines in which the action steps must be completed.

Procurement practices and policies are also reviewed to ensure that the local area has a clearly identified process for competitive procurement and appropriate procurement practices are in place for pass-through awards. Contract documents are reviewed to ensure they contain the required citations and protocols and procurement activities are also reviewed to ensure contract award decision makers have followed controls pertaining to conflict of interest.

Finally, the fiscal monitoring that the local areas conduct on their subrecipients is also reviewed for the same purposes listed above.

LOCAL BOARD AND PROGRAM ASSESSMENT

The Bureau of Employment Services' monitoring tool is fashioned after the "Core Monitoring Tool" published by the Employment and Training Administration. Each local area and its Title I-B subrecipients are monitored annually. Monitoring is conducted to ensure the one-stop system is in compliance with the intent and substance of the rules governing funding streams and to identify whether the systems are operating to achieve state and local strategic workforce system goals. The monitoring tool is also designed to explore the working relationships between required workforce system partners. Monitoring provides an opportunity to identify best practices that can be replicated and to identify performance and compliance issues that need addressing.

Each year, the Bureau of Employment Services conducts on-site monitoring of the local board during which local board governance is evaluated and local area subrecipient monitoring activity is assessed. The local area governance review includes examination of board policies, board membership, and formal "Memoranda of Understanding" with required partners. It also includes a review of board minutes, requests for proposal, service and subrecipient contracts, quarterly reports and most recent progress in achieving planned service levels and performance goals. Inadequate policies and/or lack of required board membership are identified as findings and technical assistance is provided upon request.

The local area plan is reviewed against plan guidelines issued by the USDOL and Maine. Plans that do not contain all the required elements are not approved until they comply with all the requirements. Local areas are evaluated on the process used to develop and create the local plan, to ensure adequate involvement of system partners in identifying and implementing strategies outlined in the plan and that the plan contains steps for implementation of identified strategies. Local board certification is approved only if the local board has an approved plan in place, meets negotiated performance measures, maintains required local board membership, addresses any outstanding findings or policy requirements, and sustains fiscal integrity.

Methods the local board uses to communicate, educate and inform sub-recipients and system partners is also evaluated to understand local area effectiveness in meeting plan goals and promoting continuous improvements.

Local area subrecipients are also monitored annually to ensure that the local board oversight is adequate and results in subrecipient compliance. Subrecipient monitoring includes intensive file reviews to ensure that adequate documentation of eligibility, participant services, and performance outcomes are in place. Program staff interviews are utilized to gauge whether program design and delivery is being conducted according to requirements and local area plans and participant interviews are conducted to gain insight on the participant's perspective and satisfaction with the service being provided. Service providers are required to upload all validation and eligibility documentation eliminating the need for paper files. This allows staff to conduct file reviews through the central office on an ongoing basis.

Sub-recipient interviews allow the monitors to assess whether the service providers understand and are implementing service delivery according to the local area plan and whether they are familiar with and appropriately applying federal, state and local board policies and meeting the requirements of specific programs. Tools that service providers use to conduct initial, comprehensive, and academic assessments are also appraised, as are the methods for providing and documenting provision of required services, including information about nondiscrimination and customer complaint process, labor market and career information, and job search assistance processes.

Program Youth services staff are asked to explain how they assess and document each youth participant's need for individualized or training services or need for any of the required youth service elements. File reviews and the number of enrolled, look to identify whether youth have access to each of the elements. Youth program case managers are interviewed to showcase service delivery methods. Staff interviews help reviewers understand how they develop employment and training plans or individual service strategies for youth and whether they partner with outside entities to provide any of the fourteen service elements, such as adult mentoring. Work experience files and agreements are reviewed, and staff members are asked to explain how work experience sites are monitored to determine that they are safe and are asked to describe how any issues identified at such sites are addressed. Service providers must also provide an overview of and

discuss how work experience employers are educated about child labor law and safety requirements. Youth service policies and protocols are discussed to identify whether and how they differ from adult program policies and protocols.

ASSESSMENT OF EMPLOYER SERVICES

One of the fundamental methods for assessing quality of employer services is to identify if the information and services being provided are being coordinated with other one-stop system partners. Providers are asked to explain how they promote the services of the Maine JobLink and how they collaborate with other Maine business assistance entities, such as the Department of Economic and Community Development or the Small Business Development Centers, the business and industry team members of Maine Community Colleges and other local and regional education and workforce partners. Core partners are required to document services to employers in the Maine JobLink employer account system. This system is used to create the Effectiveness Serving Employers annual report, documentation requires that the employer have an account in the Maine JobLink and staff are educated to explain the many benefits to an employer of having a Maine JobLink account.

QUARTERLY PERFORMANCE ASSESSMENT

Monitoring is an ongoing activity that requires local areas to submit quarterly reports that identify actual to planned service levels and levels of attainment of negotiated performance goals. Local areas submit both quantitative and qualitative reports which must include at least one service success story from each program each quarter. Planned spending is also reviewed against actual using quarterly fiscal reports to ensure spending thresholds are met and spending caps not exceeded.

Quarterly reporting allows us to address and understand issues regarding service or spending levels that are below or above planned levels. Bureau of Employment Services' responses to quarterly reports may be in written or oral form; whenever there are common issues across multiple local areas at once, a group conference call is initiated to share data and brainstorm action steps to address the issues directly with local board staff. The Bureau of Employment Services has recently added another component to monitoring, which is to conduct random checks of backup

documentation for weekly drawdowns; this practice allows a just-in-time review of fiscal practices and internal controls.

In addition to monitoring of one-stop partner programs conducted by their own administrative entity, the level and ability of the partner programs to adhere to the activities identified in the local area Memorandum of Understanding, that pertain to provision of and access to services and cross-agency referrals, will be reviewed as part of the review process identified by each local board and as part of the annual monitoring process conducted by the MDOL.

Local areas are required to provide an annual report on the progress of their local/regional strategic plan activities, including partner-related activities identified in the plan. These reports will also be used to evaluate and assess the efficacy of one-stop partner roles in the local one-stop systems.

DATA VALIDATION

The BES has developed a Data Element Validation Policy Manual that explains how data will be validated for Title I-B and Title III programs. The policy requires that all validating documents be uploaded into Maine JobLink at specific times and under specific document upload headings. It requires local areas to conduct a sample file validation exercise once quarterly to ensure staff are keyed in on what is required for data validation and includes both a quarterly and annual data element validation file review to be conducted by bureau staff as well. The manual identifies acceptable data element validation documentation and tools and report forms to be used by service provider staff. The policy includes a requirement for annual staff training on data validation that will explain the purpose of data element validation and that will address any areas in which validation checks have failed throughout the year. Files selected for validation each quarter are those of participants who have exited from the adult, dislocated worker, in-school and out-of-school youth programs.

The State Board has a subcommittee known as the program partner committee made up of core, required, and additional one-stop partners. The committee meets to discuss implementation of the local area Memorandum of Understanding and how to integrate services and implement cost sharing agreements. The mission for this subcommittee is to provide leadership to their service providers in the local areas on how to implement and improve a customer-centric, seamless,

integrated workforce system that meets the needs of workers, including those with barriers to employment and employers.

ONE-STOP CERTIFICATION

A key tool for assessing how well the system functions is the one-stop certification process. The SWB reviewed the criteria that must be considered for one-stop certification and identified two additional items to be included. The first additional component they identified was outreach; specifically, the level, methods, and outcomes of outreach efforts to both employers and target populations, but particularly to employers offering high-demand, high-wage job openings to targeted populations that cannot readily access one-stop services because they live in isolated areas or are reentry civilian life after incarceration.

In addition to outreach, the SWB identified the capacity to meet or exceed negotiated performance measures by one-stop, so one-stop center performance can be compared, best practices identified and replicated, corrective action steps be implemented, and additional resources and technical assistance can be applied to one-stops that are having difficulty meeting or exceeding performance measures. State policy PY16-04 One Stop Certification ³⁶ outlines the requirements for implementing a methodology and certifying one-stops.

The certification process is important to setting a minimum level of quality and consistency of services in one-stop centers across Maine. The certification criteria allow the state to set standard expectations for customer-focused, seamless services from a network of partners that will help individuals overcome barriers to becoming and staying employed. In order to be eligible to receive infrastructure funding, one-stop centers must be assessed and certified by the local board at least once every three years using criteria established under WIOA Section 121(g) and identified by the SWB in consultation with the chief elected officials and local boards, as outlined in the policy.

The SWB, in consultation with chief elected officials and local boards, will review the one-stop certification criteria at least once every two years and will update it as necessary to assure continuous improvement of the system. The SWB will ensure that one-stop certification criteria is

³⁶ [PY16-04 One Stop Certification Criteria https://www.maine.gov/swb/laws/policies/PY16-04_One_Stop_Certification_Criteria.doc](https://www.maine.gov/swb/laws/policies/PY16-04_One_Stop_Certification_Criteria.doc)

in alignment with the Unified Plan and that any revisions to the certification criteria will be formalized in a policy issuance and included as a modification to the Unified Plan.

If a local board also acts as a one-stop operator, the SWB will be the entity that evaluates and certifies the one-stops in that local area.

The criteria identified in this guidance will be used to evaluate one-stop centers for effectiveness, customer satisfaction, physical and programmatic accessibility, and alignment and integration of resources for the purpose of continuous improvement.

Evaluation Criteria must include assessment of how well the one-stop center:

- Integrates available services for participants and businesses in a way that is tied to locally negotiated performance goals
- Meets the workforce development needs of participants through provision of services and leverage of resources
- Meets the employment needs of local employers
- Operates in a cost-efficient manner
- Coordinates services among and between one-stop programs in a way that is seamless to the customer and eliminates duplication of services
- Provides access to partner program services to the maximum extent possible, including providing services outside of regular business hours where and when there is a workforce need identified by the local board
- Ensures equal opportunity for all individuals, including individuals with barriers to employment, to participate in or benefit from one-stop center services
- Acts to comply with disability-related regulations implementing WIOA Section 188 set forth in 29 CFR 38
- Achieves or exceeds state negotiated levels of performance and other performance measures established by the local board for the local area
- Has a process for identifying and responding to technical assistance needs of staff and partners

- Has a system of ensuring professional staff have the requisite abilities, knowledge and skills required to administer services, including a system for provision of continuing professional development activities on behalf of professional staff, as necessary
- Has a system in place to capture and respond to customer feedback and to ensure customer-centric service delivery and customer satisfaction (workers, seekers and employers)
- Has a system in place to assess itself regarding these requirements and to implement continuous improvements

State Criteria: Per the SWB, local boards must also evaluate one-stop centers on the effectiveness of outreach strategies and efforts, including:

- Outreach to employers to provide information about the types of services, information and sector initiatives offered by and through the system
- Outreach to individuals who cannot easily access the services at the physical one-stop centers, including:
 - Individuals in remote areas
 - Individuals with disabilities
 - Individuals with limited English proficiency or literacy
 - Individuals who are currently incarcerated and preparing for release

Procedures and Methods of Evaluation: Local boards may adopt locally identified methods of assessment which may include:

- Assessment through a recognized certification mechanism, like the Malcolm Baldrige Award, that incorporates the above criteria
- Assessment using a specific evaluation tool designed to review and evaluate the above criteria
- Assessment using a combination of the above or other method as determined by the local board

Local Board Requirements and Deadlines:

- A draft of the local area process and evaluation instruments to be used must be submitted to the Bureau of Employment Services
- Local boards must ensure local one-stop system service providers and partners have been made aware of the process and evaluation instruments that will be used to evaluate and certify one-stops
- All local area one-stops must be evaluated and certified at least once every three years
- Documentation of certification of each one-stop must be provided to the Bureau of Employment Services

Local Area Criteria: Local boards may identify criteria in addition to that identified in state guidance. They must inform local system partners of the additional criteria via dissemination of formal policy or guidance and must include the additional criteria as part of the local/regional plan and must assess based on the criteria as part of the overall one-stop certification process.

ASSESSMENT OF TITLE III WAGNER-PEYSER PROGRAMS –ACCESSIBILITY - EEO PRACTICES

Wagner-Peyser programs are assessed at the same time Title I-B program reviews are being conducted. Staff members are interviewed regarding knowledge and practice of explaining job order procedures and job seeker registration services and are asked to explain the ways in which they provide employer assistance and help in creation and resolution of jobs orders. An assessment of staff knowledge regarding equal opportunity and affirmative action requirements is also conducted along with a review of staff knowledge Wagner-Peyser regulations. Processes to provide initial assessment and appropriate referrals to center customers and front-end procedures are also reviewed. In some instances, participants may also be interviewed either in person or via telephone. Monitors use the checklist provided under Section 188 to conduct a portion of the accessibility review.

Staff review the local board's annual assessment of accessibility of the centers and conduct a brief accessibility assessment while monitoring specific one-stops. Staff members must explain how customers can access the assistive technology in the centers; all required posted information is

examined to ensure it reflects the most up-to-date version of the regulations and sites are checked to determine whether information is provided in Braille and other languages besides printed English.

At least once annually, a separate equal employment opportunity review is conducted by the State EO officer. The EO officer reviews subrecipient compliance with universal access and nondiscrimination regulations through examination of participant applications and enrollments against demographic data. Likewise, participant files are reviewed to ensure that all staff-assisted participants have been provided with the required EO statement and understand their right to file a complaint. Upon completion of the review, providers are supplied with a formal report of review outcomes and a corrective action plan to address findings.

CUSTOMER SATISFACTION

Job Seeker and employer customer satisfaction surveys are conducted at least once annually in addition to any local area customer satisfaction activities. These are conducted using survey monkey and may include short phone interviews as well. In general, the results provide us with information about the perceived value of required services and whether the services are meeting the needs of the customer. The quality of staff assistance is also ascertained through the questionnaire. The results of the service are explained in the Annual Report.

Walk-in customers are requested to fill out a customer satisfaction survey at each visit, this tool has resulted in reconfiguring info center space, reviewing customer guides to ensure they are easy to understand, and other efforts toward continuous improvements.

PERFORMANCE RESULTS

Every two years, state performance goals for the Adult, Dislocated Worker, Youth and Wagner-Peyser programs are negotiated with USDOL. In turn, the Maine Bureau of Employment Services negotiates performance goals with each of the local areas. Technical assistance is provided to local area board and service provider staff regarding how performance is negotiated, measured and reported. The ability to achieve proposed performance levels can be affected by numerous factors, including unanticipated mass layoffs, layoffs of low-skill workers in a high-skill job market, and lack

of job openings in rural areas. Most recently, low unemployment and an increase in minimum wage each year for the last three years have had an effect on negotiated measures.

Assessment of Core Program Activities Using Annual Performance Accountability Assessment Results.

Now that all four core partners are required to report on the same performance outcomes, the State will be better able to compare outcomes for quality improvement purposes, based not only on the barriers of the individuals served, but on the type and level of services received through each core program.

Using specific reporting elements, such as co-enrollment, level and type of career service provided, level and type of training service provided (or not), amounts spent on each participant for each service type, participant demographics and local economic factors, the state will be able to develop a quality assessment that more deeply explores all of the data that may affect performance achievement.

The additional data will allow the state to compare the programs, service packages, co-enrollments and specific approaches of local areas (and individual service providers) that meet or exceed planned and negotiated measures with those of local areas that are having difficulty doing so. In doing this, the performance staff will be able to promote and/or require local areas that are struggling to achieve negotiated measures to replicate the practices of local areas that are exceeding goals. Such strategies may include, expanding the number of participants taking part in multiple core programs services simultaneously, such as adult education and Title I-B services. It may also identify that professional staff development pertaining to participant and/or employer outreach needs to be addressed. Finally, it may be that state, local area or service provider policies are restricting service blending possibilities and that by adjusting these the providers will be better able to address participant needs and provide supports for improved employment opportunities and longer-term employment success.

Once the state becomes adept at utilizing the Statistical Adjustment Model it will have the ability to identify factors that are beyond the local area's control, such as major downsizings, extreme rurality, higher levels of non-English speaking residents etc. and will be able to recommend proactive responses by core and other service partners in those areas that can begin to address

those issues. Such as by directing collaborative investments to improved English literacy programs that combine English proficiency and occupational training, or that establish partnerships that link individuals without access to one-stops or affiliate sites (because they reside at extreme distances) through technology or new partnerships with adult education providers or municipal libraries.

Local Areas are conducting research around high-growth career pathways and training staff to utilize pathway models whenever providing labor market guidance to, or developing individual services strategies with, participants. It is likely there is some direct correlation between clearly defined pathways (both at the individual and local area level) and improved employment attainment and retention outcomes.

Maine reviews performance on a quarterly and annual basis using various methods, including program and fiscal report review, annual and ongoing desk top monitoring, and anecdotal information sharing. By using all available assessment data, monitors have been able to identify service models that result in better outcomes for high-risk youth that could be replicated in some areas but not all. If the state achieves at least 90 percent of the negotiated performance rate they are considered to have met the individual measure; however, when reviewing the overall measures for the state, the adjusted levels attained by all four core partners are considered.

TABLE 18: TITLE III WAGNER-PEYSER PERFORMANCE PY18 OUTCOMES

Program Measures	Negotiated	Outcome
ADULT Employed 2nd quarter after exit	72.6%	Did not meet
ADULT Employed 4th quarter after exit	70%	Exceeded
ADULT Median Earnings	\$4,900	Exceeded
ADULT Credential Attainment	60%	Exceeded
DW Employed 2nd quarter after exit	78%	Exceeded
DW Employed 4th quarter after exit	75%	Exceeded
DW Median Earnings	\$6,500	Exceeded
DW Credential Attainment	55%	Exceeded
YOUTH Employed or enrolled in education 2nd quarter after exit	69%	Did not meet
YOUTH Employed or enrolled in education 4th quarter after exit	69%	Exceeded
YOUTH Credential Attainment	55%	Exceeded
WP Employed 2nd quarter after exit	65%	Exceeded
WP Employed 4th quarter after exit	63%	Exceeded
WE Median Earnings	\$5,000	Exceeded

ASSESSMENT OF TITLE II—ADULT EDUCATION

TABLE 19: ADULT EDUCATION FEDERAL PARTICIPANT PERFORMANCE OUTCOMES

Adult Education Learner Type	FY18 Enrollment	FY18 Measurable Skills Gain	FY18 Federal Target	FY18 Outcome
Adult Basic Education- ABE	3,903	39%	-	-
English as a Second Language- ESL	2,103	32%	-	-
Adult Education Learners- All	6,006	37%	37%	Exceeded

Adult Education Learner Type	FY18 Enrollment	FY18 Measurable Skills Gain	FY18 Federal Target	FY18 Outcome
Adult Basic Education- ABE	3,752	36%	-	-
English as a Second Language- ESL	2,078	30%	-	-
Adult Education Learners- All	5,830	34%	34%	Did not meet

Primary Indicators of Performance	FY19 Number Achieved	FY19 Percent Achieved
Employment- 2Q	1,500	33%
Employment- 4Q	1726	32%
Median Wage	\$4,349.00	-
Secondary School Credential & Postsecondary Enrollment	149	10%

Secondary School Credential & Employment	314	39%
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After exceeding federal targets in both FY17 and FY18, measurable skill gains decreased slightly in FY19 and the negotiated target of 41 percent for FY19 was not met. Performance measures are expected to improve in FY21 with recent changes to the managed information system to better capture skill gains for high school completion and an increased focus on post-testing learners. Baseline percentages have been established for employment and postsecondary outcomes in FY19 and with both increased academic rigor and better alignment with comprehensive career pathway services, Maine adult education's baseline percentages will improve.

ASSESSMENT OF TITLE IV PROGRAMS—VOCATIONAL REHABILITATION

Within the Department of Labor's Bureau of Rehabilitation Services (BRS), Maine has two federally designated state units, the Division for the Blind and Visually Impaired (DBVI) and the Division of Vocational Rehabilitation (DVR), which deliver vocational rehabilitation (VR) services.

In accordance with Section 116(b) of WIOA, as well as the Rehabilitation Services Administration's TAC 19-01, BRS is updating its internal controls and quality assurance processes to assure the accuracy, validity, and reliability of its performance data. As part of this effort, BRS is working with its core partners to develop additional data sources that will provide a more complete report of the outcomes achieved by people with disabilities served by DVR and DBVI. In addition to Maine unemployment insurance wage data, Maine will access the State Wage Interchange System (SWIS) data by submitting regularly scheduled data requests. BRS has contracted with the National Student Clearinghouse and will access data from that source on a regular basis to document credential attainment, both academic and occupational. BRS is also developing a data sharing agreement with Maine's Department of Education, to assist with documenting adult, secondary and career and technical credentials and measurable skill gains. The agreement is expected to be in place in PY 2019.

BRS is providing ongoing training to all staff so that they have a solid working knowledge of WIOA and how it impacts the work they do. Training topics have included: an overview of WIOA partners, common performance measures, career pathways, and best practices in serving the needs of

employers. BRS has an intensive technical assistance agreement in place with WINTAC (the Workforce Innovation Technical Assistance Center) to assist with this effort and to further their expertise on common performance measures, internal controls, career pathways, apprenticeships and peer mentoring.

BRS and its core partners are using the Maine JobLink as a common data collection tool for performance data regarding effectiveness serving employers.

For the first two years of the 2020-2023 plan, DVR and DBVI have two full years of data available regarding the Measurable Skill Gains indicator only and have identified an initial expected level of performance on that measure from which to negotiate with the Rehabilitation Services Administration. As directed in the Information Collection Request, the following indicators will be designated as “baseline” for the VR programs for PY 2020 and PY 2021:

- Employment (Second Quarter after Exit),
- Employment (Fourth Quarter after Exit),
- Median Earnings (Second Quarter after Exit), and
- Credential Attainment Rate

III.(b.5) DISTRIBUTION OF FUNDS FOR CORE PROGRAMS

III.(B.5.A) TITLE I PROGRAMS

ADULT AND YOUTH TRAINING FUNDS

Maine uses the basic formula identified in WIOA Sec. 128 (b) for local area distribution of WIOA Title IB youth funds and uses the basic formula identified in WIOA Sec. 132(b) for local area distribution Title IB formula funded Adult and Dislocated Worker funds. Because Maine uses the exact formula identified under these sections of WIOA the State has not issued a separate policy on WIOA Title IB fund distribution to local areas.

ADULT FUNDS

Of the total amount of funds allocated for the Adult program under WIOA §132(b) (1), the State reserves 15 percent for statewide activities and administration as permitted. The remaining amount is distributed to local areas within 30 days of receipt as required by WIOA §182(e).

The state does not utilize a discretionary formula for distribution and has adhered to the basic allocation formula as follows:

33 1/3% of the federal allotment to Maine is allocated to local areas based on the relative number of unemployed individuals residing in areas of substantial unemployment in each local area as compared to the total number of such unemployed individuals in the State.

33 1/3% of the federal allotment to Maine is allocated to local areas based on the relative excess number of unemployed individuals who reside in each local area as compared to the total number of such unemployed individuals in the State. "Excess number" means the number of unemployed individuals in excess of 4.5 percent of the civilian labor force.

33 1/3% of the federal allotment to Maine is allocated to local areas based on the relative number of disadvantaged adults compared to the total number of disadvantaged adults in the State.

Data for the first two requirements will be produced by MDOL's Center for Workforce Information Services. Data for the third element will be provided by the Employment and Training Administration (ETA) from census data.

The State will employ the discretion given by the Secretary of Labor to utilize the "hold harmless" clause:

MINIMUM PERCENTAGE--No service delivery area within any State shall be allocated an amount equal to less than 90 percent of the average of its allocation percentage for the two preceding fiscal years prior to the fiscal year for which such determination is made. If the amounts appropriated pursuant to section 3(a)(1) for a fiscal year and available to carry out this part are not sufficient to provide an amount equal to at least 90 percent of such allocation percentage to each such area, the amounts allocated to each area shall be ratably reduced.

YOUTH FUNDS

Of the total amount of funds allocated for Youth training under WIOA §128, the State will reserve 15% for statewide activities including administration as permitted by WIOA. The remaining amount will be distributed to local areas:

33 1/3% of the federal allotment to Maine is allocated to local areas based on the relative number of unemployed individuals residing in areas of substantial unemployment in each local area as compared to the total number of such unemployed individuals in the State.

33 1/3% of the federal allotment to Maine is allocated to local areas based on the relative excess number of unemployed individuals who reside in each local area as compared to the total number of such unemployed individuals in the State. "Excess number" means the number of unemployed individuals in excess of 4.5 percent of the civilian labor force.

33 1/3% of the federal allotment to Maine is allocated to local areas based on the relative number of disadvantaged youth compared to the total number of disadvantaged youth in the State.

The State will not employ the discretionary option described in WIOA §128(b) (3).

Data for the first two requirements will be produced by MDOL's Center for Workforce Information Services. Data for the third element will be provided by the Employment and Training Administration (ETA) from census data.

The State will employ the discretion given by the Secretary of Labor to utilize the "hold harmless" clause described above.

As Maine follows the WIOA local area distribution formula, we are adding the "minimum percentage" component to the plan which delineates how funds are allocated to local areas for the Youth and Dislocated Worker Programs. The wording is exactly the same for both the Youth and Dislocated Worker allocation description.

Minimum Percentage – The Local Area will not receive an allocation percentage for a fiscal year that is less than 90 percent of the average allocation percentage of the local area for the two preceding fiscal years. Amounts necessary for increasing such allocations to local areas to comply with the

preceding sentence shall be obtained by ratably reducing the allocations to be made to other local areas.

DISLOCATED WORKER TRAINING FUNDS

Of the total amount of funds allocated for Dislocated Worker services under WIOA §132(b) (2), the State will reserve 25 percent for statewide rapid response activities as permitted by WIOA §133(a) (2) and will reserve 15 percent for statewide activities including administration as permitted by WIOA.

The remaining amount will be distributed to local areas according to WIOA §133(b) (2) (B). The following four data elements will be used to calculate allocation percentages:

Insured unemployment- The average weekly number of continued unemployment insurance program claims (less partial) during the previous full year for which data is available for each county is aggregated by local area and divided by the total to arrive at a percentage for each local area.

Unemployment concentrations- The annual average of unemployment for each county during the previous full year for which data is available is aggregated by local area and divided by the total to arrive at a percentage for each local area.

Declining industries data- The number of jobs lost between the previous full year for which data is available and the year five years previous to that year in both durable and non-durable goods manufacturing by county is aggregated by local area and divided by the total to arrive at a percentage for each local area.

Long-term unemployment data- The number of unemployment insurance program exhaustees during the previous full year for which data is available for each county is aggregated by local area and divided by the total to arrive at a percentage for each local area.

Data for these elements will be produced by MDOL's Center for Workforce Information Services. Each of the above elements is weighted equally.

The remaining factors named in §133(b)(2)(B)(ii), "plant closing and mass layoff data" and "farmer-rancher economic hardship data" will only be considered if proven to be useful for the distribution

of funds to areas of need in Maine. Large plant closings have occurred in some Maine counties, but are not a predictor of the location of future large plant closings. Although ten years ago there were many farmers in certain areas of the state who were leaving agriculture, in the years since, there has been no wholesale dislocations which would require more attention to this occupation than others.

As Maine follows the WIOA local area distribution formula, we are adding the “minimum percentage” component to the plan which delineates how funds are allocated to local areas for the Youth and Dislocated Worker Programs. The wording is exactly the same for both the Youth and Dislocated Worker allocation description.

Minimum Percentage – The local area will not receive an allocation percentage for a fiscal year that is less than 90 percent of the average allocation percentage of the local area for the two preceding fiscal years. Amounts necessary for increasing such allocations to local areas to comply with the preceding sentence shall be obtained by ratably reducing the allocations to be made to other local areas.

ALLOCATION DISTRIBUTION

MDOL will not exceed the 5 percent limitation of the Adult, Youth, and Dislocated Worker program allocations allowable for administrative functions, any remaining set aside funds will be used to conduct other required and allowable statewide activities.

Allocation distributions have always been figured according to each individual county within a local area. The formulas for calculating the allocations based on areas of significant unemployment, , excess unemployed, and disadvantaged adults will continue to be used in the county allocation formula.

The following charts provide a summary of the Program Year 2019 WIOA Formula fund distribution to local areas.

TABLE 20: Title I ALLOCATION OF DISTRIBUTED FUNDS UNDER THREE LOCAL AREAS

Northeastern Workforce Development Board

Program	County	Program \$	Board Admin \$	Total
Adult	Aroostook	\$154,520	\$17,168	\$171,688
Adult	Hancock	\$84,764	\$9,418	\$94,182
Adult	Penobscot	\$202,718	\$22,524	\$225,242
Adult	Piscataquis	\$31,955	\$3,551	\$35,506
Adult	Washington	\$81,484	\$9,054	\$90,538
Adult Total		\$555,441	\$61,715	\$617,156
DW	Aroostook	\$84,459	\$9,384	\$93,843
DW	Hancock	\$114,444	\$12,716	\$127,160
DW	Penobscot	\$246,466	\$27,385	\$273,851
DW	Piscataquis	\$15,026	\$1,669	\$16,695
DW	Washington	\$36,737	\$4,082	\$40,819
DW Total		\$497,132	\$55,236	\$552,368
Youth	Aroostook	\$164,673	\$18,297	\$182,970
Youth	Hancock	\$89,992	\$9,999	\$99,991
Youth	Penobscot	\$255,845	\$28,427	\$284,272
Youth	Piscataquis	\$31,927	\$6,548	\$38,475
Youth	Washington	\$89,714	\$9,968	\$99,682
Youth Total		\$632,151	\$73,239	\$705,390

Program	County	Program \$	Board Admin \$	Total
Grand Total		\$1,684,724	\$190,190	\$1,874,914

Coastal Counties Workforce Development Board

Program	County	Program \$	Board Admin \$	Total
Adult	Cumberland	\$208,161	\$23,129	\$231,290
Adult	Knox	\$35,718	\$3,969	\$39,687
Adult	Lincoln	\$33,027	\$3,670	\$36,697
Adult	Sagadahoc	\$23,732	\$2,637	\$26,369
Adult	Waldo	\$57,926	\$6,436	\$64,362
Adult	York	\$156,056	\$17,340	\$173,396
Adult Total		\$514,620	\$57,181	\$571,801
DW	Cumberland	\$167,062	\$18,562	\$185,624
DW	Knox	\$27,671	\$3,075	\$30,746
DW	Lincoln	\$25,357	\$2,818	\$28,175
DW	Sagadahoc	\$24,446	\$2,716	\$27,162
DW	Waldo	\$36,993	\$4,110	\$41,103
DW	York	\$183,950	\$20,439	\$204,389
DW Total		\$465,479	\$51,720	\$517,199

Program	County	Program \$	Board Admin \$	Total
Youth	Cumberland	\$249,218	\$27,691	\$276,909
Youth	Knox	\$35,094	\$3,899	\$38,993
Youth	Lincoln	\$31,812	\$3,534	\$35,346
Youth	Sagadahoc	\$22,452	\$2,495	\$24,947
Youth	Waldo	\$61,187	\$6,798	\$67,985
Youth	York	\$161,037	\$17,893	\$178,930
Youth Total		\$560,800	\$62,310	\$623,110
Grand Total		\$1,540,899	\$171,211	\$1,712,110

Central Western Workforce Development Board

Program	County	Program \$	Board Admin \$	Total
Adult	Androscoggin	\$144,204	\$16,022	\$160,226
Adult	Franklin	\$41,633	\$4,626	\$46,259
Adult	Kennebec	\$162,504	\$18,056	\$180,560
Adult	Oxford	\$89,938	\$9,993	\$99,931
Adult	Somerset	\$181,401	\$20,155	\$201,556
Adult Total		\$619,680	\$68,852	\$688,532
DW	Androscoggin	\$86,797	\$9,644	\$96,441

Program	County	Program \$	Board Admin \$	Total
DW	Franklin	\$70,287	\$7,810	\$78,097
DW	Kennebec	\$85,638	\$9,516	\$95,154
DW	Oxford	\$86,069	\$9,563	\$95,632
DW	Somerset	\$112,918	\$12,546	\$125,464
DW Total		\$441,709	\$49,079	\$490,788
Youth	Androscoggin	\$162,747	\$18,083	\$180,830
Youth	Franklin	\$52,333	\$5,815	\$58,148
Youth	Kennebec	\$176,269	\$19,585	\$195,854
Youth	Oxford	\$88,233	\$9,804	\$98,037
Youth	Somerset	\$183,735	\$20,415	\$204,150
Youth Total		\$663,317	\$73,702	\$737,019
Grand Total		\$1,724,706	\$191,633	\$1,916,339

III.(B.5.B) TITLE II PROGRAMS

Through a competitive, multi-year grant process, eligible providers apply for funds to provide adult education services. Eligible providers may include: local educational agencies; community-based or faith-based organizations; volunteer literacy organizations; institutions of higher education; public or private nonprofit agencies; libraries; public housing authorities; a nonprofit institution having the ability to provide adult education and literacy services to adults; and a consortium of agencies, organizations, institutions, and libraries described above; a partnership between an employer and an entity described in any of the categories listed above; and other organization types not in the list above that have the ability to provide adult education and literacy activities to eligible individuals.

Title II Adult Education and Family Literacy funds are used to provide adult literacy services throughout the state. Historically, adult education services have been provided in a variety of locations (i.e. public schools, libraries, CareerCenters, municipal buildings and other facilities) in each of Maine's 16 counties. Beginning in FY18, the state established nine adult education and career development areas that were aligned with the boundaries of the three local workforce boards. To encourage innovation and maximize efficiencies and resources, local adult education providers within these geographic areas were formed into hubs. The Maine Office of Adult Education awarded one AEFLA grant to each service area with the understanding that the eligible provider would have the capacity and intent to provide adult education services in a variety of locations throughout the service area.

Maine Adult Education released a competitive RFP (request for proposal) on February 21, 2019 to award contracts to eligible agencies for the provision of WIOA Title II Adult Education and Family Literacy Act (AEFLA) services to eligible individuals in need of AEFLA services to improve their academic and workforce prospects. It is the purpose of Maine Adult Education under WIOA to provide adult education and literacy services that also align with the goals in the State of Maine 2020-2023 Unified Plan and encourage the growth of educational opportunities and, where applicable, to ensure career, citizenship and college readiness for all Maine adults. The initial grant cycle is for FY20-22 (July 1, 2019-June 30, 2021). Subject to continued availability of funding and demonstrated effectiveness as determined by outcomes, the Department may opt to renew the contracts for two renewal periods, July 2021 through June 30, 2023 and July 1, 2023 through June 30, 2024.

Each eligible agency that applied, in order to be considered for funding, had to have demonstrated effectiveness in serving eligible adult learners (low levels of literacy, English language learners, learners with barriers) and the ability to meet the thirteen considerations of WIOA Title II. That effectiveness was determined by the State from the submission of relevant data as part of the proposal process. Required data needed to show numbers of low-level learners served, English language learners, educational gain, transition to employment and/or postsecondary or skills training. Proposals that are unable to provide evidence of adequate effectiveness were not considered.

Proposals were assessed on their ability to meet the thirteen considerations and other requirements of WIOA, demonstrate evidence of successful past performance in providing adult literacy services, programmatic alignment with local workforce board plan priorities, and the ability to successfully address the state's career pathways components. Additional WIOA requirements that must be met include the ability to offer programs that: lead to industry-recognized credentials; lead to postsecondary credentials; meet the educational and training needs of individuals with barriers; relate to in-demand industry sectors and occupations in Maine; and make use of technology to increase accessibility.

As a result of the RFP, nine two-year contracts were awarded to providers, one award to each of the nine service area hubs, as outlined in the RFP. Awardees held in good standing and maintaining demonstrated effectiveness may be eligible to renew the contract for up to two renewal periods. Approximately 90 percent of allocated funding is awarded as a "base amount" with 10 percent of the funding available for incentives. Base funding is calculated by determining a "per student" allocation taking into account both the population density and need for services by hub as indicated by data from the most recent American Community Survey. Incentive funding is distributed equally among all hubs meeting the specific state targets and incentive performance measures identified each year.

III.(B.5.C) TITLE IV VOCATIONAL REHABILITATION

The state legislature distributes funding for vocational rehabilitation services as part of the biennial budget. The amounts are generally based on the prior year allotment with adjustments made for personal services and funding requests submitted by the agency for specific purposes. These funding requests may or may not be approved by the legislature. Each division of the Bureau of Rehabilitation Services has their own individual general fund appropriation account within the biennial budget which is the basis of each individual account within the state's accounting system. The general fund appropriation is not shared between the two divisions.

III.(b.6) PROGRAM DATA

III.(B.6.A) DATA ALIGNMENT & INTEGRATION

PLANS FOR INTEROPERABLE MANAGEMENT INFORMATION SYSTEMS FOR THE CORE PROGRAMS

Core partners of this Unified Plan presently utilize disparate case management and management information systems (MIS): Adult Education uses MaineSTARS, Vocational Rehabilitation utilizes AWARE, and Wagner-Peyser and Title I-B formula program providers use the Maine JobLink, a product of America's Job Link Alliance (AJLA).

Resources for new systems or system enhancements in a small state such as Maine are constrained (states with relatively small populations cannot cover the fixed costs of purchasing and maintaining operating systems as readily as larger states, which receive substantially higher funding allotments). These facts notwithstanding, Maine's core partners recognize that achieving the type of integrated and efficient service levels articulated in this plan will require 'breaking down the data siloes' and achieving greater levels of system integration.

In the autumn of 2016, Maine received a \$1.1 million-dollar Reemployment and Systems Integration (RSI) Dislocated Worker grant (DWG) to investigate and implement a common registration and case management portal across the multiple core programs. The working group for this project gathered information from other states on their pursuit of similar initiatives and worked with vendors to review available options for solutions. A request for proposals (RFP) containing the State's requirements for a system was developed and a vendor secured through competitive bid. The system, named WORK Services: Workforce Opportunities, Referrals, and Knowledge Services, integrates the disparate case management systems and incorporates a public facing portal.

Currently in a limited release with a plan for statewide rollout in 2020, the system allows some connection of the core partner data systems and sharing of information among partners (with informed consent by the participant). This enhances and streamlines WIOA reporting, reduces duplication for participants and staff, simplifies the registration process, has capacity to add partner agencies over time and ensures data governance that maintains data security and personal privacy

compliance. Because of Maine's rural geography, it also provides access for people who may have difficulty traveling to a physical site or need to utilize services outside normal business hours.

The portal allows individuals to submit initial personal information and find programs based on their answers to high level screening questions. These questions identify individuals who might benefit from programs, including identifying people with disabilities and those who have not achieved a secondary education and/or those interested in education and training opportunities.

Further work is anticipated to integrate with the state's unemployment compensation system, ReEmployME into the WORK Services system as intended by the RSI DWG grant.

The Center for Workforce Research and Information (CWRI), MDOL's labor market information provider, will add data on participants of core partners to the Maine Education and Attainment Research Navigation system or MaineEARNs, thereby linking the records of core program participants with their corresponding wage and employment records for program evaluation and reporting purposes.

MaineEARNs also provides information on employment and wage outcomes for Maine workers who graduated from the University of Maine System and Maine Community College System after July 2008. Students, parents, educators, administrators, policy makers, and anyone interested in earning education credentials and employment in Maine will be able to use this data to research, plan and make informed decisions. Interest has been expressed by at least one private university to join in the collections and reporting. It is this same system which is being used to meet the requirement for the annual Eligible Training Provider reporting requirement. Interest has been expressed from the University of Maine System to begin collecting and reporting on the awarding of micro-credentials and including them in the MaineEARNs system.

Maine has made strides in developing the capacity for core programs and other partners to share an integrated data system that will allow each agency to collect, utilize, protect, and report out data specific to their agency while also being able to share and utilize common data from other partner agencies. Agencies are acutely aware of issues of confidentiality and privacy in the sharing and reporting of information and take measures to ensure that participants provide consent to share information between agencies.

Ultimately, Maine will have to develop the capacity for core programs and other partners to share an integrated data system that will allow each agency to collect, utilize, protect, and report out data specific to their agency while also being able to share and utilize common data from other partner agencies. The core partners are committed to this process and have established a data systems workgroup containing members from each core partner tasked with researching available software and other technology solutions. It is still early in the process for systems alignment, but to date, the group has been formed and begun meeting. First steps in the timeline include researching available software and identifying which data system model might work best in Maine. Additional information regarding specific data system models is included in part two of the data alignment and integration section.

PLANS TO INTEGRATE DATA SYSTEMS TO FACILITATE STREAMLINED INTAKE & SERVICE DELIVERY

The WORK Services application described in the previous section brings Maine along the path of streamlining intake and delivery services. The plan is for a statewide rollout of the system in 2020 which will increase the availability of information to participants and integration of the state's information management systems.

Work will begin with the Bureau of Unemployment Compensation to evaluate how to integrate Maine's unemployment compensation system with the W.O.R.K. Services application.

The WIOA system partners will work together to identify additional partners who could benefit from integrated systems as well. These could include higher education partners, licensing, and health and human services partners.

Integrating any partner in the W.O.R.K. Services application will take extensive work to:

- Identify the pieces of information within the core program's system that should be shared
- Establish data sharing agreements
- Address the privacy and governance issues surrounding the use of the shared data
- Identify funding to support purchase and implementation of the strategy

THE STATE WORKFORCE BOARD'S ROLE ASSISTING THE GOVERNOR IN ALIGNING TECHNOLOGY AND DATA SYSTEMS

The State Workforce Board (SWB) will assist the governor in aligning technology and data systems across partner programs. With the leadership of the SWB a comprehensive strategy for aligning and integrating complex data systems will establish the parameters for new technology systems in order to allow core partner systems to communicate, enable common intake, and other shared front-end system activities. The MDOL is implementing a new management information system, provided by America's Job Link Alliance (AJLA), which facilitates federal reporting. The SWB will also take a leadership role in establishing the parameters for new system software that will enable common intake and other shared front-end system activities.

The SWB will advise the governor on technology systems for tracking benchmark performance indicators of programs and participants. Maine's Workforce Longitudinal Data System will play an integral role in measuring the outcomes of participants over time in order to measure and direct resources more effectively.

The SWB also convenes the WIOA Steering Committee and facilitates discussions in support of creating improved modes of service delivery to individuals, including those with barriers and who are unemployed. The core partners are also represented on the Steering Committee and through numerous meetings and discussions; a comprehensive strategy that reflects their input and the desire of the governor for increased efficiency of operations is being developed.

DESCRIBE THE STATE'S PLANS TO DEVELOP REPORTS REQUIRED UNDER SECTION 116, PERFORMANCE ACCOUNTABILITY SYSTEM

All core partners currently use wage data from the Unemployment Insurance system to report employment and median earnings performance outcomes required by Section 116 of the Workforce Innovation and Opportunity Act. The Bureau of Unemployment Compensation (BUC), the Bureau of Rehabilitation Services (BRS), the Bureau of Employment Services (BES), and the Center for Workforce Research and Information (CWRI) are all housed within the Maine Department of Labor. The BRS contracts with the BUC to conduct employment and earnings match necessary to report participant performance to the U.S. Departments of Education and Labor on a quarterly and annual basis. Through an agreement with the CWRI, Maine Adult Education also partners to conduct

employment and earnings match on behalf of their customers. The BES houses the management information system (Maine JobLink) used by the following programs: Title I-B Adult, Dislocated Worker, and Youth programs, Title III employment services, the Jobs for Veteran's State grant, Trade Adjustment Assistance, and Title ID National Farmworker Jobs Program. A process has been built into the system to match employment and earnings data necessary to report employment and earnings performance outcomes.

Credential attainment data for Title I-B adult, dislocated worker and youth services are collected through the Maine JobLink system based on data entered by service provider staff and validated through document uploads. Similarly, staff enter and track measurable skills gains for participants enrolled in training or education services. Title I-B programs report on five types of measurable skills gains. Title I-B providers track educational functioning level (EFL) gains through pre- and post-test scores using CASAS.

As a core partner, Maine Adult Education, also works with the Center for Workforce Research and Innovation (CWRI) and the Unemployment Insurance (UI) database through the Maine Department of Labor is able to meet employment and earnings performance data obtained through a data match using participant social security numbers. Although median earnings were not being collected or reported for Adult Education in the past, improved collaboration and integration of data reporting systems processes allow for accurate and complete employment and median wage data for federal reports.

Adult Education also collects performance measures regarding credential attainment and postsecondary outcomes. Credential attainment for secondary school diplomas and high school equivalency is obtained by accessing data through the State's managed information system, MaineSTARS and through the state account of the HiSET Data Access Manager database. Postsecondary enrollment information for adult education is conducted through a data match using the National Student Clearinghouse through the Maine Department of Education. Although the information obtained through the clearinghouse is useful for tracking some postsecondary enrollment, it is not as effective in tracking successful postsecondary completions. Clearinghouse data is incomplete and does not include all recognized postsecondary education or training programs. To enable core programs to collect and report this required data, core partners are examining ways several data sets may be able to be combined to compile the data necessary for the

required performance measures. The core partners are also exploring ways to align the Department of Labor's expanded Workforce Data Quality Initiative (WDQI) with the new data requirements under WIOA.

Measurable skill gains are currently collected and reported for Adult Education using the federally approved CASAS assessment for the pre-and-post testing of participants. Core partners have agreed to coordinate and align measurable skills assessment by implementing eCASAS as the assessment tool used by all partners. Currently eCASAS assessments are recognized and used by all local Adult Education programs, one-stops, and other eligible training providers. Results are shared where appropriate to reduce duplicative testing.

III.(B.6.B) ASSESSMENT OF PARTICIPANTS' POST-PROGRAM SUCCESS

All Title I-B performance measures, except measurable skill gains, are measured after exit from the program. Credential and employment outcomes may be measured up to one year after exit from the program. Staff continue to work with clients to provide follow-up services that will ensure success in employment and/or education.

In addition to staff-entered credential attainment data, the Bureau of Employment Services works with training providers to gather data on overall completion and credential attainment rates for all students attending approved programs of study listed on the Eligible Training Provider List (ETPL). The ETP report combines participant outcome data tracked in Maine JobLink with all student data submitted by each training provider to the Center for Workforce Research and Information (CWRI). Data submitted to CWRI is cycled through their MaineEARNs data base to simplify this reporting requirement for eligible providers and data is combined with Maine JobLink data to produce the annual ETP report required under WIOA and required in Maine for continued approval as an eligible training provider. This report format is very new resulting in sparse data; however, as time moves on it is anticipated this report will be quite robust and promote sound decisions by WIOA participants in regard to how they will invest their training accounts.

Developing long-term participant outcomes is essential to creating a continuous cycle of program and system improvement. Moreover, as discussed in the first section of this Unified Plan (Economic and Workforce Analysis), Maine has a variety of workforce challenges that require measurement,

tracking and assessment. As such, Maine's core partners are committed to producing an evaluation system that extends beyond what's required for federal reporting.

MaineEARNs will play an integral role in measuring long-term participant outcomes. It presently measures first year wage and employment outcomes of university and community college graduates at the campus, credential, and area of study level. As part of this plan, the system will be used to measure the outcomes of workforce development system program participants. To do so, the WIOA Steering Committee, core program managers and the SWB will collaborate to define the data that is required to inform decision making and program improvement.

The Department will explore other programs that are not presently using wage data for performance accountability evaluations to be added to the wage-matching system. There is an opportunity for Maine's Department of Health and Human Services (DHHS) to develop a data sharing Memorandum of Understanding (MOU) with Maine Department of Labor for the purposes of evaluating the outcomes of Department of Health and Human Services participants.

III.(B.6.C) USE OF UNEMPLOYMENT INSURANCE WAGE RECORD DATA

A Maine Department of Labor Memorandum of Understanding regarding the use of Unemployment Insurance (UI) wage record data permits the MDOL to use the data in several ways. First, data will be used to measure and manage performance for: Title I-B Adult, Dislocated Worker and Youth programs; Wagner-Peyser Employment Services; Trade Adjustment Assistance; Work Opportunity Tax Credit (WOTC); National Dislocated Worker Grants; and other federal initiatives. Then wage data will be used for customizing and providing services to employers, and finally the data will be utilized to measure and evaluate long term outcomes and performance through the Maine Education and Attainment Research Navigation system (MaineEARNs) on behalf the department, other agencies, and educational institutions.

MDOL uses wage data to monitor the status and progress of participants enrolled in the Title 1-B, Wagner-Peyser and Trade Adjustment Assistance programs to certify work history for the WOTC program. The wage data will also be utilized to determine the initial and continuing eligibility of training providers approved to receive WIOA training funds and to be included on Maine's Eligible Training Provider List. In addition, standard assessments and reports will posted on the web so that consumers will be able to easily access information that will assist them in making choices about

the variety of education and training programs available in Maine, and the providers of those training programs.

By funding MaineEARNs, Maine's policymakers have clearly signaled the move towards data-driven decision making in future rulemaking, goal setting, and program evaluation. Standard reports will be designed to provide information to evaluate the effectiveness of training programs administered by multiple partners. Standard reports will guide improvement of the workforce system by enabling administrators to evaluate program effectiveness and allocate limited public funds more effectively.

III.(B.6.D) PRIVACY SAFEGUARDS

Personally identifiable information at the individual record level is protected through systems security measures and by having all staff sign a confidentiality agreement and, as necessary, requiring customers to sign release of information forms. In terms of outside agencies personally identifiable information is protected by aggregating individual records and standardized confidentiality screening. MaineEARNs public facing results are aggregated to protect the confidentiality of participants being measured. In addition, outcomes with fewer than 10 participants are suppressed for confidentiality purposes. The Center for Workforce Research and Information is implementing additional privacy protections by adopting a System Security Plan based on FIPS 199/NIST 800-60 Vol2, Rev1 guidelines.

III.(b.7) PRIORITY OF SERVICE FOR VETERANS

The State has issued a policy regarding priority of service for veterans, policy PY15-23 Priority of Service for Veterans³⁷.

The SWB, the MDOL and local workforce service providers are responsible for developing strategies and implementing the veterans' priority of service as required by 38 U.S.C 4215(b) and 20 CFR Parts 1001 and 1010. Maine's one-stop system is the core mechanism that will support, expand and maintain services to the veteran population throughout the State. Eligible veterans and covered

³⁷ PY15-23 Priority of Service for Veterans https://www.maine.gov/swb/laws/policies/PY15-23_veterans_priority_of_service.doc

persons with significant barriers to employment as defined in Veterans' Program Letters (VPL) 03-14, 03-14 Change 1 &2 and 03-19.

Priority of service applies to Workforce Innovation Opportunity Act Adult, Dislocated and Youth Grants, Demonstration Grants, Trade Adjustment Assistance, Wagner-Peyser, and other core programs funded by the U.S. Department of Labor and administered in Maine by the Maine Department of Labor (MDOL). Accordingly, MDOL has issued guidance to the State's Local Workforce Boards (LWBs) requiring local policy issuance to WIOA service providers to include priority of service for Veterans requirements in *agreements* (plans, contracts and subcontracts).

The MDOL and one-stop providers will take the necessary actions to ensure that priority of service opportunities are clearly visible and articulated to all customers who engage in one-stop services. At a minimum, priority of service to veterans will include adherence to and implementation of the following guidelines:

Outreach/Recruitment:

- Inclusion of information regarding veterans' priority of service in printed materials targeted to customers and employers
- Inclusion of information regarding veterans' priority of service in presentations made to customers and employers
- Addition of veterans' priority of service information to service providers, Maine one-stop centers and MDOL web sites
- Pro-active recruitment of veterans by targeted strategies that focus on employers as well as job seeking veterans

Notification:

- Addition of a veterans' priority of service rights statement to the complaint procedures provided to a Veteran customer
- Addition of a veterans' priority of service rights statement to the signature portion of the paper intake forms
- Provision of the opportunity for veterans and covered persons to make known their veteran status

- The Maine JobLink job notification system, which will inform eligible veterans of job opportunities before all other registrants

Intake/Registration for Services:

- Written policies to establish that service providers who receive WIOA funds for employment and training programs will be required to identify covered persons at the point of entry to programs and/or services, so that veterans and covered persons can take full advantage of priority of service
- Written policies and procedures to ensure veterans and covered persons understand their entitlement to priority of service, the full array of employment and training services available, the eligibility requirements that veterans and covered persons must meet in order to gain entry into programs and services

Eligibility for Services will be delineated in written policies and procedures:

- That ensure veterans and covered persons meet the statutory eligibility requirements applicable to the specific employment and training program
- That ensure veterans and covered persons are given priority of service where statutory or mandatory priorities are in effect and particularly, where local area service providers have instituted mandatory priorities due to limited funds
- That ensure eligible veterans and covered persons receive access to services or resources before non-covered persons when resources for services are limited
- That target special populations of veterans, including Special Disabled Veterans, Campaign Badge Veterans, Disabled Veterans, and covered persons

Many veterans face difficulty transitioning to civilian life and may require specialized employment and training services to boost their job prospects. Veterans Employment and Training Services (VETS) and MDOL have established effective program designs that include other providers, such as the Togus Veteran's Rehabilitation Program. Additionally, veterans with more severe adjustment difficulties may require counseling, social services, and more in-depth support from specialists who are equipped to address their needs.

Maine's Local Veterans Employment Representatives (LVERs) generate the Quarterly Report on Services to Veterans, for which content requirements are identified by one-stop center managers. These reports focus on compliance with federal laws and regulations with respect to special services and priorities for veterans.

As new USDOL and MDOL veterans' programs are introduced and implemented, the veterans' team and Wagner-Peyser staff will assist in delivering these services and programs to veterans.

Delivery of services through the one-stop system to veterans and covered persons is standardized to ensure that no veteran or covered person is turned away without receiving some level of service. All WP staff are (and will continue to be) trained to provide initial assessment and triage for all customers entering our CareerCenters, including veterans. After initial assessment, WP staff will determine if they will provide needed services to the veteran or if a referral to the local DVOP is required. If the veteran does not meet the JVSG target population or if a DVOP is not currently available, CareerCenter staff will provide one-on-one assistance, including individualized career services, to veterans and eligible persons. This may include assessment, planning, advocacy, job development, job matching, referral to other state and federal programs and follow-up. If the veterans meets JVSG eligibility, they are referred to the CareerCenter's Disabled Veterans Outreach Program specialists (DVOPs), who work exclusively with veterans and covered persons to facilitate their access to all programs and services for which they are eligible under the priority of service policy. These specialists provide one-on-one assistance that includes case management, assessment, planning, provision of individualized career services, advocacy, job development, job matching, referral to other state and federal programs and follow-up. In addition, at our AJC's Local Veterans Employment Representatives (LVERs) conduct employer outreach and establish employment and training opportunities on behalf of all veteran clients that are served in their regions.

As veterans and covered persons may be referred to any available employment and training service open to the general public regardless of funding source, it is important that all one-stop center staff establish and maintain effective working relationships with one-stop system partners and service networks. These relationships will strengthen coordination of interagency efforts to help support veteran service initiatives. Veterans' priority of service language will be integrated into financial

and nonfinancial working agreements and Memoranda of Understanding with other organizations to ensure Maine’s workforce development system is “Keeping the Promise!”

III.(b.8) ADDRESSING THE ACCESSIBILITY OF THE ONE-STOP DELIVERY SYSTEM FOR INDIVIDUALS WITH DISABILITIES

The State Board has implemented the “Accessibility, Equal Opportunity and Nondiscrimination Policy”³⁸ which codified the State’s commitment to universal access and non-discrimination. Going beyond compliance with accessibility requirements, it seeks to provide universally accessible services. Ensuring the accessibility of one-stop centers and compliance with disability-related regulations is also included in the “One-Stop Certification Criteria Policy”³⁹, including:

- Making reasonable accommodations for individuals with disabilities;
- Making reasonable modifications to policies, practices, and procedures where necessary to avoid discrimination against individuals with disabilities;
- Administering programs in the most integrated setting appropriate;
- Communicating with persons with disabilities as effectively as with others;
- Providing appropriate auxiliary aids and services, including assistive technology devices and services to afford individuals with disabilities equal opportunity to participate in, and enjoy the benefits of, program activities; and
- Providing for the physical and programmatic accessibility of the one-stop center to individuals with disabilities.

The State will continue to enhance its education and outreach capabilities through the duration of this current plan through the ongoing training and support of partners in the implementation of a universally accessible system.

³⁸ [PY17-01 Accessibility, Equal Opportunity and Nondiscrimination https://www.maine.gov/swb/laws/policies/PY17-01_NonDiscrim-Accessibility.docx](https://www.maine.gov/swb/laws/policies/PY17-01_NonDiscrim-Accessibility.docx)

³⁹ [PY-16-04 One Stop Certification Criteria https://www.maine.gov/swb/laws/policies/PY16-04_One_Stop_Certification_Criteria.doc](https://www.maine.gov/swb/laws/policies/PY16-04_One_Stop_Certification_Criteria.doc)

One facet of this is the enhancement of the Accessibility Guide currently available on the Bureau of Rehabilitation's website. Developed as part of a leadership academy, the site has served as a quick resource on information regarding accessibility and managing some of the potential issues. It provides quick, synthesized information on technical issues for things like documents and presentations, as well as building accessibility and etiquette. The State is working with the Information Technology Accessibility Committee (ITAC) to further develop the website. The site will be updated to ensure current content, re-designed to ensure better usability of the information and moved to provide greater visibility to the content for State agencies and interested partners. The ITAC will take over the monitoring and updating of the content of the site, and the Office of Information Technology web services unit will take over the technical management of the website.

SECTION 188 CHECKLIST

The WIOA Section 188 Checklist developed by the USDOL Office of Civil Rights will be a guiding document. The checklist is considered a comprehensive overview of requirements and provides reliable advice on achieving and sustaining universal access.

LEVERAGING EXISTING RESOURCES AND CONSTITUENT COMMITTEES

Maine continues to build and maintain a system that includes access based on language, race, national origin, religion, culture/ethnicity, ability/disability, age, sex/gender identity, and all other protected classes under WIOA, the Americans with Disability Act, applicable state laws, and other federal laws related to public access and civil rights. The working group developed "Priorities for Equal Opportunity/ Non-discrimination/ Accessibility Assessment of One Stops," user friendly guidance based on the Section 188 Checklist and the policy, to help them meet the standards.

The Maine State Workforce Board has several committees designed to address the workforce needs of specific constituencies, including women, older workers, younger workers, veterans, and people with disabilities. As issues or questions arise, these committees will be asked to advise on programmatic and physical access and to assist with policies and operational guidance to assure that the one-stop system and its partners are accessible and meeting requirements. Other organizations serving and representing job-seeking constituencies, including migrant and seasonal workers, "displaced homemakers," formerly incarcerated, populations whose identities are based on culture/ethnicity/religion, youth, people with disabilities, and older Mainers will be consulted

and invited to participate in planning, policy review, staff training, testing and evaluating programmatic and physical access, including customer service. The State Rehabilitation Councils for the Division of Vocational Rehabilitation and the Division for the Blind and Visually Impaired, as well as the Commission for the Deaf, Hard of Hearing and Late Deafened, State Independent Living Council and the Maine Developmental Disabilities Council, will also be included. Focus groups and surveys of customers and larger affected populations will be used to determine if accessibility goals are being met.

CORE PRIORITIES

Developing a vision and working definition of universal access is essential. Maine does not have all the human and financial resources to implement and sustain universal access without a commitment to a long-term initiative. Therefore, the initial priority is the development of a five-year strategic initiative, with each year's efforts building on and refining prior efforts. The system's vision of universal access will dictate the goal(s) and will provide the destination for the five-year course. Determining how to best inspire system investment will be part of the working group's charge. Staff training and initial policy development will follow quickly.

Training: Professional development for any major systems or operational change is one of the best guarantors of sustainability. With the goal of sustained competence related to serving diverse populations and with related policies in mind within the workforce development system and among partner agencies, the work group will develop a training plan that is compatible and synchronized with other staff training. The objective of the universal access training efforts is sustained competence related to serving diverse populations and knowledge of related policies across the system and among partner agencies.

Training for employees will include information on locating and providing access to needed resources such as translators and interpreters, transportation services, and alternative formats. The Section 188 Checklist will inform training topics and plans for managers, supervisors, and facility operations staff.

Initial training for staff and partners will include, at a minimum:

- General orientation to universal access, WIOA and other legal requirements

- Customer service-both culturally sensitive service and general customer service
- Resources within the system and in the larger community
- Complaint resolution

A variety of training approaches will be considered and deployed, depending on available financial and human resources, training topics, and other conditions. Co-training with and for partners will be considered to best use resources and help system partners' staffs to "be on the same page." Blending and braiding training resources will be a guiding principle.

All one-stop center staff will be trained and required to demonstrate competency in serving diverse populations and knowledge of related policies across the system and among partner agencies. One-stop center certification will depend on demonstrating that employees have achieved the required competencies in universal access.

Managers and supervisors, in collaboration with our WIOA staff development group, will provide training to new hires, and on an annual or biennial basis to all staff. The training will be recorded and some training will be offered through online training providers, such as the New England ADA Technical Assistance Center and other regional ADATACs. The Bureau of Rehabilitation Services, Maine Department of Education, and other agencies (such as those named above as Universal Access work group members/resources) will provide, or help provide, training.

Examples of other training to be offered, either concurrently or after initial training has been completed:

- Hidden disabilities
- Deaf culture
- Blind culture
- Mental health first aid
- Service animals
- Accessing community resources
- Creating accessible documents

The WIOA implementation steering team will identify a method for documenting compliance with training requirements for implementation by supervisors and managers. Documentation will be a required element of one-stop certification and monitoring.

Policies: During the implementation of the State's 2016-2020 Unified State Plan, the State Board implemented the Accessibility, Equal Opportunity and Nondiscrimination Policy⁴⁰ which codified the State's commitment to universal access and non-discrimination. Going beyond compliance with accessibility requirements, it seeks to provide universally accessible services.

The policies will also reference procedures for filing complaints, which are already contained in our CareerCenter Customer Complaint Manual. Current staff people are familiar with the manual and it is available on the shared drive for reference. Staff training includes customer complaint protocols and is part of the core training that we plan to provide to required partners.

The policy also requires the State and Local Boards to post required notices, meeting agendas and minutes, and other information and to ensure that their websites, meeting spaces, and documents meet current accessibility standards. The requirements are annually monitored.

Compliance with the policies will be required for one-stop certification. WDBs and operators will develop protocols to assist front-line staff in partner agencies on how to identify appropriate services for individuals and deliver them in an accessible and non-discriminatory fashion.

All front-line staff will be informed/reminded of the procedures for handling customer complaints related to discrimination or lack of access. Customer service training will be provided to all front-line staff within three months of hire, and after that annually. Managers, in collaboration with BES and the WIOA staff development group, will be responsible for providing and documenting this training.

Building on the work of the current state plan, the state will continue to develop policies and supportive training around priorities which include assistive technology and equipment responsibility, website/social media accessibility, programmatic and physical accessibility of

⁴⁰ ibid

workshops and events, service animal protocols, prohibition of automatic referrals to Vocational Rehabilitation, alternative formats for required tests/assessments, and consistent use of equal employment and accommodations tag lines. Program participation rules governing required orientation workshops, the RESEA program, and other mandatory programs will be examined to ensure full accessibility, especially access to alternative formats and accommodations. The feasibility of a central accommodations fund and various ways of ensuring/maintaining its solvency will also be explored.

DOMESTIC VIOLENCE AND OTHER CHALLENGES TO ACCESS

Maine is a leader among states in ensuring that domestic violence victims have legal protections to avoid job loss and loss of unemployment insurance benefits due to domestic violence counseling, treatment, and court appointments. The universal access working group will examine how domestic violence affects physical and programmatic access to services and make any necessary changes to address this situation. Similarly, the working group will explore the potential implications of low literacy, financial hardship, and poor housing/homelessness on access to services. Policies and practices designed to mitigate the most challenging circumstances will be investigated in collaboration with low-income individuals, people who are homeless, and the organizations representing them.

MONITORING PROGRESS

The Section 188 checklist, 20 CFR Part 38 and policies will be used to monitor the system's progress toward universal access. Quantitative outcomes will be used, when practical, to assess system accessibility and utilization by WIOA's priority populations. Best practice models from other systems and other states will be researched and tailored to Maine whenever possible.

WDBs and operators will be responsible for developing mechanisms to deliver information on local workforce development system resources in an easy-to-access manner. They will conduct outreach to inform the public of these resources. Workforce development system partners and community agencies will also be informed of these resources and how to assist clients and participants in accessing and navigating the workforce system's resources.

In accordance with §678.800, WDBs will be responsible for ensuring that these provisions are implemented. Monitoring will include compliance with these policies. WDBs will assess their one-stops at least once every three years. They will also review and update any criteria when conducting any program reviews or when updating their local plans.

When monitoring or other activities reveal a need for system-wide technical assistance, policy updates, or concerns related to non-discrimination and accessibility, the Bureau of Employment Services and others may provide or assist with providing the necessary TA.

We will use the Section 188 checklist, Promising Practices In Achieving Universal Access and Equal Opportunity: A Section 188 Disability Reference Guide, other tools and the USDOL's Integrated Service Delivery Toolkit to assist system partners, providers, and local boards with guidance on developing their own monitoring tools.

Implementing and monitoring compliance with these policies will be overseen by a universal access coordinator and a core Universal Access work group of system stakeholders and subject matter experts from the larger community, including the Alpha One (independent living center), Disability Rights Maine, the state ADA coordinator, Maine CITE (designated adaptive technology provider for the Maine Department of Education), NAMI Maine, and other agencies and entities with relevant expertise in both accessibility and non-discrimination. Members of the state or local workforce boards will be included.

The Bureau of Employment Services has a designated Assistive Technology specialist in each one-stop. The specialists' responsibilities include routine inventories of equipment. One-stop managers are responsible for ensuring that all assistive technology and adaptive equipment are functioning, and that adequate resources are available to replace/repair equipment, update assistive software, and obtain new equipment when needed.

III.(B.9) ADDRESSING THE ACCESSIBILITY OF THE ONE-STOP DELIVERY SYSTEM FOR INDIVIDUALS WHO ARE ENGLISH LANGUAGE LEARNERS

English language learners are a growing population of individuals served by the core partners and are a potential area of growth for Maine. Areas of the state and workforce system have more experience in working with individuals who are English language learners than other areas of the state. We plan to leverage the existing experience and knowledge of workforce system partners in enhancing the entire workforce system.

Policies - English language learners are included in the Accessibility, Equal Opportunity and Nondiscrimination⁴¹ policy established to codify the State's commitment to universal access and programmatic accessibility. This policy will be reviewed and enhanced as needed to address issues which arise. Additional policies will be developed to address the hiring of interpreters,

Training - The core partners and local workforce boards will work together to develop and deliver training programs regarding:

- Assessment of English language learners (language and cultural issues in evaluation and assessment)
- Development of materials in languages other than English
- Cultural awareness
- Hiring and Working with interpreters

The Accessibility Guide will be enhanced to address the unique needs of working with English language learners and assist partners in connecting with the appropriate resources to meet their needs.

⁴¹ ibid

IV. COORDINATION WITH STATE PLAN PROGRAMS

Maine has the benefit of being relatively lean regarding staff and programs which makes regular coordination with partners a common occurrence.

The core partners, local workforce boards and State Board staff meet monthly to monitor the implementation of the State Unified Plan. In addition to monitoring the implementation, this provides the opportunity to collaborate and share information on activities within the plan and emerging opportunities and events across the state.

Local collaboration happens between the core partners, local workforce boards and service providers on a regular basis through local board meetings, committee work, and local initiatives and events.

In addition to these, there is a Statewide Action Team (SWAT) which meets quarterly to network, share resources and discuss systemic issues. It is facilitated by various partners and moves location to allow the opportunity for statewide partners to attend.

Core partners also participate in a variety of projects and initiatives such as MaineSpark where ongoing collaboration happens with workforce system partners, higher education, employers, and non-profits.

Workforce system partners are also on the regular mailing lists for the State Workforce Board to keep them apprised of the work happening there. Additionally, SWB staff are on the invite list for local board meetings and regional training activities. Local board directors and State staff often participate and attend each other's meetings.

V. COMMON ASSURANCES (FOR ALL PROGRAMS)

1. The Maine Department of Labor, Bureau of Employment Services (MDOL/BES) has implemented a conflict of interest policy that meets the requirements of WIOA and that identifies circumstances that may present a conflict of interest for members of a State Workforce Board, a Local Board, or an entity or class of officials that the member represents, and procedures to resolve such conflicts. For a copy of this policy, please see Conflict of Interest Policy (PY15-07)
2. MDOL/BES has established a policy to provide the public (including individuals with disabilities) with access to State Workforce Board and Local Workforce Board meetings and minutes that record those meetings. The policy requires State and Local Boards to send out notices and post their agendas and meeting minutes on their websites and to ensure that both physical meeting spaces, website information, and minutes are accessible to all. For a copy of this policy, see Access to Board information (PY15-06).
3. Director-level State agency leads from the Wagner-Peyser, Title I-B Adult, Dislocated Worker and Youth programs, Vocational Rehabilitation, and Adult Education have reviewed and commented on the appropriate operational planning elements of the Unified Plan and have approved these elements as serving the needs of the populations served by those programs.
4.
 - a. The Maine Department of Labor assures that representatives of local boards and chief elected officials, businesses, labor organizations, institutions of higher education, the entities responsible for planning or administering the core programs, required one-stop partners, other primary stakeholders, including other organizations that provide services to individuals with barriers to employment, and the general public have been afforded the opportunity to provide input into the State's Unified Strategic Plan and that the Plan is available and accessible to the general public on the State Board's website.
 - b. The Maine Department of Labor assures that the State Workforce Board and State agency official(s) for the Unemployment Insurance Agency were provided multiple opportunities to review and comment on the State's Unified Strategic Plan.

5. The State assures that it has established fiscal control and fund accounting procedures that are necessary to ensure the proper disbursement of, and accounting for, funds received by the State and allotted to local areas for the core programs to carry out workforce development activities.
6. The MDOL Financial Manual references the uniform guidance at 2 CFR 200 and 2900 and guidance on limitations and restrictions identified in 20 CFR 683 that fund recipients and sub-recipients must follow. The Financial Manual emphasizes the uniform administrative requirements that recipients must adhere to, how expenditures must be reported, and clarifies process requirements pertaining to procurement and fiscal reporting. The manual also details record retention, requirements for protection of personally identifiable information and incident reporting. The manual is a policy document that informs local areas on the requirements that they have policies and processes in place as internal controls.

BES contracts with the Department of Administration and Financial Services (DAFS) to conduct annual fiscal monitoring of each local area and their sub-recipient's administration of WIOA funds to ensure that they comply with the Act and other Federal, State, and local policies and regulations. The annual reviews enable the Bureau to determine whether the sub-recipients are making expenditures against the proper cost categories and within specified cost limitations specified and required spending thresholds. During monitoring, local area and sub-recipient policies are evaluated for compliance with fiscal administrative requirements. Results of monitoring reviews enable the Bureau of Employment Services, on behalf of the Governor, to determine whether a local area is adequately addressing deficiencies and to determine that a local area has maintained fiscal integrity. In the event a local area is not in compliance the Bureau will require prompt corrective action, will provide technical assistance to the sub-recipient with specific corrective steps that must be implemented, and explain any processes or sanctions that may be imposed if compliance findings are not promptly and adequately addressed.
7. Each of the agencies within the Maine Department of Labor and Maine Department of Education take steps to ensure that they and the sub-recipients they oversee comply with Section 188 and all nondiscrimination requirements. The state issued a policy on accessibility and nondiscrimination that stipulates steps partner agencies must take to ensure programmatic and physical accessibility. Monitoring also assures that local boards

are conducting accessibility assessments at least once annually and that staff training regarding accessibility is ongoing.

8. The Maine Department of Labor, Bureau of Employment Services, the State Workforce Agency, on behalf of the Governor, assures that funds received under WIOA to carry out core program activities (Adult, Dislocated Worker, Youth, Adult Literacy, Wagner Peyser, and Vocational Rehabilitation) will not be expended for any purpose other than those that have been authorized with respect to each of these programs under WIOA.
9. The State uses set-aside funds to ensure management information and reporting systems are in place to track and report activities and systems outcomes required by section 116 of WIOA.
10. The State has implemented a one stop certification policy which ensures the physical and programmatic accessibility of all one-stop centers. Please see the One Stop Certification Criteria policy (PY16-04).
11. The Maine Department of Labor, Bureau of Employment Services has implemented a policy regarding referral of veterans with Significant Barriers to Employment (SBEs) to Disability Veterans Outreach Program services. Please see Referring veterans with SBE's to DVOPs (policy PY15-20).
12. Priority of service for veterans and eligible spouses is provided in accordance with 38 U.S.C. 4215 in development and delivery of all workforce development programs and services funded in whole or in part by the U. S. Department of Labor. Please see Veteran's Priority of Services Policy (PY15-23).

VI. PROGRAM SPECIFIC REQUIREMENTS FOR CORE PROGRAMS

ADULT, DISLOCATED WORKER AND YOUTH ACTIVITIES

General Requirements (1) Regions and Local Workforce Development Areas:

Regions: With the assistance of the State and Local Boards and Chief Elected Officials, Maine identified three planning regions; 1) Coastal Counties Region – made up of York, Cumberland, Sagadahoc, Lincoln, Knox and Waldo Counties; 2) Central Western Region – made up of Androscoggin, Franklin, Oxford, Somerset and Kennebec Counties; and 3) Northeastern Region – made up of Aroostook, Washington, Piscataquis, Penobscot and Hancock Counties.

The three local areas in Maine coincide with the three planning regions. Historically, Local Boards have been actively engaged in regional planning with their economic development district and community development counterparts. The Local Boards play a significant role in the development of each district's Community Economic Development Strategy (CEDS). The following elements were taken into consideration in identifying three distinct regions for the State:

- Equal distribution of Maine's seven economic development districts
- Equal distribution of WIOA formula funds
- Equal distribution of post-secondary education institutions
- Inclusion of a major urban hub
- Similar labor force distribution and commuting patterns
- Equal share of Maine's traditional industry sectors
- Equal distribution of emerging and technology-based industries
- The fact that regional partnerships have already been formed and active for the purpose of workforce, economic and community development

The three-region configuration is beneficial on a number of scales, not only for the above considerations, but also because of long-standing relationships between workforce development,

education and economic development stakeholders. Policy PY15-09 Establishing WIOA Regions⁴² identifies the requirements for establishing regions.

Local Areas: The Maine Department of Labor, Bureau of Employment consulted with local boards and chief elected officials regarding the requirements for initial and ongoing designation as a local area under WIOA. The process for requesting initial and ongoing designation is outlined in Policy PY15-01 Initial Designation under WIOA⁴³ as follows:

As required under the WIA Section 116 and under WIOA Section 106 (b) and as iterated in the State Strategic Plans, the substantive requirements for initial and continued designation of a local workforce development area are as follows:

- The local area is consistent with local labor market area
- The local area has a common economic development area
- The local area has the Federal and non-Federal resources, including appropriate education and training institutions, to administer activities under WIOA subtitle B

A request for local area designation by any unit of general government may be approved at any time provided the State Workforce Board determines that the local area meets the above requirements.

Any local area designated under WIA that has met the substantive requirements listed above and has performed successfully and sustained fiscal integrity, will be approved for initial designation under WIOA.

The term Performed Successfully – means that during the two program years prior to enactment of WIOA, the local area met or exceeded the common measures negotiated under WIA.

⁴² PY15-09 Establishing WIOA Regions https://www.maine.gov/swb/laws/policies/PY15-09_establishing_WIOA_regions.doc

⁴³ PY15-01 Initial Designation under WIOA https://www.maine.gov/swb/laws/policies/PY15-01_Local_Area_Designation_under_WIOA.doc

- The term **met performance criteria** means the local area attained at least 80 percent of the negotiated performance measure for each or any of the nine common measures categories under WIA
- The term **exceeded performance criteria** means the local area achieved more than 100 percent of the negotiated performance measure for each or any of the nine common measures categories under WIA.
- The term **failed performance criteria** means the local area did not achieve at least 80 percent of the negotiated performance measure for each or any of the nine common measures categories and continued to fail for each of the two years prior to enactment of WIOA.

The term Sustained Fiscal Integrity – means that during the two program years prior to enactment of WIOA, the local area administered WIA funds in a manner consistent with uniform administrative requirements as promulgated in rules of the Federal Office of Management and Budget and in accordance with criteria identified in the MDOL Financial Policy Manual. Sustained fiscal integrity is based on any of the following:

- a. **Misexpenditure of funds due to willful disregard of the requirements of the provision involved; which may include expenditure of funds:**
 - For wage and salary costs of individuals whose salaries and fringe exceed the total compensation threshold identified in 2 CFR §170.330 Appendix-A paragraph e.5
 - On any cost deemed unallowable per 2 CFR 200.420 thru 200.520
 - In excess of allowable thresholds per WIA and/or State and/or Local Policy
 - For costs identified as unallowed per 20 CFR 683.250 (*proposed*)

Willful disregard may also include Fraud, Nonfeasance, or Malfeasance. For an expanded definition of this component see page 57 of the MDOL Financial Policy Manual.

- b. **Been deemed Grossly Negligent:** Gross negligence or gross mismanagement pertains to actions or situations arising out of management ineptitude or oversight and leading to a major violation of policy, process, regulations or contract/grant

provisions. Such actions have the potential to: severely hamper accomplishment of program goals, waste government resources, and jeopardize future support for a particular project, including but not limited to un-auditable records, unsupported costs, highly inaccurate fiscal reports or program reports, payroll discrepancies, payroll deductions not paid to the IRS, and lack of good internal control procedures, per the MDOL Financial Policy Manual.

- c. **Complied with Accepted Standards of Administration:** Accepted standards of administration pertain to local area adherence to standards of financial administration as identified throughout 2 CFR 200 and as identified in the MDOL Financial Policy Manual, which include:
 - 1. Financial Reporting: Accurate, current, and complete disclosure of the financial activities of each grant awarded must be made as required by the terms of the grant. All allowable costs must be traceable to the accounting records. See Section B of the MDOL financial manual for additional reporting requirements.
 - 2. Accounting Records: Records must be maintained that identify the source and expenditure of grant funds. The records must contain information pertaining to the award and authorization, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income. The records must be maintained in accordance with Generally Accepted Accounting Principles.
 - 3. Internal Control: Effective controls and accountability must be maintained for cash, real and personal property, and other assets. All such assets must be adequately safeguarded and used solely for authorized purposes.
 - 4. Budget Control: To ensure that overspending does not occur, actual expenditures or outlays must be compared with budgeted amounts for each grant award. Financial information must be related to performance or productivity data, including the development of unit-cost information when specifically required in the grant.
 - 5. Allowable Costs: The subrecipient must determine what costs are allowable in accordance with OMB cost principles; grant regulations, and the terms of the grant award. In addition, no grant may pay more than its fair share of the costs (allocability). See Section E of the MDOL Financial Manual for further information on cost principles and Section F for further information on allowable costs.

6. Source Documentation: Accounting records must be supported by source documentation such as cancelled checks, invoices, purchase orders, paid bills, payrolls, time and attendance records, and award documents. The source documentation must relate directly to the costs claimed on the drawdown requests and quarterly financial reports.
7. Cash Management: Procedures for minimizing cash-on-hand must be established by each subrecipient. See Section D of the MDOL Financial Manual for cash management requirements.
8. Adherence to Contract Requirements: Subrecipients must adhere to all requirements delineated in the contract/grant including Federal and State requirements as laid out in each Rider of the contract/grant.

Appeals:

Any local government entity that requests but is not granted initial designation, may, within thirty days of denial, submit a written request for appeal to the State Workforce Board. Appellants must submit the appeal in writing and include a copy of the original request for designation, a copy of the denial letter, and provide sufficient evidence to establish that it meets the requirements for local area designation under WIOA. Appeals must be submitted via certified mail to: the current State Workforce Board Director, 120 State House Station, Augusta, Maine 04333-0120. Once the SWB director receives the appeal the formal appeals process is initiated, which is comprised of the following steps:

1. A hearing will be scheduled with an impartial hearing's unit within 45 days of receipt of the appeal, during which the additional evidence in support of local area designation will be reviewed and considered.
2. A formal response to the appellant will be provided by the hearing's unit via certified mail, within 45 days of the hearing. The formal response will cite the criteria considered in either approving or denying the appeal for local area designation.
3. If the appeal does not result in local area designation, the local board may appeal to the Secretary of the U.S. Department of Labor as follows:
4. Appeals to the Secretary must be filed, via certified mail - return receipt, no later than 30 days after receipt of notification of denial by the State Workforce Board and must be submitted to: Secretary, U.S. Department of Labor, 200 Constitution Ave. NW, Washington, DC 20210, Attention: ASET. A copy of this request must be submitted simultaneously to the State Workforce Board.
5. In the appeal to the Secretary, the appellant must establish that it was not accorded procedural rights under the appeal process set forth in the State Policy/Plan and establish that it meets the requirements for designation in WIOA Sections 106(b)(2) or 106(b)(3) and 20 CFR 679-250.
6. The appellant will also be informed that if the Secretary determines that the appellant has met the burden of establishing that it was not accorded procedural rights under the appeal process set forth in the State Plan, or that it meets the requirements for designation under WIOA, the Secretary may require that the local area be designated as a local workforce

investment area. The appellant will also be informed that the Secretary may consider any comments submitted by the State Workforce Board in response to the appeal made to the Secretary.

7. The appellant will also be informed that the Secretary will issue a written decision to the Governor. The appellant will be informed that the Commissioner of the Maine Department of Labor, on behalf of the Governor, will abide by the decision of the Secretary of the U.S. Department of Labor.

State Funding Mechanism - Appeals Process

The State Funding Mechanism-Appeals Process is part of an overall infrastructure cost sharing policy that is now in the process of review by the State Board and expected to be approved at the June, 2020 meeting. See draft policy PY19-04 Infrastructure Funding Agreement – MOU Phase II (Appendix E), which has been vetted by the WIOA Implementation Policy Committee (WIPC) a subcommittee of the State Board that reviews and prepares WIOA policy for State Board Approval as required under WIOA.

When the local area has informed the State that they are at an impasse regarding infrastructure cost sharing negotiations, the State Funding Mechanism (SFM) will be applied.

Under the SFM, MDOL, in consultation with the chief elected officials, the local workforce board, and the State Workforce Board, will determine each required partner's proportionate share of infrastructure costs for that local area, using guidelines pertaining to the State Funding Mechanism, which will be put forth for the Governor's review and approval as a final determination.

A required partner may appeal the final determination because of a claim that:

- a. The Governor's determination is inconsistent with the proportionate share requirements of 20 CFR 678.735
 - b. The Governor's determination is inconsistent with the cost contribution caps described in 20 CFR 678.738
1. An appeal must be made in writing within 21 days of the Governor's determination and must include specific evidence that the amount determined by the Governor is inconsistent with **a.** and/or **b.** above.
 2. Written appeals must be submitted to:
 Appeals
 State Workforce Board

120 State House Station
Augusta, ME 04333-0120

3. The appeal will be reviewed by the executive committee of the State Workforce Board, and within 30 days of receipt the appellant will receive a letter either denying or accepting the appeal.
4. If the appeal is found to be without merit, it will be denied, and no further action taken.
5. If the appeal is merited, the executive committee will make a revised determination. The executive committee may consult with the chief elected official and local board to attempt to negotiate a mutually agreed upon revised determination. The revised determination will be presented to the State Workforce Board for review and approval.
6. Upon full approval of the State Workforce Board, the revised determination will be considered final throughout the cost sharing agreement period of duration, until such time as local area cost sharing is renegotiated.

Questions pertaining to this appeals process may be addressed to:

SWB.DOL@maine.gov

207-621-5087

TTY users call Maine Relay 711

Use of Governor's Set Aside Funding:

With ever decreasing allotments of Title IB funds over the last several years, Maine set-aside funds have barely been enough to sustain required activities identified in 20 CFR 682.200. A significant portion of the funding goes toward the title IB case management and reporting system for which continuous programming has been necessary to accommodate additions to and changes in PIRL reporting requirements. The state has such limited set-aside funding with that it has been unable to afford to conduct an evaluation and will be requesting a waiver on this requirement. Set-aside funds are used primarily to support WIOA required activities as follows:

- Conducting rapid response activities
- Disseminating information on eligible training providers, local area performance, effective practices, and more
- Providing technical assistance to local areas and required partners on a variety of topics
- Carrying out fiscal and program monitoring activities
- Operating fiscal and management accountability information systems

- Administering Title IB adult, dislocated worker, and youth programs
- Providing technical assistance and supporting staff development of Title IB service provider staff and local board staff
- Supporting common intake and data sharing across core partners

And allowable activities such as:

- Funding State workforce board staff positions

There have been one or two special projects funded using set-aside funds, including an English language learning pilot, which was a collaboration between title IB service provider Goodwill Industries NNE and Portland Adult Education that developed and delivered training to two cohorts of WIOA eligible immigrants and refugees through an accelerated curricula designed to enable lower level English language learners to obtain English proficiency required to enter employment and helped a second cohort to expand proficiency levels to retain or advance in employment.

Rapid response funds have been used for layoff aversion. One project involved a feasibility study to identify whether an employee buyout would be a possibility for a statewide direct care provider and a second project would have assisted a rural hospital to train and retain nursing staff, but which has been postponed due to COVID-19. Now that Maine is a small-funded state, it is unlikely that these funds will be used for special projects going forward.

Statewide Activities- Rapid Response is a shared responsibility between the State Rapid Response Team, the Dislocated Worker Program service providers, and other state and local stakeholders.

MDOL is responsible for developing components of statewide and local Rapid Response activities, which include: providing resources to deliver Rapid Response services at the local level, developing budgets, structuring the Rapid Response process, coordinating the development of National Dislocated Worker Grant Applications, negotiating alliance-based contracts that support Rapid Response capacity, and providing policy direction for Rapid Response delivery and its integration with Trade Adjustment Assistance (TAA) and WIOA dislocated worker programs.

Regional Rapid Response services are coordinated by the Rapid Response Coordinator through the Bureau of Employment Services central office. At the local level, two full-time regional Rapid Response representatives and staff from local CareerCenters provide services to employers and workers affected by lay-offs and mass closures occurring throughout the state.

In addition to provision of policy direction and functional oversight, the coordinator also provides statewide staff development and training. Local Rapid Response staff make initial and follow-up contacts with employers, provide referral services to economic development agencies, document visits and communicate them to appropriate local and State agencies, conduct reemployment orientations and workshops, and facilitate transition into training and job development activities offered by the local one-stop system.

Regional Rapid Response representatives are responsible for coordinating all Rapid Response sessions and ensuing transitional services for the affected workers. However, the full team of representatives may be called upon to act as a statewide team and respond in partnership on behalf of any local area or region that requires expanded assistance with Rapid Response service delivery and initial worker adjustment services.

Early Intervention: Maine has built an extremely effective communication system for identifying and responding to potential and actual dislocations. Several avenues exist for identifying companies that may be impacted by downsizing, including:

- A confidential list that identifies companies from which UI has documented 20 or more initial claims
- Formal notices required by the WARN act or the Maine Severance Law that are submitted by the affected company to the Dislocated Worker Unit and the Bureau of Labor Standards
- Websites that monitor and package information about mergers, downsizing, development or investment in offshore facilities that affect the corporate parent companies of Maine subsidiaries are scanned on a regular basis, along with state and local press releases that provide similar information
- Credible rumors and disclosures are routinely followed up on

- Early information sharing from economic development and other business assistance entities at the state, regional, and local levels is also encouraged. They are usually the first to know when companies are facing issues that may result in job loss
- WARN notices and credible rumors, or any information generated from the above sources trigger an immediate contact with the affected company by the local representative, who gathers information about the nature and size of the layoff

A formal Plant Brief guides the initial interview with the company and collects information that prompts specific response steps, as follows:

- Gathering of general company information, including type and sector that is used to track industry patterns
- Reason for downsizing, which prompts a referral to one-stop system business assistance services
- If trade adjustment assistance for firms is warranted, a direct referral to NETAAC (A federal program that provides business assistance to trade-affected companies hoping to avert additional layoffs) may be triggered along with other services that may avert additional layoffs
- Affirmative responses to Trade Petition questions result in facilitation of a petition for trade certification
- Information regarding severance packages (i.e., number of weeks of vacation pay, average cost of health insurance and types of health packages to be offered by the company) provide guidance to prepare UI representatives for specific employee questions that may be fielded
- Demographic information is gathered about the workers who will be attending the session in order to customize each session to the particular worker audience (i.e., age and education levels, length of time with company, language or other barriers, and whether any affected are on active duty)
- Worker task statements are requested and used to scan for skill demand (or lack thereof) in the local labor market and to determine the anticipated retraining or skill development action steps that may be necessary for reemployment purposes
- Company is asked to facilitate a worker needs survey that is examined for coordination of transitional resources and need for allocation of financial resources

State Rapid Response staff determines the mix of appropriate responses. Businesses are informed of layoff aversion services and information, and assistance is offered on such strategies as: employee buyouts, skill retooling where appropriate for layoff aversion purposes, and access to other business services available at the State, regional or local level. Private-sector local board members and elected officials could be asked to facilitate resolution of problems when there may be an opportunity to intervene to avert a lay off or shutdown. Information from the first contact is also provided directly to the Governor's office for similar reasons. Finally, the information is used to develop a customized package of services from Rapid Response orientations and workshops to training and then job development.

Maine has incorporated a "Jump Start" approach to Rapid Response allowing workers to pursue immediate readjustment/reemployment pathways. At the close of each initial Rapid Response session, participants are encouraged to sign up for next steps.

For those who feel confident to immediately seek new employment, a series of workshops designed to support this goal is offered. This series explains the labor market and how individual knowledge, skills, and abilities transfer to jobs in demand. It also informs the workers about where and how to look for job openings, how to complete applications, develop resumes, and how to excel at interviewing.

Outplacement is conducted almost immediately via referral to the jobs that have been identified through the initial labor market scan conducted usually by the Center for Workforce Research and Information and via customized job fairs. Often affected companies are inundated with calls from other companies wishing to hire their exiting workers. The affected company is usually too overwhelmed to coordinate such services. The CareerCenters have been instrumental in taking on this additional task by coordinating job fairs that bring interested employers into contact with the specific laid off workers. In several instances these have been offered right at the worksite of the affected company. These job fairs have proved successful with over 25 percent of employees gaining immediate reemployment and the company allowing affected workers to attend the job fairs and workshops while on company time. In a recent event over 75 percent of employees had found new employment prior to their actual layoff date.

The second transition pathway is targeted to those who may have greater difficulty dealing with job loss and/or have broader barriers to immediate reemployment. This pathway links workers to a series of workshops covering such topics as coping with job loss, career decision making and understanding labor market trends, and gaining perspective through individual assessments leading to opportunities and resources for skills upgrade and retraining. These will prepare them for in-demand occupations.

Individual needs surveys are used to customize and schedule all Rapid Response services prior to layoff, and employers are encouraged to allow affected workers to complete the surveys in advance. Many companies have provided long term advance notice; in cases like these, the Rapid Response team is able to work with the company and affected workers on an ongoing basis to provide info sessions, workshops and/or TAA briefings at appropriate times. These are generally on company site and on company time.

The model also allows for exceptional information gathering in the event a National Dislocated Worker Grant is needed and provides opportunity to collaborate with economic development to identify companies who may need the specific workforce and be willing to relocate to the affected area to hire and train affected workers.

Affected workers from smaller layoffs are offered similar service pathways but may be referred to existing workshop series offered on an ongoing basis by their local CareerCenters. If the layoff occurs without our notification, each worker is contacted individually and invited to a formal Rapid Response info session or to an orientation to services offered on a regular basis by their regional CareerCenter. It is the goal of Maine's Rapid Response program to contact every laid-off worker regardless of size of company closure or downsizing; each will be invited to access the full array of available services.

In addition to reemployment related services, it has been the custom of Maine's Rapid Response team to link with the local community to launch or participate in Community Transition Teams on behalf of the affected workers. The activities of these teams include the following:

- Production of resource booklets that feature local community programs and services, printed and provided to each of the affected workers

- Coordination of resource fairs that provide an opportunity for affected workers to access a range of services from heating and housing assistance to small business development assistance all in a one-stop location
- Coordination of fundraising events from dinners and barbecues to dances and auctions from which the proceeds can go toward an emergency services fund for affected workers
- Coordination of a variety of non-employment related workshops, such as consumer debt workshops offered by the regional credit union, to health clinics and stress management workshops offered by local health service providers.

Maine's congressional staffers have been outstanding partners in this effort, and recent collaboration between MDOL and congressional staffers has culminated in a formal plan for implementation of Community Action Teams across the state.

In the event of a natural disaster: In addition to utilizing community transition teams, the State Rapid Response lead and team members will work in collaboration with the Maine Emergency Management Association (MEMA), the State Agency with responsibility for lessening the effects of disaster on the lives and property of the people of the State through leadership, coordination and support in the four phases of emergency management: mitigation, preparedness, response and recovery. MEMA currently has a system in place that includes year-round training of County level emergency management teams in emergency management techniques, processes and requirements. The Rapid Response team will deploy Rapid Response funds as appropriate for activities in support of MEMA, including outreach, response and recovery. Training funds will be deployed to hire temporary emergency workers as appropriate. Companies affected by the natural disaster will be provided with Rapid Response information and affected workers will be apprised of information on disaster unemployment assistance.

Coordination with Trade Adjustment Assistance (TAA): Members of the Rapid Response team also implement processes to initiate Trade Adjustment services on behalf of affected firms and workers. Team members assist firms and/or affected employees in submitting trade petitions. Affected workers are provided with cursory information about TAA during regular Rapid Response sessions and are apprised of informational activities that will take place if the firm is certified for trade adjustment assistance. Rapid Response and CareerCenter staff members are trained to provide information and ongoing services to trade affected workers and to work collaboratively

with staff of the Adult and Dislocated worker programs to coordinate services for trade eligible participants. Prospective participants are informed about timeframes, deadlines, and options for weekly TAA benefits and other services such as Alternative Trade Adjustment Assistance, Reemployment Trade Adjustment Assistance and TAA Relocation Allowance.

Informational materials are provided directly to affected workers for whom a trade petition is pending. These materials explain what the Trade Adjustment Assistance program is and outline the prospective benefits the program can provide and the criteria that affected workers must meet to avail themselves of the services. Once their firm has been certified a series of forums are provided to affected workers to explain the program in full, answer questions, and schedule next steps. Firms that have been affected are also referred to employer trade adjustment assistance for firms and other services as appropriate.

Local areas in need of additional Rapid Response funds to serve affected workers while a trade petition is pending can make a formal request for additional funds using a process identified in Policy PY13-11 Rapid Response Additional Assistance Request⁴⁴. This policy identifies the requirements of the Rapid Response Additional Assistance (RRAA) funds which state that funds requested can only be used for program and not administrative costs, and that Local Areas must have expended at least 70 percent of local area DW funds and document that they have insufficient funds to serve the newly affected population. The RRAA funds may be used to bridge funding gaps pending approval of a trade petition. Local areas may also apply for RRAA funds when the local area has experienced a steady increase in the number of unemployed individuals within a 120-day period due to natural disasters, plant closings, mass layoffs, or other events that don't qualify for a Trade Petition or a National Dislocated Worker Grant.

Adult and Dislocated Worker Program Requirements: Work-based Training Models: Title IB service providers utilize all work-based training models available to them, including on-the-job training (OJT), customized training (CT), work experience (WE), internships and transitional jobs (TJ). Each local area has policies in place regarding how much participants are paid and amounts

⁴⁴ [PY13-11 Rapid Response Additional Assistance Request https://www.maine.gov/swb/laws/policies/PY13-11_Request_Rapid_Response_Additional_Assistance.docx](https://www.maine.gov/swb/laws/policies/PY13-11_Request_Rapid_Response_Additional_Assistance.docx)

employers can be reimbursed to cover training costs. Providers have also used work-experience and on-the-job training in conjunction with occupational training to meet the needs of employers for new hire training.

Strategies to Ensure High-Quality Work-Based Learning

Local workforce boards and Title IB providers work closely with employers with openings in high-demand occupations, apprenticeship sponsors, trade associations and trade unions to properly identify the skills demanded by these occupations and to map out career pathways within specific industries so that service providers and participants are aware of the opportunities and expectations of these industries. Title IB service providers carefully assess prospective participants to identify current skills they can transfer into the work-based learning activity and to identify and clearly delineate the skills that they must practice on-the-job. In addition to the on-the-job learning component, industry members are asked to identify related instruction or specific coursework and/or occupational certifications the participants can pursue simultaneously or after they are established with the company through registered apprenticeship or company sponsored training.

Employers offering work-based learning activities such as on-the-job training, customized training, transitional jobs, work experience, and internships are carefully vetted to identify commitment to provide skilled supervision, the full range of skill learning and practice identified in the contract with the employer, safe work sites, adherence to equal opportunity requirements and most importantly commitment to hire participants who successfully complete training.

Many service providers negotiate a wage increase for the participant upon successful completion of training. Staff engage with employers and participants throughout the term of the training to ensure participant success and to identify any supports the participant or employer may require along the way.

New requirements under WIOA for youth work experience that must include both an occupational and academic learning component have resulted in expanded communication with employers providing work-based learning opportunities, better participant/employer matching, and improved outcomes for both employer and participant regarding necessary skill attainment.

Service providers have engaged in a greater number of collaborative partnerships with employers and education providers, including adult education and community colleges, to develop customized training programs that begin with participant assessment, clear on-the-job learning objectives, formal classroom skill development often resulting in an industry credential or courses leading to one and occupationally-focused work ready skills. Testimonials from employers engaged in this fully rounded approach to work-based learning are glowing and encourage additional employers to participate in similar collaborations with the one-stop system.

Registered Apprenticeship: Registered apprenticeship has been revitalized in Maine with new agencies acting as sponsors who manage the paperwork and coordinate related instruction on behalf of the employers that hire the apprentices and provide on the job learning.

Title IB partners are aware of apprenticeship as an acceptable WIOA training pathway and understand how their funds can be used to support the cost of related instruction, on the job learning, and how to identify and document successful outcomes of competency-based tests and completion of segments of apprenticeship as measurable skill gains.

A recent partnership between the Maine Hospitality Association, the Maine Apprenticeship Program, and Vocational Rehabilitation has been launched to support individuals with disabilities to enter employment as apprentices in the restaurant industry.

The Maine Apprenticeship Program has worked closely with high-growth industry sectors in Maine and have been instrumental in establishing career pathways for the healthcare sector that move apprentices from entry level positions, such as Certified Nurse Assistant, to attain stackable credentials that allow them to work in specialty areas, such as dementia, pediatrics, intensive care, and surgical areas.

Resources from the Maine Apprenticeship Program tuition assistance fund, the Title 1-B programs, the Competitive Skills Scholarship Program, the Maine Quality Centers program, and industry partners have all been accessed to support workers entering registered apprenticeship. These programs have also incorporated integrated education training modules that link work readiness, occupational skills, and academic skill development into a single, cohesive program co-designed with the employer.

Registered apprenticeship is promoted to employers who partner to provide on-the-job or customized training opportunities for participants.

Training Provider Eligibility Procedure:

Maine's eligible training provider list is housed in the ProviderLink section of Maine JobLink. The ETPL lists registered apprenticeship programs that have requested to be listed on the site, and by doing so open the door to partner with providers of Title IB services.

The procedure for initial eligibility remains the same, requiring that providers be accredited and/or other-wise endorsed, that they ensure accessibility to programs, that the programs of study offered prepare trainees to enter occupations in demand in Maine, and that programs only offered online provide access to a live instructor. Providers must complete all data requested on the application form and must sign a data sharing agreement assuring they will provide required performance data on all students participating in the approved programs.

The Center for Workforce Research and Information has created a streamlined process by which providers can submit the all-student data that conducts a wage match and converts the data into a format that can be linked with data in the ETPL portion of Maine JobLink to produce the annual Eligible Training Provider report required by USDOL.

Continued eligibility requires provider conformance with requirements for submitting all student data required for annual performance reporting. Continued approval of specific programs of study depend upon relevance to occupations that are still in demand in Maine. ETPL policy PY15-05⁴⁵ is currently under the process of revision to include new requirements pertaining to subsequent approval. Eligible training providers must now provide a data sharing agreement that addresses performance reporting requirements pertaining to all students in approved programs of study and which outlines the specific data on all students that must be provided annually in order to remain on the ETPL. The ETPL application, is housed in Maine's JobLink system under "Provider Link" the initial application requires that the provider submit all information regarding their own

⁴⁵ PY15-05 Eligible Training Provider List (ETPL) policy https://www.maine.gov/swb/laws/policies/PY15-05_eligible_training_provider.doc

accreditation as a provider and full information about each program of study, including costs, locations and methods of delivery (classroom/online), credit hours, resulting credentials, whether or not the program was developed with input from employers or industry groups, assurance that the training is fully accessible and more. They must also identify at least two occupations the training will prepare the student to enter into, the level of pay the student can expect and the rate of employment of all students completing the course of study.

In addition to initial information, providers must submit reports on all students so that a UI wage match can occur to validate earnings and employment placement and that includes information on the level of completion and subsequent credential each student achieves.

Priority of Service: Policy PY15-03 Adult Priority of Service⁴⁶ requiring priority of service for participants of the Adult program has been implemented as follows:

As stated in WIOA Section 134(c)(3)(E), with respect to provision of individualized career services and training services funded with WIOA Title I -Adult funds, priority of service must be given to:

- a. Recipients of public assistance
- b. Other low-income individuals
- c. Individuals who are basic skills deficient

The following sequence of priority will apply:

1. **First priority** will be provided to recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient in the local area who are covered persons with respect to veterans' priority. Per 683.230 when past income is an eligibility determinant for a veteran, any amounts received as military pay or allowances by any person who served on active duty and certain other specified benefits must be disregarded for the veteran and for other individuals for whom those amounts would normally be applied in

⁴⁶ PY15-03 Adult Priority of Service https://www.maine.gov/swb/laws/policies/PY15-03_adult_priority_of_service.doc

making an eligibility determination for the purpose of determining if the veteran or covered person is a low-income individual.

2. **Second priority** will be provided to recipients of public assistance, other low-income individuals and individuals who are basic skills deficient who are not covered veterans.
3. **Third priority** will be covered persons with respect to the veterans' priority, those covered persons not considered to be recipients of public assistance, low-income or basic skills deficient - who meet one or more of the barriers to employment identified as a priority by the local area, as defined in local board policy.
4. **Fourth priority** will be with respect to non-veterans, who are not recipients of public assistance, low income, or basic skills deficient but who meet one or more of the barriers to employment identified as a priority by the local area, as defined in local board policy.
5. **Fifth priority** will be with respect to adults with other barriers as identified in Local Board policy.

Priority of service does not apply to the dislocated worker or youth populations.

For the purpose of establishing income eligibility for priority of service, people with disabilities are considered a household of one. As outlined in WIOA Section 3(36)(A)(vi), a person with a disability can be considered a low-income individual under the priority of service if the individual's own income meets the income requirement described in WIOA Section 3(36)(A)(ii), even if the individual is a member of a family whose income exceeds the poverty line or is 70 percent of the Lower Living Standard Income Level.

Individualized career services and training services, outlined in WIOA Section 134(c)(2)(A)(xii), are subject to priority of service. Basic career services, outlined in WIOA Section 134(c)(2)(A)(i)-(xi), are not subject to the priority of service as they must be made available to all.

The Local Board has discretion to identify populations in the local area who are not low income, basic skills deficient, or recipients of public assistance but who are individuals documented as having other barriers to employment. Local Boards must establish local policy regarding the determination and implementation of a priority of service specific to the local area.

Criteria for Transfer of Funds:

The State has implemented policy PY15-04 Change 1 Transfer of Funds⁴⁷ on transfer of funds between the Adult and Dislocated Worker programs, as follows:

WIOA final regulation 20 CFR 683.130 stipulates that the Governor must establish written policy that identifies criteria that will be used for approving a request to transfer adult or dislocated worker employment and training funds. Local areas must still meet the negotiated performance levels of the program from which the funds are being transferred. This policy-revision identifies the criteria that will be considered in approving a request for transfer of funds.

Funds transferred from one program to another adopt the eligibility requirements of the program into which they are placed; for example, DW funds transferred for use in the Adult program adhere to Adult priority of service and eligibility requirements.

The Bureau requires additional information regarding the amounts of funds being identified for transfer at the service provider level. To accommodate this, the Request for Transfer of Funds Form has been revised. Upon Governor approval, WIOA Section 133(b)(4) allows a Local Board to transfer up to 100 percent of the formula funds allocated to the local area for Adult program services and up to 100 percent of funds allocated to the local area for Dislocated Worker formula program services for a fiscal year, between:

- A. Adult employment and training activities
- B. Dislocated Worker employment and training activities

On behalf of the Governor, MDOL's BES will review and approve requests from a Local Board seeking to transfer funds between the Adult and Dislocated Worker formula programs. Such requests will be reviewed upon receipt, and unless there are extenuating circumstances, notification of approval will be provided within ten business days or less. Local Areas may not transfer funds to or from the Youth formula program.

⁴⁷ PY15-04 Change 1 Transfer of Funds https://www.maine.gov/swb/laws/policies/PY15-04_change_transfer_of_funds.doc

Criteria for approval of a local area transfer request:

In order to approve a request for fund transfer the local area must establish they have met one of the following criteria for making the transfer:

- A. The local area has significant discretionary funding targeted to serve one population over the other; for example, ample Trade Act and Dislocated Worker Grant funds are available to serve DWs, but only formula funds are available to serve Adults.
- B. The local area has fully expended funds in one program that still has unmet need yet has ample unobligated funds in the other program.
- C. Other: The local board may explain the rationale for the transfer request, identify the situation necessitating the need, and articulate the benefits that will result from the transfer. Such rationale should be supported by the Local/Regional Plan and include assurance that the target group from which funds will be taken will not suffer negative consequences as a result.

Local Boards seeking to transfer funds must submit the request to the Bureau using the transfer request form and must attach minutes of the local board reflecting local board approval of the transfer request. The policy clarifies that a transfer of funds does not require a fiscal amendment to the contract and explains how transferred funds are to be reported on the quarterly fiscal report.

Title IB Youth Requirements:

State-Developed Criteria for Youth Services:

Criteria identified by the State to be used by local boards in awarding grants to providers of youth services is articulated in policy PY16-03 Youth Service Provider Criteria⁴⁸ as follows:

- A.** For the purpose of identifying appropriate youth service elements and career pathways for each youth participant, the youth provider must be able to **conduct an objective assessment of each youth that includes an evaluation of:**
 - a. Academic and literacy levels, including English language proficiency
 - b. Pre-employment competencies and employability skills
 - c. Prior work experience and transferrable skills
 - d. Occupational skills, aptitudes (including occupational interests, work preferences, and aptitude for and interest in non-traditional occupations)
 - e. Developmental needs
 - f. Supportive services necessary to successfully participate in all aspects of the youth program
 - g. Barriers to transition to employment or post-secondary education
 - h. Need for each of the fourteen youth service elements
 - i. Need for comprehensive counseling and coordinated referrals to programs and services such as:
 - i. Mental health services
 - ii. Substance abuse counseling
 - iii. Temporary Assistance for Needy Families (TANF)
 - iv. Supplemental Nutrition Assistance Program (SNAP)
 - v. Housing and homeless assistance programs
 - vi. Programs that address juvenile recidivism
 - vii. Programs providing assistance to individuals with disabilities
 - viii. Parenting and childcare programs
 - ix. Programs that provide guidance to youth whose parent/guardian is incarcerated or affected by addiction or mental illness
- B.** Must show evidence of ability to provide services that are age-, needs-, and ability-appropriate, including provision of suitable accommodations for individuals with disabilities.

⁴⁸ PY16-03 Youth Service Provider Criteria https://www.maine.gov/swb/laws/policies/PY16-03_Youth_Service_Provider_Criteria.doc

- C.** In partnership with the youth participant, development of youth employment plans articulate goals, benchmarks, activities, and service elements that will launch the youth on a defined career pathway and that will result in the youth meeting or exceeding locally negotiated performance measures. Such plans must include identification of short- and long-term goals, including goals for measurable skill gains, credential attainment, employment, and/or transition to post-secondary training or education.
- D.** Document active involvement of family members, community service members, and others who play a critical in the youths' success, as part of program service design.
- E.** Demonstrate how opportunities for youth to practice leadership and citizenship skills, including providing peer mentoring, project leadership, and community service activities are provided.
- F.** Demonstrate strong business/employer involvement including specific examples of long-term relationships with employers who provide:
 - a. Work experience opportunities that include regular assessment of work readiness and employment competency skills
 - b. Opportunities for job shadowing or informational interviewing
 - c. Occupationally specific internships or On-the-Job Training opportunities
 - d. Practice employment interviews that result in constructive feedback for youth
 - e. Adult mentoring
 - f. Actual employment opportunities
 - g. Apprenticeship and pre-apprenticeship opportunities
 - h. Participation in youth career exploration events and job fairs
 - i. Participation in youth committees and other youth advisory boards
- G.** Demonstrate an atmosphere of inclusion, appreciation of diversity, and commitment to youth advocacy through examples and anecdotal evidence of such.
- H.** Demonstrate significant relationships with, and ability to package the services of, a variety of community organizations that serve at-risk youth through formal memoranda of understanding, contracts, or other formal agreements that provide evidence of such relationships, including relationships with Adult Education, Vocational Rehabilitation, the juvenile justice system, DHHS, post-secondary education providers, financial aid providers, employer organizations, and others.
- I.** Demonstrate the ability to offer work-based learning experiences that stress the connection between academic knowledge and work activities, through provision of examples of work-site agreements.

- J.** Provide evidence accessible facilities, programs, technology, and ability to provide appropriate accommodations for youth with special needs.
- K.** Demonstrate ways in which the youth program establishes high expectations for youth participants, including evidence showing most youth participants who enter the program participate in and complete the activities identified on the youth employment plan, and showing the program meets identified performance measures.
- L.** Documentation of ability to connect youth participants with all fourteen required youth service elements, either through direct provision or through partnerships, MOUs, or other methods, to include provision of:
 - a. Tutoring and/or Study Skills
 - b. Access to drop out recovery programs or alternative education
 - c. Work-based learning
 - d. Occupational Skills Training
 - e. Education offered concurrently with and in the same context as occupational training
 - f. Leadership development
 - g. Adult Mentoring
 - h. Support Services
 - i. Follow-up Services
 - j. Comprehensive guidance and counseling
 - k. Financial Literacy
 - l. Entrepreneurial Skills/ Training
 - m. Career guidance and counseling, including provision of local and state labor market information and information about how to prepare to enter occupations that are in demand in the local area and in Maine
 - n. Activities that prepare youth for entry into post-secondary education
- M.** Evidence of employment of professional staff, including requisite credentials and experience and demonstration of a commitment to staff development that prepares staff to deliver the services identified above.

Strategies to Achieve Improved Outcomes for Youth

Service providers conduct extensive outreach to identify eligible out-of-school youth for enrollment. They rely on partner agency referrals and strategically place youth staff at outreach posts, such as housing authorities, immigrant welcome centers, community colleges, Job Corps centers, homeless shelters, new parent programs, programs serving homeless youth and county

jails where eligible youth participants are accessing other services. Relationships with these agencies to jointly serve, co-enroll and braid resources to better serve youth, have grown significantly as a result.

Youth retention in program activities has always been a challenge with the out-of-school population, partly because of Maine's vast geography, rurality and lack of public transportation but also because of the fleeting nature and caprice of this population. The geography makes it difficult to offer programs to cohorts of youth who can bond with each other through the experience, support their peers through challenges and share in celebrating achievements. Successful cohort approaches have the most significant outcomes, not only in terms of performance but in building personal esteem and providing opportunities for civic engagement. Cohort approaches expand opportunities for team building and life skill attainment such as understanding diversity and social justice.

The agency partnership group approach is also strongly encouraged to ensure youth complete all activities identified in their individual service plans. Involvement of system and community partners in developing and implementing the cohort experience, particularly the agencies that jointly serve youth, such as staff from homeless shelters, mental health and substance programs, mentoring programs and employers have also proven to result in greater numbers completing the program and successfully transitioning to next steps.

In rural areas where group engagement is not possible, service providers are encouraged to keep youth participants fully engaged by packaging a full-time program in which work experience, career counseling and life skills preparation, academic and occupational skill development are all occurring simultaneously. Whenever possible this approach should bring youth participants into group experiences periodically, such as attendance at workshops with other participants in their age category to understand financial literacy.

Clearly outlining goals and the steps to achieve them, then formally celebrating when steps are accomplished and outcomes achieved, keeps youth connected. Formal recognition of achievements can be in the form of public recognition through program newsletters, incentives that reward specific accomplishments, and/or ability to move onto another much needed service, such as driver education.

Collaboration and close relationships with other providers serving the youth, such as adult education, rehabilitation, and employers providing work experience sends a message to youth that the program is formal, connected and focused on their individual success.

Ensuring all 14 Youth Service Elements are Made Available

A key way of determining whether youth have access to all 14 service elements is through file review and annual monitoring. Monitors review youth files for results of comprehensive assessment and how these are used to develop the youth service plan. Plans are reviewed to ensure that they incorporate appropriate youth service elements and how these are offered to youth. Each local area may approach provision of service elements differently, with some offering most services through direct program staff and others braiding the services of multiple local providers.

Two areas that service providers have had difficulty offering are adult mentoring (to the level required under the act) and entrepreneurship training. State agency staff provide technical assistance to local boards and their service providers and have brainstormed ways these services can be offered. Most areas utilize youth case managers as adult mentors, and many have built mentoring by employers into work experience activities. Again, the rural and vast geography make a formal program of adult mentoring a challenge.

Entrepreneurship training is being included in service plans only if the youth has expressed a specific interest. Technical assistance has been provided to encourage broader understanding among youth service staff of what can be included in entrepreneurship training which doesn't require a youth to be interested in self-employment per se, but that can incorporate entrepreneurial skill development in other ways.

All current youth service providers have formal relationships with providers of mental health and substance use counseling to which youth with these needs are referred. Attendance is supported and monitored by youth staff. Many service providers have hired what they call a service navigator, usually a licensed social worker who can provide some level of counseling and who has the expertise to connect youth directly to appropriate services.

All youth service providers offer work experience opportunities, including paid work-experience that includes academic and occupational skill development, internships, on-the-job training and

ensuring young women are aware of nontraditional occupations that pay wages that are significantly higher than traditional female occupations and of apprenticeship as an occupational skill development pathway.

The Maine apprenticeship program accepts youth ages 16 and older and as such most out of school youth can enter apprenticeship directly without the need for pre-apprenticeship training. However, the Maine Apprenticeship Program has recently engaged in collaborations between the secondary Career and Technical Education Centers (CTEs) and trade associations and trade unions to brainstorm possibilities for formal pre-apprenticeship programs for in-school youth seeking to enter apprenticeable occupations in Maine. Both sponsors and educators are cautious, as prior pre-apprenticeship programs haven't always resulted in a direct pathway to registered apprenticeship. Employers must be willing and able to take on the liability of younger workers which is often the key barrier to employer's partnering to provide pre-apprenticeship.

Finally, statewide youth service provider staff attend training to get a clear understanding of each of the youth service elements, how they can be provided, how they must be built into a youth service plan and how they must be documented in Maine JobLink.

Youth Requires Additional Assistance:

Criteria for use and documentation of this eligibility component is articulated in policy PY16-05. The purpose of the policy is to provide guidance to local boards regarding youth eligibility under the youth barrier for a "Low-income individual who requires additional assistance to enter or complete an educational program or to secure or hold employment" as stated in WIOA. This requires the State or Local Boards to establish definitions for additional youth barriers pertaining to youth most-in-need and places a limitation on the percentage of in-school-youth for which this barrier can be used for eligibility purposes. The policy states eligibility using the locally-defined barrier not to exceed 5% of all ISY enrollments.

For in-school-youth the barrier must pertain to low-income students who require additional assistance to complete an educational program.

For out-of-school-youth the barrier must pertain to low-income youth who require additional assistance to enter or complete an educational program, *or* to secure and hold employment. To accommodate these WIOA changes, local boards must:

- Rescind or revise existing policy to create a new policy for “Low-Income Youth requires additional assistance...” ensuring that the local definition does not duplicate any youth barriers already identified under WIOA and that it identifies barriers faced by youth in the local area
- Title the policy “**Local Definition of Youth Requires Additional Assistance**” and not the “sixth barrier” as it is no longer a sixth barrier
- Clearly define the specific barrier(s) and list the documentation to be used to validate the barrier
- Clearly articulate that the local barrier can only be used as an eligibility barrier for up to 5% of all In-School Youth (ISY)
- Establish a method for tracking ISY enrollments under this barrier to ensure that the 5% limitation is not exceeded
- Provide a copy of the new policy to the Maine Department of Labor’s Bureau of Employment Services, once it has been reviewed and approved by the Local Board
- Provide evidence that local area youth service provider staff have been made aware of the new/revised policy, that they understand the limitation on its use for eligibility for in-school-youth, and they are able to implement it accordingly

Each of the three local areas have revised this policy and identified specific criteria that is not duplicative of WIOA, have identified methods for validating the barriers they have identified and have provided assurance that youth staff understand how this barrier is to be used for eligibility purposes and restrictions for use for in-school-youth.

Definition of Attending School:

The Maine Department of Education does not have a definition entitled: not attending or attending school; however, under State Statute Title 20-A, Part 3, Chapter 211, Subchapter 1, Section 5001-A compulsory attendance is defined as:

“Attendance at school shall be required of person in the State as follows:

1. Requirement - Persons 7 years of age or older and persons under 17 years of age shall attend a public day school during the time it is in regular session.
2. Exceptions- Attendance at school shall not be required of the following:
 - A. A person who graduates from high school before that person’s 17th birthday
 - B. A person who has:
 1. Reached the age of 15 years or completed the 9th grade
 2. Permission to leave school from that person’s parent
 3. Been approved by the principal for a suitable program of work and study or training
 4. Permission to leave school from the school board or its designee
 5. Agreed in writing with that person’s parent and the school board or its designee to meet annually until that person’s 17th birthday to review that person’s educational needs. When the request to be excused from school has been denied pursuant to this paragraph, the student’s parent may appeal to the commissioner.
 - C. [2003, c. 688, Pt. H, §3, (AFF); 2003, c. 688, Pt. H, §2 (RP).]
 - D. A person who has matriculated and is attending an accredited, post-secondary degree-granting institution as a full-time student. An exception to attendance in public school under this paragraph must be approved by the commissioner.
 - E. A person enrolled in an online learning program or course

Basic Skill Deficient – Expanded Definition

The State Workforce Board has implemented policy PY19-02 Expanded Definition of Basic Skills Deficient as follows:

Background: WIOA Sec. 3(5) defines Basic Skills Deficient as follows:

The term “basic skills deficient” means, with respect to an individual –

- A. who is a youth, that the individual has English reading, writing, or computing skills at or below the 8th grade* level on a generally accepted standardized test
- B. who is a youth or adult, that the individual is unable to compute or solve problems, or read, write or speak English, at a level necessary to function on the job, in the individual’s family or in society

Standardized tests now use Educational Functioning Level (EFL) scores for the purpose identifying basic academic skill levels. ESL scores are also used to quantify skill gains through post-testing.

Purpose: As required by 20 CFR 681.290(e) this policy further defines the phrase *“Are unable to compute or solve problems, or read, write, or speak English at a level necessary to function on the job, in the individual’s family, or in society”* and identifies ways service provider staff may determine and document whether a person meets this definition.

Policy: Determination of whether an individual is basic skills deficient (BSD) may be done using assessment instruments that are valid and appropriate for the target population, such as assessments that determine whether reading, writing, or computing skills are at or below an 8th grade level. System partners must use federally approved, standardized testing instruments to determine educational functioning level (EFL) gains. As applicable, WIOA partners must follow and apply accommodation procedures outlined in the assessment instrument. Certain standardized assessment instruments may be more appropriate dependent upon an individual’s unique characteristics such as culture, disability, and/or income level. Qualified individuals with a disability must be able to receive reasonable accommodations upon request.

In addition to standardized assessments, alternative measures may also be used to determine whether an individual meets the definition, including, but not limited to:

- Alternative evaluations (participation in try-out employment or work experience)
- Observation of individual while participating in program activities
- Conversation with individual or his/her family, educators, and/or service providers
- Review of work history with demonstrated deficiency in identified areas

When using alternative evaluations such as those listed above, staff must document the individual’s inability to compute or solve problems, or read, write, or speak English at a level necessary to function on the job, in the individual’s family, or in society, by citing specific examples of how it was determined that the person has such deficiency.

For example: “Individual was provided a simple two step instruction (take handouts and find a seat in the room) and was unable to follow the instruction successfully; at one point during the

workshop, the individual went to the restroom and was unable to find his/her way back to the room independently even though the room was just down the hall.”

Reasonable accommodation – Testing accommodations are changes to the regular testing environment and auxiliary aids and services that allow individuals with disabilities to demonstrate their true aptitude or achievement level on standardized exams or other high-stakes tests. Testing results must accurately reflect the individual’s aptitude or skill achievement the assessment purports to measure. Accommodations should not fundamentally alter the assessment.

TITLE 1-B ASSURANCES

1. The Bureau of Employment Services of the Maine Department of Labor has implemented a policy to ensure that Adult program funds provide a priority in the delivery of career and training services to individuals who are low income, public assistance recipients or basic skills deficient. Please see policy PY15-03 Adult Priority of Service⁴⁹
2. The Bureau of Employment Services of the Maine Department of Labor has implemented a policy to ensure that local areas have a process in place for referring veterans with significant barriers to employment to career services provided by the JSVG program’s Disabled Veterans’ Outreach Program (DVOP) specialist. Please see policy PY15-20 Change 1 Referring Veterans with SBEs. The State Workforce Board has implemented a written policy and procedures setting forth the criteria to be used by Chief Elected Officials for the appointment of local workforce development board members. Please see policy PY15-02 Criteria for Appointing Local Board Members⁵⁰.
3. The State Workforce Board has drafted a policy and procedures to ensure local workforce development boards are certified by the Governor every two years in accordance with WIOA Section 107 (c) (2). Please see policy PY15-22 Local Board Certification Requirements⁵¹.

⁴⁹ PY15-03 Adult Priority of Service https://www.maine.gov/swb/laws/policies/PY15-03_adult_priority_of_service.doc

⁵⁰ PY15-02 Criteria for Appointing Local Board Members https://www.maine.gov/swb/laws/policies/PY15-02_WIOA_Local_Board_Membership_Requirements.doc

⁵¹ PY15-22 Local Board Certification Requirements https://www.maine.gov/swb/laws/policies/PY15-22_Local_Board_Certification.doc

4. The State of Maine does not use an alternative entity in place of the State Workforce Board.
5. The Maine Department of Labor distributes adult and dislocated worker program funds using the formulas delineated in WIOA Section 133 (b) (2) (A) and (B). Maine does not utilize the discretionary allocation method described in Section 133(b) (3). In the event the State identifies funds that may be made available for reallocation from one local area to another local area the State will follow the reallocation procedures delineated under WIOA Section 133 (c).
6. Through annual and ongoing monitoring and review processes, the Bureau of Employment Services of the Maine Department of Labor assures that WIOA Title I funds are not used to promote or deter union organizing in accordance with WIOA Section 181 (b) (7).
7. The Maine Department of Labor distributes youth funds using the formulas delineated in WIOA Section 128 (a) and (b). Maine does not utilize the discretionary allocation method identified in Section 128 (b) (3). In the event the State identifies funds that may be made available for reallocation from one local area to another local area, the State will follow the reallocation procedures delineated under WIOA Section 128 (c).
8. The Maine Department of Labor administers the following federally-funded programs: Vocational Rehabilitation, Wagner-Peyser, and the Adult, Dislocated Worker and Youth formula programs under Title I of WIOA. In addition, the Maine Department of Labor oversees implementation of State Statutes regarding provision of vocational rehabilitation services to eligible individuals with disabilities. Maine assures that State Vocational Rehabilitation Statutes work in tandem with and cooperatively with the requirements for services of individuals with disabilities identified under Title I of WIOA.
9. The Maine Department of Labor assures that it will report on the impact and outcomes of any approved waivers in its WIOA Annual Report; The Maine Department of Labor is working on a request for a waiver the 25 percent spending limitation on in-school-youth. Maine is a vast and rural state, with outlying communities located over 120 miles from the nearest affiliate one-stop. Despite significant and innovative outreach efforts, out-of-school youth recruitment continues to be a challenge. In addition, although a youth may be set to begin postsecondary after graduation, the fact is that many do not get through the first year and by then all connection to them is lost. The goal is to be able to connect youth to services before they complete their senior year.

- 10.** The Bureau of Employment Services of the Maine Department of Labor assures that it has taken action to secure compliance with the Uniform Guidance at 2 CFR 200 and 2 CFR 2900. The Bureau has contracted with the Maine Department of Administrative and Financial Services to conduct annual and as needed financial monitoring of recipients and sub-recipients of WIOA Title I funds to ensure compliance with WIOA and OMB requirements, as well as to ensure that any procurement transactions to be conducted between local boards and the Maine Department of Labor will be conducted on a cost-reimbursement basis. Currently, the Maine Department of Labor awards only pass-through funds to local boards.

WAGNER-PEYSER ACT PROGRAM AND AGRICULTURE OUTREACH PLAN (AOP)

Employment Service Professional Staff Development:

The Maine Department of Labor, Bureau of Employment (MDOL,BES) services has established a formal staff-development initiative for all new and existing Wagner-Peyser staff members to ensure staff have an understanding of the requirements of WIOA and the basic and individualized services that are offered by employment services staff to job seekers, workers, and employers.

A formal training curriculum is delivered over several days, that covers:

- Bureau of Employment Services Workplace Culture and Expectations
- Overview of Labor Exchange and provision of Career Services
- Introduction to the Workforce Innovation and Opportunity Act
- Overview of the Unified Plan (Plan) and the role of employment services
- Introduction to Maine JobLink (MJL, Maine's labor exchange and case management system
- Introduction to ReEmployME, the Bureau of Unemployment Compensation (BUC) claims system and how to provide support to individuals seeking to file unemployment insurance (UI) claims
- Career information and expectations, including overview of career information tools from labor market and occupational information to career decision making tools.
- Overview of the Trade Adjustment Assistance Act and Training Readjustment Act
- Understanding rapid response and layoff aversion
- Understanding WPRS and RESEA reemployment services. Maine had to stop the RESEA program for a couple of years due to lack of federal funding. However, the program recently underwent extensive changes at the federal level and Maine is in the process of updating and restarting the RESEA program in FY 2020. This is a partnership program between the BUC and the Bureau of Employment Services.
- Introduction to standards of procedure in one-stop information centers
- Overview of veteran's services and referral requirements

- Migrant and seasonal farmworker program outreach and partnering with the National Farmworker Jobs Program
- Intro to training programs (Maine Apprenticeship, Competitive Skills Scholarship, Title IB Adult, Dislocated Worker and Youth programs, Job Corps, YouthBuild, and more.
- Overview of the Work Opportunity Tax Credit and Federal Bonding Program

Strategies supporting training and awareness across core programs and U.I.: The BUC and the BES (Wagner-Peyser, Trade, Veteran Program, and State Monitor Advocate) staffers have a strong working relationship.

A minimum of two front-line staff as well as the employment services' CareerCenter manager in each one-stop are fully trained on UI eligibility and UI issue identification as a result of intensive Worker Profiling Reemployment Services (WPRS) and Re-Employment Services and Eligibility Assessment (RESEA)/Re-Employment Eligibility Assessment (REA) staff training.

Designated one-stop staff have received training on Maine's UI web portal and are experienced in assisting individuals with filing for UI and accessing their accounts through the portal. In addition, Maine's BUC has five UI related videos on their website that one-stop staff have access to and are encouraged to view.

The State will develop a training plan to ensure one-stop staff members are familiar with UI basics as well as the UI work requirements and penalties of noncompliance. Training will also be developed to ensure that UI workers are familiar with one-stop services and can make appropriate referrals at the time of initial or subsequent claims.

One-stop provision of meaningful assistance in filing claims for unemployment compensation: Maine will meet the needs of customers requesting assistance with UI claims in a two-pronged approach. Appropriately informed one-stop staff will provide unemployment claim information and assistance in the one-stop by answering basic UI questions, assisting customers with creating a ReEmployME account to file initial and continued benefit claims online, and filing weekly certifications via phone through Maine's interactive voice response system. Additionally, one-stop staff will be able to access and provide individualized unemployment information and explain how the individual can manage their UI account through the UI web portal. If an individual is unable to file a UI claim due to significant barriers (such as language or disability) that prevent

the use of online tools, the customer will be assisted by one-stop staff or be directed to a phone line dedicated to serving the individual needs of the customers.

The BUC has dedicated specific staff of the day who can be contacted through each one-stop about a specific UI issue and who will then contact with the customer within 24 hours if not immediately available to address the issue.

Strategy for providing reemployment assistance to UI claimants and other unemployed individuals: A major component of Maine's employment services focuses on the UI population. Maine's BUC and BES are committed to working collaboratively to ensure that unemployed workers are treated as job seekers and not just claimants. Claimants are required to register for Maine's JobLink (Maine's labor exchange system). When a claimant files an initial claim for UI benefits through the ReEmployME system, the claimant is automatically registered with the MJL through an interface connection if no such prior registration exists. This provides the UI claimant with broad access to a wide variety of job opportunities to assist in their work search and efforts to attain new employment.

Through the MJL claimants and other job seekers will develop a resume as part of their registration for labor exchange. The resume will be printable for use in job search and will be added to a resume bank available to employers to search for potential employees. This feature will ensure claimants and other job seekers start their efforts with a professional looking resume and an automatic connection to employers in need of workers.

Maine is implementing a common triage process to ensure that all visitors to a one-stop are given individual attention, made aware of available services, and referred to appropriate information and/or services. This process centers on information that a one-stop staff will gather from each visitor. Answers to questions will trigger what information, services, and/or referrals are immediately offered. Staff across the state will use the same staff interview guide which was developed with suggestions on how to respond to needs identified during interview.

All customers will be informed of the menu of services available to them including information on:

- Upcoming job fairs,
- Job search workshops,

- Job search tools,
- Self-employment,
- Training/college options/opportunities,
- Apprenticeship,
- On the job training information and referrals,
- Veterans services,
- College financial aid information & FASFA workshop referrals,
- Vocational rehabilitation,
- Housing,
- Child care,
- Unemployment compensation,
- Temporary Assistance for Needy Families (TANF),
- Preparation for Hi-Set exam,
- Health care/Affordable Care Act, and
- General assistance program information and referrals.

The BUC and BES work closely together to ensure unemployed workers return to work, reduce the overall length of unemployment, lower exhaustion rates, reduce improper unemployment compensation (UC) payments, improve employment outcomes and earnings, and result in a higher re-employment rate for those receiving reemployment services through the one-stops than for those who do not. These collaborative efforts provide Maine's unemployed claimants an entry point to reemployment services and other workforce system programs early in their collection of UC benefits.

Reemployment services are provided through WPRS using Maine's profiling model for selection. Intensive and career services are delivered to those claimants profiled as "most likely to exhaust" their benefits. Although Maine is not currently participating in the RESEA program, as mentioned earlier, Maine is in the process of reintroducing it in FY '20. Maine will incorporate the WPRS profiling model in selecting participants for the new RESEA program model thus satisfying the WPRS requirements, while delivering reemployment services to a broader audience.

Claimants must first meet Maine's profiling model and then will be randomly selected for participation by local American Job Center (AJC) area. All claimants selected are required to participate in WPRS intensive career services (soon to be replaced by RESEA). BES provides selected claimants with relevant reemployment services and assessments to help minimize the length of unemployment and encourage timely reemployment.

BUC will notify identified claimants by letter of their requirement and responsibility to attend RESEA/WPRS intensive and career services provided through the local one-stop service centers. BUC is in the process of incorporating a self-scheduler to allow claimants to select a time and date most suited to their availability in order to increase RESEA attendance rates and reduce rescheduling. Specialized reemployment services CareerCenter consultants are trained by BUC staff to identify potential unemployment compensation eligibility issues. Individuals who fail to attend or complete the required components of the initial RESEA session will automatically be set up for fact finding to determine if benefits will be allowed for good cause or suspended until participation in RESEA has taken place.

BES, operating out of the American Job Centers and affiliate sites, will administer RESEA/WPRS by providing an additional level of service to all selected participants as needed. A variety of reemployment services and options may include; development, expansion, or continuation of individual reemployment plans, provision of a relevant referral based on individual need for completion and intensive case management services.

All participants gain an introduction to a broad spectrum of career services, including:

- Staff assistance in acquiring needed reemployment and training services,
- Counseling in career decision-making and exploration of higher learning,
- Common intake and eligibility determinations for WIOA programs,
- Access to computer based online and job search programs and applications,
- Job search and placement assistance including labor market information and in-demand occupations,
- Information on how to access supportive services, orientations to training, and all other programs offered by WIOA and partners,
- Access to Maine's JobLink and general internet access, and
- Core assessments that link vocational aptitudes and abilities to jobs.

The structured format design of RESEA/WPRS utilizes active engagement in development of individualized reemployment plans, enabling participants to independently activate/update their MJL profile. Laptops, as needed, are made available for job search activities, including internet job searches and job application submission. Reemployment services consultants work with individual participants to address and define needs and services. Upon comprehensive conclusion of the RESEA, claimants acknowledge and accept their individual needs based “relevant referral” (next steps to their reemployment goal) and complete this portion of the RESEA session.

Each RESEA participant will receive at minimum:

- An unemployment compensation eligibility review including review of work search activities,
- Relevant and individualized local labor market information, including live use of Maine’s Center for Workforce Research and Information (CDWRI) website,
- Enrollment in Wagner Peyser Act funded employment services,
- Development, review, and recommendations on an individualized reemployment plan (IRP),
- Individualized and relevant referrals to services, jobs, other agencies, and additional reemployment resources as needed,
- An introduction and orientation to all the services the CareerCenter has to offer, including self-directed options and specific program eligibility,
- Enhanced job matching and referral profile assistance in Maine’s JobLink
- Participation in reemployment services at levels appropriate to meet individual participant needs may include the following:
 - Access to to job hunting in Maine guide,
 - Tools, tips, and strategies on conducting a successful job search,
 - Information on how to obtain further skill assessments and individualized job search services,
 - Introduction to USDOL’s online assessment and job search, tools, such as MySkills MyFuture™, O*NET tool, and My Next Move (aka Career Profiler), and
 - Coordination of activities with other programs and services.
- At least one of the following career services based on need:
 - Referral to training or other workforce activities including WIOA,
 - Labor exchange-in-demand industries,

- Information on availability of community based or WIOA support services,
- Financial aid resources outside of WIOA,
- Financial literacy services, and
- Career readiness including resume writing and interviewing.

Use of Wagner-Peyser funds to support UI claimants: Maine requires all UI claimants to register for Maine’s JobLink. Once registered, job seekers will receive notification of job matches, browse for jobs, upload their resume, and receive job referrals. In addition, JobLink registrants are sent email blasts notifying them of job fairs, special recruitments, critical need jobs, and other job search related information. UI call centers are regularly informed of job orders on the JobLink and use this information during claim calls to steer claimants toward immediate job openings and one-stop services.

Claimants visiting one-stops can partake of self-service activities by using resources such as computers and phones to conduct job searches, respond to employment opportunities, and manage their UI claim through Maine’s UI portal. In addition to self-service options, claimants can also receive staff-assisted services, such as: job search workshops, assistance accessing and navigating Maine’s JobLink and the UI web portal, individualized labor market information, referral to veterans services, and referral to education, training, and supportive services.

There is a dedicated auto-dial UI phone in each one-stop that is monitored by UI staff and available to claimants who have specific UI issues that cannot be addressed by one-stop staff. Maine’s one-stop workers provide the public face-to-face interaction for MDOL. Because Maine’s UI system is web and call-center based, claimants who desire or require in-person interactions or assistance will visit a one-stop. Wagner-Peyser field staff provide a great deal of UI assistance such as: answering basic questions, supplying written UI information, assisting claimants in creating their UI web portal accounts, filing a claim, using computer or phone to contact the claims center, sorting out paperwork to send/fax to claims center, and providing hope and encouragement to claimants.

In addition, BUC and BES have a strong working relationship. BUC and BES staff are familiar with each other’s programs and often communicate on strategies, program-specific issues, and questions. Select UI staff members have privileges to the staff-side of Maine’s JobLink.

Registration of UI claimants with the State’s employment service if required by State law:

Maine Revised Statutes Title 26, Chapter 13, Subchapter 6, Section 1192, sets requirements for UI claimants to be registered for work with the employment office as evidenced by the following excerpt from Statute:

“Has registered for work: The individual has registered for work at, and continued to report at, an employment office in accordance with rules the commission adopts, except that the commission may, by rule, waive or alter either or both of the requirements of this subsection as to individuals attached to regular jobs and as to such other types of cases or situations with respect to which the commission finds that compliance with the requirements would be oppressive, or would be inconsistent with the purposes of this chapter. A rule under this subsection may not conflict with section 1191, subsection 1.

The individual must actively seek work each week in which a claim for benefits is filed unless the individual is participating in approved training under subsection 6 or work search has been waived in accordance with rules adopted by the commission and provide evidence of work search efforts in a manner and form as prescribed by the Department of Labor. Failure to provide required work search documentation results in a denial of benefits in accordance with section 1194, subsection 2 for the week or weeks for which no documentation was provided unless the department determines there is good cause for the individual's failure to comply with this requirement.”

Administration of the work test for State UI system: Claimants are required to register with Maine’s JobLink (Maine’s labor exchange system). When a claimant files an initial claim for UI benefits through the ReEmployME system, the claimant is automatically registered with the MJL through an interface connection if no such prior registration exists. Claimants receive an email with their login details and how to proceed to their MJL profile to edit and add information.

Employment Services (ES) staff are trained in basic unemployment insurance (UI) requirements, including identifying work test issues ensuring that an individual whom a State determines to be eligible for unemployment insurance benefits is able to work, available for work, and actively seeking work in accordance with 20 CFR §652.210, the State's unemployment compensation law or

assisting in resolving UI claimant problems in coordination with our UI partner team members. Able and available issues are reported timely and appropriately to Unemployment Compensation.

Job Finding and Placement Services ES staff understand acceptable work search methods to expand the claimants understanding of the many options to actively seeking work but also to encourage a more robust job search that will result in new employment. Active work search methods reviewed with claimants include; contacting an employer directly about a job, having a job interview, submitting a resume or application to an employer or to a job website, using a public or private employment agency, job service, placement firm, or university employment center, contacting a job recruiter or head hunter, placing or answering a job advertisement and checking union or professional registers or seeking assistance through social networks. In addition, claimants receive career services suitable to their reemployment needs including standard labor exchange-based job matching and referral services.

Provision of referrals and assistance with access to and education programs: All customers visiting the one-stop centers have access to available resources including training and education. Information is available in orientation packets passed out to customers, printed materials stocked in information centers, software, web-links, and documents available on information center computers and Maine's CareerCenter website. A new triage process is being implemented that makes immediate referrals to services and asks the customer to register in Maine's JobLink. Currently, the JobLink registration uploads into the State's one-stop operating system and provides the beginning of a WIOA Title I application. Customers complete an initial application that registers them for Maine's JobLink job bank and case management system, determines eligibility for WIOA Title I programs, and creates a resume. Workshop curriculum includes orientation to CareerCenter services and an opportunity for referral to one-stop and other community services.

AGRICULTURAL OUTREACH PLAN (AOP)

Assessment of Need

Maine's migrant seasonal farm workers (MSFWs) cycle through various labor-intensive crop harvests including blueberry, broccoli, diversified vegetable crops, apple, and poultry industry operations during Maine's short agricultural production season (primarily June-September). The

blueberry harvest begins in late July early August, broccoli and diversified vegetables August through late September and apples in October. During peak agriculture months, blueberry, diversified vegetable crops, apple, broccoli, and cauliflower operations in Androscoggin, Oxford, Washington, Aroostook, and the mid-coast counties see the bulk of independent MSFWs and Foreign Labor H-2A workers in Maine. MSFWs also work off-season as it relates to holiday wreath making and seafood processing. MSFWs that generally do farm work during the agricultural season in Maine and the Northeast, head for the wreath making operations in Washington County to work in production from early November to mid-December. Due to the success of two large wreath making operations, wreath making operations employ approximately 750 temporary workers, most of whom are MSFWs, most who originate from out of state. In late October to mid-December SWA outreach efforts focus on these workers.

The chart below shows the number of MSFWs that were provided with some level of service during 2018-19. This assistance includes job referral information, answering questions on worker wage deductions, provision of housing standards information and working conditions requirements, and issues pertaining to discrimination.

TABLE 21: SERVICES PROVIDED TO MIGRANT SEASONAL FARM WORKERS 2018-2019

2018-2019	Registered In MJL (self-identified)	Referred to jobs	Provided Services	Referred to Supportive Services	Case Management Counseling	Received Job Development Contact	Contacted by SMA Outreach
July-Sept 2018	4	0	4	3	4	0	334
Oct-Dec 2018	1	0	1	1	1	1	181
Jan-Mar 2019	4	1	1	0	0	0	0
April-Jun 2019	1	1	1	1	1	1	8

The numbers above are based on service transactions provided to job seekers who register and self-identify as a MSFW and are active on the Maine JobLink (MJL). Job seekers on the MJL that do not receive services for 90 days become inactive. Returning job seekers who reactivate their accounts count as new registrants with new service transactions. Total number of services is always equal to or greater than the number of individuals served. The quarters above are 'rolling-quarters' in that services reported each quarter are an accumulation of the quarters preceding the reporting period.

Maine's agricultural sector is large and diverse, contributing significantly to Maine's overall economy. Data in the 2017 Census of Agriculture by the USDA National Agricultural Statistics Service lists 7,600 farms in Maine managing over 1.3 million acres with the number of farms decreasing by 7 percent since 2012. Most Maine farms are small family-operated enterprises employing few people beyond family members. The average size of farms is 172 acres, with forty-seven percent less than 50 acres in size. The 2017 census indicates 29 percent of Maine farms hire farm labor for a total of 9,324 workers (hired farm labor excluding contract workers). A total of 9,807 unpaid workers (agricultural workers not on the payroll who performed activities or worked

on a farm or ranch) reflect the number of family members working on farms. In 2017, 2,191 migrant workers, including contract workers, were hired.

The demand for farm labor remains consistent in an economic climate of low unemployment and a general shortage of workers overall across most industries. From small to large scale farm operations, and across a diversity of types of agricultural products, labor shortage emerges as a dominant concern among agricultural employers. A gradual decline in the numbers of migrant workers only exacerbates the labor challenge for Maine farm operators.

Factors Affecting Agricultural Activity by Crop: Increasing mechanization and reduction in managed acres in some areas of the state continues to impact the annual number of MSFWs needed by the blueberry harvesting sector, shifting workers to the freezing/packing plants. Broccoli producers' labor needs remain constant, projecting a need for additional labor in the coming year. Apple orchards and packing houses continue to report flat numbers and do not foresee increasing labor need. The larger apple producers use the H-2A program for harvest purposes and rely on returning local seasonal and permanent help in the packing houses. Throughout the state, a select number of growers of diversified crops, including vegetables, use foreign H-2A labor in small quantities to supplement the available returning local seasonal field help. Overall many sectors of Maine's agricultural producers are hiring fewer workers even when it comes to local seasonal labor. This is evident in the conversion of family and larger farms continuing to turn to 'agro-tourism' and 'pick-your-own' systems as a strategy to sustain farms. The conversion to 'pick-your-own' also makes it unnecessary to plan for additional labor needs, with farms able to rely on a small static number of permanent and local seasonal labor. Overall, the improved economy has influenced the number of workers interested in and available to work in agriculture specific jobs. Farm operations are challenged to find workers when so many alternative job opportunities exist for traditional seasonal and migrant workers looking to transition to a full-time, year-round position. With the impact of COVID-19 sweeping across the country and the state of Maine, we anticipate this health crisis, though it remains to be seen, will negatively impact the viability of migrant workers making the sometimes long trip to Maine to work, contractor and employer capacity to provide transportation to and from the job site-often provided in vans and buses, locating or adapting safe housing that traditionally is bunk style living arrangements, and provide safe day to day work conditions that are often not easily accessible to critical health care when needed. Already, some

northern Maine farms are deploying available young people, dismissed early from their secondary school responsibilities due to the crisis, to help with early growing season preparation.

TABLE 22: PROJECTED MAINE MSFWS BY CROP

Labor Intensive Crops	Projected MSFWS 2020 Agricultural Season April - November
Blueberries	1,000
Broccoli/Cauliflower	295
Seafood processing	35
Apple	190
Diversified Crop, mixed vegetable	315

Unique needs of farmworkers: The unique needs of MSFWS in Maine is based on review of the annual and historical delivery of services by multiple agencies working in long term partnership to assist this population during the harvest season. The projected needs are anticipated to remain consistent for the next four years for farmworkers working in each of the primary crop and geographic areas with agricultural activity. Consistently, workers need support navigating a host of local, state and federally sponsored services. This is often due to language challenges, a lack of awareness of certain services or physical access to services. Services such as: general health, dental and eye care; basic education service including child care for young family members while the parent or guardian works long hours; transportation services to and from the job site or the next out of area job often depending on contractor provided transportation or undependable personal vehicles; auto repairs and maintenance; wage or working condition issues, safe and suitable housing; referral to the next job, or need for education and training to assist the worker secure full time agricultural work or regular-stable non-agricultural employment. These are long standing and evidence-based needs recognized by the Farmworker Resource Network members, American Job Centers and other service provider partners including the National Farmworkers Jobs Program operator. Peak agricultural work season in Maine is July-September and the approximate number of MSFWS in the State is between 2,000 and 2,500. Low season, which is January through April, the

approximate number is 150 to 200 and most of these are workers are employed by farmer owned packing houses and apple cider pressing operations.

Eastern Maine Development Corporation (EMDC), the National Farmworkers Jobs Program (NFJP) grant operator in Maine (WIOA Section 167), was awarded PY 2019 funding to help address the myriad of critical issues faced by farmworkers and their families. NFJP served 91 MSFWs in calendar year 2018 and 68 MSFWs during calendar year PY 2019. The NFJP is a required partner of the one-stop delivery system and is responsible for making the full range of services available to farmworkers.

To ensure that all services are focused on the customer's needs, services are provided through a case-management approach. Services received may include: basic and individualized career services, training services, and support services including emergency assistance. Key issues negatively impacting this population are lack of education; poverty; unstable employment; access to housing, transportation and/or healthcare; and limited English proficiency. Individuals who have earned more than 50 percent of their income from agricultural labor are encouraged, along with their dependents, to apply for services.

Characteristics of migrant workers: Migrant workers travel to Maine from Mexico, Haiti, Canada(New Brunswick and Nova Scotia), Texas, Florida, and California to work. The majority of workers arrive from Mexico, however, Maine continues to see small influxes of workers from Central American countries such as Guatemala. Many workers travel with their families, including young children, as the agriculture seasons in Maine gets underway. Historically, the primary language is Spanish, however, with more workers from Haiti, Maine is beginning to see an increase in Haitian Creole.

The challenges faced by migrant workers remains consistent year to year: language, education and job skills training, housing, reliable transportation, food and nutrition, child care, and school alternatives for the children during the harvest, not to mention the need for assurances and safety nets for safe and fair labor practices.

Outreach activities: Services provided to migrant and seasonal farm workers and agricultural employers are supported by Wagner-Peyser Act merit staff and strong long standing partnerships in the communities where MSFW live and work. The State Monitor Advocate, along with merit outreach staff, provide a full range of services through the American Job Centers and geographic areas of primary agricultural activity throughout the state. Wagner-Peyser Act funding is used to support the State Monitor Advocate position, outreach staff and the delivery of services to MSFWs, other agricultural workers, and agricultural employers through Maine's one-stop American Job Centers.

Maine, as compared to many states, has a very low number of migrant and seasonal farm workers operating in distinct geographic pockets of the state. The State Monitor Advocate position effectively carries out the core State Monitor Advocate functions and responsibilities as defined by USDOL (20 CFR 653.108). The State Monitor Advocate (SMA) also attends to foreign labor certification (FLC) related job orders for H-2A, provides reviews of Agricultural Clearance Orders (ETA-790) intended for H-2A, and conducts farm labor camp inspections related to H-2A FLC applications.

The chart below shows the number of MSFWs projected to receive services in year one of the approved Plan (2020/2021). Farmworker and MSFW numbers have continued to decline slowly over the last several years. It is anticipated that the number of MSFWs will continue to remain relatively static, with no anticipated change over the next four years. American Job Centers throughout the State are the primary source for provision of Wagner Peyser services to the MSFW population. Examples of these services include: registration with the Maine JobLink (MJL), job referrals, job counseling, and referrals to supportive services.

TABLE 23: WAGNER-PEYSER SERVICE GOALS FOR 2019-2020

2020-2021	Registered in MJL (self-identified)	Referred to Jobs	Provided services	Referred to Supportive services	Case Management Counseling	Job Development Contact	Outreach Contact by SMA
July-Sept	90	4	25	2	2	1	295
Oct-Dec	50	6	15	1	1	1	120
Jan-March	50	4	15	0	1	0	10
April-June	90	6	25	2	2	1	20

Data Assessment: Over the last four years, the State focused on meeting goals to provide quantitatively proportionate and qualitatively equivalent services to MSFW's. Numbers of MSFW's registered in the Wagner Peyser labor exchange system was remarkably below planned goals. However, the services provided were qualitatively equivalent to the services of non-MSFW's. Farmworkers served through outreach were primarily migrant workers arriving and departing to the next harvest in Maine or in another state. Analysis of the online self-registration process yielded a lack of systems checks where registrants identify as a seasonal of migrant farmworker. This impacted the actual number of workers identifying as farmworkers, particularly seasonal workers who more frequently incorporate the American Job Center and the use of the labor exchange system in their employment search. The SMA has worked with America's Job Link Alliance to simplify and clarify farmworker identification requirements in the self-registration process of the Maine JobLink system to accurately capture the number of farmworkers receiving services from the one-stop system network.

Assessment of Progress: During the last four years, Maine focused on five core objectives which remain key to improving MSFW and agricultural employer services for the next four years.

Increase the number of MSFW's who participate in labor exchange activities. Migrant and seasonal farmworker one-stop service activity varied between migrant and seasonal workers. Seasonal workers tend to use the American Job Center for assistance with employment and training services, whereas migrant workers receive services as a result of State Monitor Advocate and partner outreach at employer work sites and labor camps. Improvement in the number of workers who self-identify as either migrant or seasonal worker during registration for services continues to trend below expectation despite the past outreach model deployed in Maine and the results illustrated in Table 21. As a national trend, migrant workers are less likely to visit an American Job Center and access needed information and services through field visits and partner outreach. During the last two years, farmworker contacts increased due to outreach expansion efforts of the SMA however registration for services did not. In 2018, 523 farmworkers were contacted by the SMA. In 2019, 415 workers were contacted with a large influx of these contacts occurring in the third and fourth quarters of the calendar year as a result of MSFWs shifting to wreath making operations. Overall, Maine continues to see gradual decline over the last four years in MSFW workers.

Increase the number of agricultural employers using the labor exchange services and promote the use of the ARS. Although agricultural employers are using all resources to fill positions, including the one-stop service system and requests for H2A positions increased in 2019, they continue to struggle to attract and find workers interested in farm labor opportunity. A marked increase in the use of the Agriculture Recruitment System was not realized given the challenge recruiting workers, especially when the economy was strong and alternative job opportunities were available. Despite efforts to encourage migrant workers to visit an American Job Center to receive services, registration for services did not markedly improve.

Encourage participation of MSFW's seeking transition to higher-wage jobs and permanent non-agricultural employment. The SWA believes farmworkers continue to receive services that lead to higher wage jobs and permanent non-agriculture employment. However, due to the significant numbers of farmworkers and specifically seasonal workers in Maine who do not identify as a "farmworker" when registering for services, assessing our impact on this goal is a challenge. The number of MSFW's who self-identify and engage in American Job Center services, is evident by the

success of Eastern Maine Development Corporation, the NFJP grantee and the WIOA Title 1b sub-recipient in transitioning workers to better paying jobs. The SWA supports the NFJP operator and encourages our outreach staff and our partners at all times to promote higher-wage agriculture and non-agriculture employment opportunities.

Enhance collaboration with the MSFW servicing organizations. Collaboration with our MSFW serving organizations remains strong and illustrates a best practice here in Maine.

Maintain and Improve Progress Maine will continue its effort to conduct sound outreach to the employer and farmworker community to enhance the delivery of one-stop services. This effort will continue to capitalize on the strengths of community partnerships, such as the Farmworker Resource Network, to identify and provide the full breadth of services many of the farmworker population require to obtain, retain, or transition to employment- better paying jobs. Maine will advance our promotion of the Agricultural Recruitment System (ARS) through intra and inter-state clearance orders and available one-stop services through social media and direct outreach to workers, employers, and partners in order to fill seasonal, temporary and permanent agriculture positions. And we will continue to work to improve our tools and efforts to identify seasonal and migrant users of American Job Center services to help illustrate the impact we are having on this important and critical segment of our workforce.

Over the course of the 2020-2023 State Plan, Maine will continue to focus on the following outreach objectives:

- Increase the number of MSFWs who participate in labor exchange activities,
- Increase the number of agricultural employers utilizing the labor exchange services,
- Promote the use of the ARS to agricultural employers through outreach and education, Encourage participation of MSFW's seeking transition to higher-wage jobs and permanent non-agricultural employment, and
- Enhance collaboration with MSFW service provider organizations.

Contacting farmworkers and improving outreach: Outreach activities will be consistent with 20 CFR Part 653.107 and will serve to implement strategies aimed to identify, document, and track MSFWs as they access the full range of employment and training services within the one-stop centers. Historically, the SMA conducted the majority of the MSFW outreach to workers and

agricultural employers. The SWA is transitioning to a collaborative model of outreach and coordination between dedicated outreach workers and the SMA requirements detailed in 20 CFR 653.108. Full time equivalent staff will be deployed to meet employer and farmworker needs during high peak agricultural activity and reduced to part-time on-demand capacity during low agricultural activity. Outreach will focus on locating and contacting farm workers not reached through normal intake activities including field visits, routine follow-up with agriculture employers and posting of public and other social media notices to community organizations and networks such as the Farmworker Resource Network partners about services available. The outreach efforts will implement compliance requirements in providing qualitative equivalent and quantitatively proportionate service delivery to MSFWs

The State Workforce Agency will coordinate MSFW outreach plans with the SMA and local employment service outreach workers serving the greater areas of agricultural activities relative to the crop's peak season. For example, the Machias American Job Center, based in Washington County with proximity to the blueberry barrens, deploys ES staff to labor camps to provide information and employment assistance to migrant workers. Employment Service outreach workers and the SMA will contact MSFWs during the agricultural peak harvest season of blueberry, apple, and broccoli while conducting field visits in Androscoggin, Oxford, Washington, and Aroostook counties. These counties see the bulk of Maine's MSFW population. Additional outreach may take place in other counties based on employer needs and the influx of workers into those areas, particularly those areas with H-2A local offices whose neighboring agricultural employers file H-2A job orders and may have referrals to those orders. For H2A, the local office outreach workers are encouraged to carry out active referrals until the employer's H2A workers depart for the work site (at least two days before the employer's set start date for work on the job order). During outreach and field visits worker rights and support services informational brochures in Spanish, English, and Haitian Creole are distributed. Information on agricultural employment and referral's to services such as health, education, and legal, are made available to the workers and their families as needed. Table 4 shows the SWA outreach schedule for field visits during PY 2019-2020 and the number of MSFWs estimated to be contacted. These numbers are expected to remain stable over the next couple of years.

TABLE 24: OUTREACH FIELD VISIT SCHEDULE

	July September	October – December	January - March	April –June	Total
Field Checks	30	18	0	20	68
# MSFWs contacted	275	110	0	60	445

The number of MSFWs to be contacted each year over the next four-year term is estimated at 445 workers. These contacts occur during outreach and field checks, including random unannounced visits to labor camps and work areas where MSFWs may be present. Outreach staff and the SMA look to identify issues that may include: apparent violations in working conditions, the proper display of mandatory/informational posters, wages, housing standards, water quality, and more. The number of worksites visited, locations and supervisor contact names are recorded. Field reports also record the time of the visit, observations made, available services discussed with MSFWs, number of MSFWs contacted, names of MSFWs requesting services, and follow-up arrangements established. A copy of the field report is filed at the administrative office of the Bureau of Employment Services.

Technical assistance to outreach workers: Outreach functions are tied to the service delivery areas where farm workers and agricultural employers live, work, and congregate. Service delivery strategies aim to assist farm workers' efforts to achieve integration and self-sufficiency. Outreach workers are trained in and seek to provide a full range of American Job Center services and resources to the agricultural communities including, but not limited to; skills assessments, career guidance, basic skills remediation and vocational training, educational opportunities, job search assistance, and supportive services.

Outreach staff will gain extensive knowledge of farm work in order to ensure high levels of awareness and sensitivity to the socio-economic and cultural nuances that exist within the agricultural communities. With a majority of farmworkers working in isolated geographic pockets in Maine and Spanish being the primary language spoken among the farm worker population with an increase of Haitian speaking crews finding work in Maine's service delivery areas, the SWA works closely with the NFJP grantee and other Farmworker Resource Network providers to effectively outreach and serve MSFWs.

In accordance with Part 653.107 (k), outreach workers will be trained in local office procedures and in the services, benefits, and protections afforded MSFWs by the ES. They will also be trained in procedure for the informal resolution of complaints. The program for such training shall be formulated by the State Administrator, pursuant to uniform guidelines developed by the ETA, and each State's program shall be reviewed and commented in advance by the SMA. The SMA, who works in close tandem with outreach workers and American Job Center partners, annually attends training conferences on a national level offered by the office of the National Monitor Advocate and on a Regional level offered by the Regional Monitor Advocate. Both venues provide opportunity to engage with Federal agencies collaborating with MSFW activities, provide resource materials for reference, review statutory requirements and support development and updating SWA training materials and MSFW service delivery best practices.

Additional Training Considerations for Outreach Workers, Wagner Peyser and One-Stop partners staff:

- Sexual Harassment in the Fields
- Discrimination
- OSHA Compliance
- Apparent Violations
- Human Trafficking
- Food Safety
- Pesticides
- Field Checks and Cultural Diversity

Outreach staff professional development and training: To ensure all staff including our dedicated MSFW outreach workers, are adequately trained and have the professional skills necessary to provide services, the State Workforce Agency (SWA) evaluates and provides the professional development needed to ensure quality services to MSFW's. The SWA provides new and existing employee training on the wide range of state, federal and community-based services available to MSFWs, agency policies and practices, the Complaint System including identifying ES and non-ES complaints and, recording and reporting using proper complaint logs and forms. Wagner Peyser staff act as the primary interface with most job seeker participants entering the one-

stop delivery system, whether entrance is through bricks and mortar facilities, virtual on line, while conducting a field visit or through community events sponsored, supported or attended by the SWA. Wagner Peyser funded outreach staff conduct initial triage and provide resource navigation and referral services. Staff are trained in job skill assessment, labor market information and research, resume writing and effective job search strategies, career pathway awareness and community resources. It is imperative that staff have the skills necessary to do this in a customer-centric manner in accordance with Section 188 and the requirements identified in the local area MOUs regarding referrals and access to system partner services. Staff effectively provide or relay all the required information such as that listed under basic career services.

Outreach Worker Training and Awareness Across Core Programs: Training is provided by the State Workforce Agency (SWA). Outreach staff are trained in basic unemployment insurance (UI) requirements, including identifying work test issues ensuring that an individual whom a State determines to be eligible for unemployment insurance benefits is able to work, available for work, and actively seeking work in accordance with the State's unemployment compensation law or assisting in resolving UI claimant problems in coordination with our UI partner team members. State merit staff are educated on WIOA partner services specific to their service area to assist job seekers prepare for and obtain employment, and to help employers fill job vacancies with qualified job seekers. Outreach staff are familiar with the recruitment and retention challenges the agriculture employer community faces, and are trained to provide the education, training and referrals needed to fill vacancies. Maine has an active statewide action team membership involving partners from community colleges, adult education, rehabilitation services, economic development, WIOA Title 1 service providers, workforce board members, and others to encourage staff education on services, build solid working relationships at the state and regional level, and identify resources to assess and support MSFWs and agricultural and other business workforce needs.

Collaboration and coordination of services: The State Workforce Agency, the State Monitor Advocate (SMA) and outreach staff will partner with organizations and agencies serving MSFWs and the agricultural employment community to ensure that the needs and concerns of these workers receive consideration in the development and implementation of integrated service plans.

The SWA is fortunate to be a member of the Farmworker Resource Network, a highly successful and recognized best in practice multi-agency collaborative. During the next four years the SWA will continue to

promote, engage and work to improve our collective effort to outreach and serve MSFWs at the highest level. The Farmworker Resource Network (Network), a collaborative including the SMA, members of a nearby one-stop centers, National Farmworker Jobs Program (NFJP), Maine Migrant Health Program⁵², Pine Tree Legal Assistance⁵³, Maine Department of Health and Human Services (DHHS) food supplement program, Downeast Health Services' Women Infants and Children (WIC) program⁵⁴, and Maine Department of Education's Migrant Education Program⁵⁵ continues to coordinate a full array of critical services in support of Maine's migrant and seasonal farmworkers. The Network providers gather in the heart of the blueberry barrens to provide immediate services to arriving migrant workers, serve as an effective collaborative outreach mechanism, and host a series of small resource fairs during peak harvest to ensure workers receive the services and supports needed, such as educational, occupational, health, and social service supports. MSFWs may receive food assistance, gas vouchers, emergency auto repair, emergency lodging, tents, clothing and personal care items, job search services, and referrals to social services

National Farmworker Jobs Program (NFJP). The SWA will continue to operate under an executed Memorandum of Understanding (MOU) with Eastern Maine Development Corporation (EMDC) the 167 Grantee for the NFJP. The MOU facilitates the exchange of data pertaining to services provided to MSFWs and ensures farmworkers receive the full complement of American Job Center services necessary to meet their employment, training and support needs.

In the coming year, the SWA will engage with the Maine Department of Agriculture, Conservation and Forestry's (DACF) Agricultural Resource Development Division (ARDD). The goal is to join together to ensure the ARDD agriculture employer community accesses the employment and training services of the American Job Center partners, help advance services to MSFWs and promote

⁵² [Maine Migrant Health Program www.mainemigrant.org](http://www.mainemigrant.org)

⁵³ [Pine Tree Legal Assistance www.ptla.org](http://www.ptla.org)

⁵⁴ [Downeast Health Services' Women Infants and Children \(WIC\) program www.downeasthealth.org](http://www.downeasthealth.org)

⁵⁵ [Maine Department of Education's Migrant Education Program www.maine.gov/doe/migrant/index.html](http://www.maine.gov/doe/migrant/index.html)

the Agricultural Recruitment System through social media, direct outreach to employers and through the annual Agricultural Trades Show.

Services provided to MSFWs and agricultural employers through the one-stop delivery system: The full range of employment and training services delineated under WIOA Title I-B will be provided to MSFWs. One of the roles of the SMA and the WIOA 167 grantee is to make job opportunities available to workers. In addition to field visits, the SMA monitors the local offices for compliance with regulations in serving MSFWs. The table below shows the SMA’s annual schedule for monitoring local offices.

TABLE 25: STATE MONITOR ADVOCATE LOCAL OFFICE MONITORING SCHEDULE

ES OFFICE	Monitoring Timeframe
Presque Isle	June-July
Calais, Machias & Bangor	August
Skowhegan, Wilton	September
Rockland	May
Brunswick	May
Portland	July
Augusta	June
Lewiston	September-October
Springvale	April - May
Norway	September

Services to farmworkers: The SMA coordinates MSFW service plans with local offices nearest the greater area of agricultural activities relative to the crop’s peak season. Staff members of the one-stop including designated outreach workers have full knowledge of local office procedures and the services, benefits, and protections to be afforded to MSFWs. Staff are trained during the annual scheduled one-stop office review by the SMA. Training includes: review of the Judge Ritchey Court Order, definition and identification of MSFWs, and basic outreach field methodology including making oral presentations to groups of MSFWs at their working, living, or gathering areas on the services available at the local one-stop. At their local office, staff are provided with laminated “At a Glance” fact sheets detailing the ES complaint system and identifying MSFWs and migrant food processing workers. Staff also have available printed American Job Center informational material

to provide to MSFWs, log sheets to record contacts, and ES complaint information to inform MSFWs of their rights to file complaints. Staff work closely with non-governmental organizations providing services to MSFWs, as well as the NFJP 167 grantee. Several of those organizations utilize extra space at area American Job Centers to conduct meetings with MSFWs.

Merit staff and other one-stop partners who work with farmworkers will gain extensive knowledge of farm work in order to ensure high levels of awareness and sensitivity to the socio-economic and cultural nuances that exist within the agricultural communities. Merit staff of American Job Centers regularly attend trainings and are provided resources on the ES system across core programs, including the UI program. Due to Maine's low MSFW population, even during peak agricultural season, American Job Center staff work closely with the SMA to provide one-stop services to MSFW's and agricultural employers.

American Job Center outreach staff, in collaboration with the SMA, coordinate service delivery including, but not limited to:

- Provision of a full range of employment services, benefits, and protections on a basis that is qualitatively equivalent and quantitatively proportionate to services provided to non-MSFWs,
- Access to, and use of, job order information effectively,
- Assistance in accessing self-assisted services via electronic technologies,
- Individual referrals to agricultural and non-agricultural jobs, occupational training, support services, assessments and testing, career counseling, and other job development services,
- Provision of information on labor rights, protections, and responsibilities with respect to terms and conditions of employment,
- Assistance in the preparation and filing of employment and non-employment related complaints,
- Accepting and referring labor-related complaints and apparent violations in accordance with established policies and procedures,

- Referrals of individuals and family members to supportive services for which they may be eligible,
- Assisting with posting resumes on-line and conducting on-line job searches, and
- Facilitating communication between limited-English proficient individuals referred to jobs and employers.

Employment services complaint system to farmworkers: The Bureau of Employment Services (BES) implements the Employment Service (ES) Complaint System (per 20 CFR Subpart E §658.400 – 658.418) for retrieval of complaints that are filed at local one-stops and at the central office. The ES Complaint Resolution Administrator (CRA) has direct responsibility for the ES Complaint System, however, the State agency official designated to handle MSFW complaints will be the SMA. The ES CRA and SMA will maintain records of all MSFW complaints as well as correspondence between parties and notes from all investigations for a period of three years. Within 1 month after the end of the calendar quarter the ES office manager must transmit an electronic copy of the quarterly complaint system log to the SMA. The SMA will participate in and monitor the performance of the complaint system. The SMA reviews the ES office's informal resolution of complaints relating to MSFWs and will ensure that the ES office manager transmits copies of the complaint system logs, pursuant to part 658, subpart E, to the CRA. The CRA reviews these files quarterly to ensure compliance with appropriate complaint resolution processes and adherence to customer satisfaction principles. The CRA prepares and submits the Quarterly Complaint System Activity Report (Log) to the ES Bureau Director.

Employer services and agricultural recruitment system: Maine's American Job Centers will continue to help agricultural employers in obtaining workers to harvest their crops and referring job seekers to general agriculture and H-2A job orders Where U.S. workers must be given hiring priority. The range of services to agricultural employers extend beyond assistance with job orders and referrals and incapsulate the full range of American Job Center partner services. Employers are invited to participate in job fairs and to work with a CareerCenter business liaison to create recruitment plans, potential training opportunities, and possible use of the Agricultural Recruitment System (ARS) to help recruit qualified workers. The SWA intends to work closely with the Maine Department of Agriculture and agriculture employers to promote the use of the ARS to

recruit and fill job openings. Maine's labor exchange system connects employers to workers, serving as a bridge between local office staff and employers, facilitating direct service provision for employer account management, job seeker resume review, or job order enhancement. Employer engagement creates the opportunity to assess the quality of services to the employer community. Employer feedback, forums, and satisfaction surveys help identify areas for continuous improvement.

The SWA will also provide technical services and convene informational meetings for foreign labor stakeholders, agricultural employers, and service providers interested in the American Job Center services including the H-2A foreign labor certification program. The SWA will provide assistance to agricultural employers during field visits by: distributing informational brochures and required posters, assessing employer's labor needs, taking job information, and recommending the Agricultural Recruitment System (should local workers not be readily available).

H-2A local offices are those offices whose neighboring agricultural employers file H-2A job orders and may have referrals to those orders. The local office should carry out active referrals until the employer's H2A workers depart for the work site (at least two days before the employer's set start date for work on the job order). The SWA's Foreign Labor Specialist (FLC) will oversee the foreign labor related activities pertaining to processing the Agricultural Clearance order ETA form 790 for H-2A. In addition, the FLC will be the liaison on this process with the US DOL Office of Foreign Labor Certification and related processing center. The FLC will also provide technical services and convene information meetings for foreign labor stakeholders, agricultural employers, and service providers.

When employers request foreign workers through the H2-A program the FLC oversees procedures described below to advertise the job opening. The H-2A is governed under US DOL ETA 20 CFR Part 655 and Wage & Hour Division 29 CFR Part 501, Temporary Agricultural Employment of H-2A Aliens in the United States; Final Rule February 12, 2010. The H-2A non-immigrant worker visa program enables U.S. agricultural employers to employ foreign workers on a temporary basis to perform agricultural labor or services.

In Maine, the H-2A related job orders are administered through the Bureau of Employment Services (BES) and the Bureau of Labor Standards (BLS) at the Maine Department of Labor (MDOL). Job

openings intended for H-2A labor certification program are entered on America's Job Link through the Maine JobLink (MJL). These listings can be seen by potential workers in all 50 states. The FLC reviews the H-2A related Agricultural Clearance Order form ETA 790 for accuracy and compliance with the H-2A federal regulations before the job order is uploaded on the Maine JobLink by H-2A staff, and prior to employers forwarding a request for foreign workers to the USDOL ETA Office of Foreign Labor Certification H-2A National Processing Center. The jobs are also entered into the Interstate Clearance System to Florida, Vermont, and New Hampshire. These are supply states that often have workers who are willing to move to accept employment on a seasonal basis. The Interstate Clearance System is an agreement between states that have a shortage of workers and those states that have a surplus. The state with the shortage sends information on the job and what the employer is willing to provide in order to recruit workers. The surplus state informs local offices that have a surplus of agriculture workers of the job opportunities and see if any wish to relocate for the harvest season.

Other Requirements: The State Monitor Advocate was provided the opportunity to review the AOP in its draft and final stages and approved the plan as submitted.

Review and Public Comment The state solicited information and suggestions from the WIOA 167 National Farmworker Jobs Program (NFJP) grantee, other appropriate MSFW groups, public agencies, agricultural employer organizations, and other interested organizations in developing the Agricultural Outreach Plan. The State provided a proposed plan to the following entities: Maine Department of Education-Migrant Education Program, Maine Mobile Health Program, Maine Migrant Health Program, the Refugee and Human Rights Clinic Program, Maine Human Rights Commission, the University of Maine School of Law-Immigrant and Legal Advocacy Project, University of Maine Cooperative Extension, Maine Farm Bureau, Maine Department of Agriculture, Conservation and Forestry, Mano en Mano (migrant worker family center), Maine Family Planning, the National Farmworker Jobs Program 167 grantee – Eastern Maine Development Corporation, and Pine Tree Legal (Farm Worker's Division). MDOL operates under an executed MOU with Eastern Maine Development Corporation (EMDC), the 167 Grantee for the NFJP. The Memorandum of Understanding between MDOL and EMDC will facilitate the exchange of data pertaining to services provided to MSFWs. The SWA considered all comments received in formulating its final proposed AOP and informed all commenting parties in writing whether their comments were incorporated.

For comments and MDOL response, see Appendix F Response to Comments Regarding 2020-2023 Agricultural Outreach Plan.

WAGNER-PEYSER ACT ASSURANCES

WP Assurance-1 Wagner-Peyser Employment Services are co-located with one or more core partners other than veteran's services or unemployment compensation. Currently, vocational rehabilitation services are co-located with employment services in all one-stop centers. In most center's employment services are also co-located with Title I-B service providers. In those center's where these two partners are not housed together, staff from each program have visiting times and staff of each program are available at the other site. Employment services are made available through technology (Maine JobLink) to all affiliate sites.

WP Assurance-2 The Maine Department of Labor, Bureau of Employment Services, also referred to as the State Workforce Agency, is compliant with the requirements under proposed 20 CFR 653.111 as it does not have any significant Migrant Seasonal Farm Worker (MSFW) one-stop centers. However, Maine's one-stops do provide access to Spanish speaking staff and a multilingual service line in place to MSFW participants whenever necessary.

WP Assurance-3 State of Maine statute identifies criteria pertaining to agency collaboration for individuals with disabilities receiving vocational rehabilitation services. Vocational Rehabilitation and Wagner Peyser services are both housed under the Maine Department of Labor. Maine Revised Statute: Title 26, Chapter 19, Section 12, Subchapter 2, Article 1, Section 1411-D articulates these requirements⁵⁶.

WP Assurance-4 Although recent guidance provides for flexibility now, the State will continue to utilize State, merit-based employees of the Maine Department of Labor to provide Wagner-Peyser Act funded services.

⁵⁶ [Title 26, Chapter 19, Section 12, Subchapter 2, Article 1, Section 1411-D http://www.mainelegislature.org/legis/statutes/26/title26sec1411-D.html](http://www.mainelegislature.org/legis/statutes/26/title26sec1411-D.html)

ADULT EDUCATION AND LITERACY PROGRAMS

OVERVIEW

Maine Adult Education is best described as an education, life, and career pathways system that prepares adults for a productive life through postsecondary education/training and employment. Public school-based adult education is part of the Maine Department of Education (MDOE) and administered by the State Office of Adult Education. Over seventy providers located statewide offer courses in literacy and adult basic education, English language acquisition, citizenship, high school completion, college transition, career preparation and personal enrichment. These local programs provide services at a variety of locations, including correctional facilities; use a variety of instructional strategies, including face-to-face and distance technology; and are funded by a combination of federal, state and local dollars. Programs use these funds to leverage additional grants and contracts.

In support of the mission and purpose of Maine Adult Education, the following language is included in State Statute. “Since education is a lifelong process, it is declared to be the policy of the State to provide and encourage the growth of educational opportunities and, where applicable, to ensure career, citizenship and college readiness for all adults.”

In 2012 a language change in statute made this clarification:

“Adult Education” means an education program primarily operated for individuals beyond the compulsory school age that is administered by school administrative units through a career pathways and service system and includes intake, assessment, advising, instruction, and individual learning plans; is guided by data management and analysis, annual monitoring and annual professional development plans; uses appropriately certified staff; is designed to meet identified local needs; and makes use of partnerships and alignment with workforce development, postsecondary institutions and support services.

(A) ALIGNING OF CONTENT STANDARDS

Describe how the eligible agency has aligned its content standards for adult education with State-adopted challenging academic content standards, as adopted under section 1111(b)(1) of the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. 6311 (b)(1)).

Alignment of adult education curricula and instruction with state-adopted academic standards (the Maine Learning Results since 1997) is not new to Maine Adult Education. Providers that issue an adult high school credential must align with the required standards and learning outcomes of their corresponding high school. In 2011, the Maine Learning Results were updated to include Common Core State Standards (CCSS) for English language arts and math and were implemented in the 2013-14 school year. This presented a challenge for adult education as the CCSS were not normed for adult learners.

In the spring of 2013, the U.S.D.O.E. Office of Career, Technical and Adult Education (OCTAE) released the College and Career Readiness Standards (CCRS) for Adults. These research-based standards are drawn from those common core standards that are most relevant for adults to meet 21st century college and career readiness skills. Maine Adult Education adopted the CCRS and met its goal of statewide integration into instructional practice by SY2016-2017. Extensive professional development in the college and career standards for instructors in the areas of reading, language arts and mathematics has continued since it began in the spring of 2014.

To receive state and federal funding, CCRS implementation must be apparent in lesson plans and instructional delivery. Maine Adult Education also requires local providers to contextualize instruction and make use of research-based best practices in all content areas, including mathematics and reading, and in the implementation of Integrated Education and Training (IET) and Integrated English Literacy and Civics Education (IELCE). CCRS training is ongoing for both veteran and new instructors.

The adoption and implementation of College and Career Readiness Standards for Adults and other valid, research-based practices has enabled all WIOA and state literacy funded providers to meet both the state and federal requirements for research-based, rigorous instruction that prepares adults for postsecondary education, training and employment. Implementation of CCRS also

maintains alignment with State-adopted K-12 content standards and clarifies for students, institutions of higher education, as well as employers, that Maine Adult Education is a research and standards-based pathway to postsecondary education, training and career.

Maintaining high standards of instruction resulting in improved learner outcomes includes rigorous, standards-based classroom instruction; distance, online, and blended learning instructional environments; dual enrollment in postsecondary; and project and community-based learning. The goals of these strategies combined with contextualized content relevant to learner needs should enhance learner engagement and attainment of goals.

Specialized support continues to be given to programs striving to integrate CCRS into English language acquisition courses. To determine if progress is being made, the Sheltered Instructional Observation Protocol (a research-based and validated model that allows English learners to acquire academic knowledge as they develop English language proficiency) is a part of Maine's College and Career Readiness Implementation plan.

Beginning in the late summer of 2019, Maine Adult Education adopted the English Language Proficiency Standards (ELP) prepared in October 2016 by American Institute of Research. These standards correspond to College and Career Readiness Standards (CCRS). Training for instructors and administrators has begun and will be ongoing. Because the need to serve English language learners has been spreading throughout the state, steps will be taken to train all teachers on meeting the needs of English language learners.

(B) LOCAL ACTIVITIES

Describe how the State will, using the considerations specified in section 231(e) of WIOA, fund each eligible provider to establish or operate programs that provide any of the following adult education and literacy activities identified in Section 203 of WIOA, including programs that provide such activities concurrently. The Unified or Combined State Plan must include at a minimum the scope, content and organization of local activities.

Those local activities as noted in WIOA 203 are:

Adult education;

Literacy;

Workplace adult education and literacy activities;

Family literacy activities;

English language acquisition activities;

Integrated English literacy and civics education;

Workforce preparation activities; or

Integrated education and training that –

- 1. Provides adult education and literacy activities, concurrently and contextually with both. Workforce preparation activities, and workforce training for a specific occupation or occupational cluster, and*
- 2. Is for the purpose of educational and career development.*

The passage of WIOA in July of 2014 increased required outcomes for participants in Title II programs. The Maine state office recognized that the adult education system at that time consisted of many small providers with limited services, staff, and other resources necessary to successfully meet WIOA requirements. That long-established method of having many providers (at one point over 100) working independently of each other was not an effective use of resources or improving learner outcomes.

Input from literacy providers and various partners, and a review of performance data led the adult education state office to the concept of grouping area adult education providers into education and career development hubs. To optimize efforts for collaboration within the hubs, criteria required that each hub contain a local workforce board, at least one career center, a University of Maine system site as well as a campus of the Maine Community College system, local libraries, and if possible, not split counties.

The result was the creation of nine hubs located within the boundaries of the three local workforce boards. Each hub, consisting of 5-11 local adult education providers, vary in population density, economics, workforce priorities, number of WIOA eligible learners and distance between programs.

The establishment of the hubs shifted the local providers away from long established patterns of programs working independently and competitively. Hubs are an opportunity to:

- Enhance communication amongst local providers,
- Establish more efficient systems for maximizing resources, including staff expertise; expanding access for learners through use of technology for delivery of instructions and services to all programs within the hub, and developing authentic, reciprocal partnerships with multiple agencies,
- Expect high levels of instruction, advising and academic rigor in all programs throughout the hubs and the state,
- Promote an approach of collaboration and partnership amongst all current and perspective adult literacy providers by providing only one AEFLA grant per hub,
- Expand the hub concept to include the state funded Maine College and Career Access program

Section 231 (e) Thirteen Considerations

As required by the Workforce Innovation and Opportunity Act (WIOA) Maine Department of Education Office of Adult Education conducted a competitive Request for Proposals (RFP) to award multi-year funding to eligible agencies for the provision of WIOA Title II Adult Education and Family Literacy Act (AEFLA) Section 231. The initial grant cycle was for FY20-22 (July 1, 2019-June 30, 2021). Subject to continued availability of funding and demonstrated effectiveness as determined by outcomes, the Department may opt to renew the contract for two renewal periods, July 2021 through June 30, 2023 and July 1, 2023 through June 30, 2024.

Maine Adult Education state office determined to use the AEFLA FY20-22 Competitive Grant Application to require, and then ensure through ongoing desk and on-site monitoring that WIOA fund recipients address the requirements of the 13 Considerations. As a result of this compliance,

adult learners throughout the state have access to high quality, rigorous programming that encompasses the adult education and literacy activities included in Section 203 of WIOA.

Below are the requirements applicants for the 2020-2022 AEFLA RFP had to address. Successful applicants are contractually obligated to:

1. **Be responsive to the regional needs identified in the local board plan and serve individuals identified as most in need of adult education and literacy services.** How funded recipients will address the needs of sub-populations with barriers to employment as identified in the local plan had to be described.
2. **Serve eligible individuals with disabilities, including learning disabilities.** The processes and procedures in place to assess an individual's current needs and ability; the delivery of programmatic and instructional strategies to provide access and services to learners with physical, emotional, mental and learning disabilities as well as collaborations with other agencies where learners may be co-enrolled had to be explained.
3. **Past Effectiveness.** A demonstrated effectiveness form had to be completed that included: performance data from the past two consecutive years related to improving the skills of the target population in English Language Arts, mathematics, English language acquisition and other relevant subjects; and outcomes of participants related to employment, attainment of a high school credential or its recognized equivalent, and transition to postsecondary education and training. The form also required evidence of past effectiveness serving eligible individuals who are basic skills deficient, and steps to be taken to meet the state targets each year of the grant.
4. **Extent the applicant demonstrates alignment between proposed activities and services and the strategy and goals of the local plan as well as the activities and services of one-stop partners.** Alignment of activities and services with the strategies and goal of the local plan under WIOA Title I, section 108, as well as maintaining alignment with the activities and services of the one-stop partners had to be described. The local adult education providers had to focus on programs, activities and services that expand opportunities for education, employment, training and supports for WIOA eligible individuals. Local boards reviewed the applicants' responses for appropriate evidence of that type of alignment. Local boards, local providers and one-stop partners must work together during the period of this plan to move the activities forward to meet plan goals.

5. **Demonstrate that the program is of sufficient intensity and quality and based on rigorous research so participants will make substantial learning gains as well as use instructional practices that include the essential components of reading instruction.** Grant recipients had to describe the evaluative methods used to ensure instruction is of sufficient intensity and duration to be effective. A description of program design including strategies for outreach, recruitment, retention; evidence-based research used to inform instruction and instructional strategies used to achieve substantial learning gains and how the CCRS for Adults are incorporated into the curricula had to be included. How integrated academics, skills and knowledge learners need to transition successfully to career and postsecondary and steps for the consideration of addressing special learning needs had to be explained. Instructional practices employed to include essential components of reading instruction that takes into consideration diverse learning needs and NRS levels were described. Examples of learning in real life contexts to ensure the learner has the skills necessary to compete in the workplace and to exercise the rights and responsibilities of citizenship were required.
6. **Deliver instruction in reading, writing, speaking, mathematics and English language acquisition that is aligned with the state-adopted College and Career Readiness Standards and based on best practices derived from the most rigorous research available.** The scientific research upon which instruction is based to improve literacy skills needed to be described. How the success of such practices will be assessed needed to be included as well as how CCRS will be used to inform instruction, including how best practices will be integrated into classroom instruction.
7. **Describe activities that effectively use technology, services and delivery systems, including distance education in a manner sufficient to increase the amount and quality of learning and how such technology, services, and systems lead to improved performance.** How the provider will support and ensure the integration of technology *into* instruction, including how software and equipment will expand access to effective learning and increase a learner's digital literacy had to be described.
8. **Deliver activities that provide learning in context, including through integrated education and training, so that an individual acquires the skills needed to transition to and complete postsecondary education and training programs, obtain and advance in employment leading to economic self-sufficiency, and to exercise the rights and**

responsibilities of citizenship. How the provider will design and implement an Integrated Education and Training (IET) model that combines basic educational, employability and occupational skills had to be defined; including the proposed IET activities that enable participants to acquire skills needed for success in postsecondary education and training programs, employment and citizenship. A description of how the IET is the result of collaborations with workforce, employer and postsecondary partners was also required.

9. **Ensure that activities are delivered by well-trained instructors, counselors and administrators who meet the minimum state qualifications and certifications, where applicable, and how access to high quality professional development, including through electronic means will occur.** The number of employees, details regarding their duties, employment status (full or part time), weeks contracted to work, amount budgeted for position and location, certification and expiration date had to be provided. In addition, employees funded by WIOA had to be included in the applicant's plan for instructor and director professional development (PD). Applicants had to describe how PD participants will be identified, how information regarding PD opportunities will be disseminated, and how implementation of PD learning will be assessed. Applicants also had to identify the process for ensuring that each staff/instructor completes high quality professional development (in multiple delivery modalities) and how many hours of paid PD are provided.
10. **Coordinate activities with other available education, training, and social service resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, institutions of higher education, local workforce investment boards, one-stop centers, job training programs, and social service agencies, business, industry, labor organizations, community-based organizations, nonprofit organizations, and intermediaries, for the development of career pathways.** The coordination with local resources to develop partnerships needed to be described. The process used to ensure timely and seamless referrals between partner agencies; coordinating with the local one-stop center, local businesses and industry; fulfilling one-stop WIOA requirements; ensuring the transition of learners into Maine College and Career Access programming and/or to postsecondary institutions; and a description of academic and career related counseling and other support services to improve retention and learner success had to be submitted.

11. **Provide activities that offer flexible schedules and coordination with Federal, State, and local support services (such as child care, transportation, mental health services, and career planning) that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs.** Examples had to be included of: how the needs of individuals, including those with disabilities and/or special needs will be determined and addressed; how coordination for support services will take place to address their needs; how an advisor will be used to assist learners with career planning and in identifying career pathways based on learner interests and aptitude; how barriers to program completion will be identified and addressed; and how the referral process to support services to minimize barriers to learning will be implemented. Applicants also had to provide a sample of a flexible class schedule that enables participants, including those with special needs, to attend and complete programs and describe wrap around services to support participant success and increase completion rates.
12. **Maintain high-quality, accurate data of measurable participant outcomes (consistent with WIOA §116) in the state adult education managed information system and monitor program performance to demonstrate the ability to meet the goals outlined here through a variety of data sources, including academic assessment scores, attendance, and activity data.** The data collection process, quality controls, review of data procedures and how data will be used to improve performance, increase recruitment, and retention efforts had to be described.
13. **Deliver additional English language acquisition programs and civics education programs in the local areas of demonstrated need.** How data is used to describe the population and needs of English language learners in their service area; their experience providing English language acquisition and civics education instruction and services; and how their program model leads to high school completion, postsecondary training and unsubsidized employment had to be explained.

SPECIAL RULE

No eligible agency shall use any funds made available under this Title for adult education literacy services for the purpose of supporting or providing programs, services or activities for individuals who are under the age of 16 and are enrolled or required to be enrolled in secondary school under State law, except that such agency may use such funds for such purpose if such programs, services, or activities are related to family literacy activities. In providing family literacy activities under this title, an eligible provider shall attempt to coordinate with programs and services that are not assisted under this title prior to using funds for adult education and literacy under this title for activities other than activities for eligible individuals.

(C) CORRECTIONS EDUCATION AND OTHER EDUCATION OF INSTITUTIONALIZED INDIVIDUALS

Describe how the State will establish and operate programs under section 225 of WIOA for corrections education and education of other institutionalized individuals, including how it will fund, in accordance with the requirements of Title II subtitle C, and of the following academic programs for:

Adult education and literacy activities;

Special education, as determined by the eligible agency;

Secondary school credit;

Integrated education and training;

Career pathways;

Concurrent enrollment;

Peer tutoring; and

Transition to re-entry initiatives and other post release service with the goal of reducing recidivism.

Each eligible agency using funds provided under Programs for Corrections Education and Other Institutionalized Individuals to carry out a program for individuals within a correctional institution must give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program.

Maine Adult Education has a strong collaboration with correctional institutions and has increased both educational programming and instructor professional development opportunities within the past two years. Programs and services are available in state prisons, county correctional institutions, local jails, youth facilities and reentry centers. Examples of this partnership include recent efforts to not only increase

educational and career pathway programs, but to also enhance collaborative planning and coordination. As a result of this integrated career planning process, adult education programs providing services to Maine correctional facilities have educational programs that are aligned, are using the same assessment tools, and are entering data in the State's adult education longitudinal data system, MaineSTARS. The inclusion of this learner data in the adult education data system facilitates the continuity of services should a learner be transferred to another or be released.

In the spring of 2019, Maine Adult Education put forth a new AEFLA competition for the initial period of July 1, 2019-June 30, 2021 with the option of two renewal periods between July 1, 2021 and June 30, 2024. Beginning in FY18, the state established nine adult education and career development areas that were aligned with the boundaries of the three local workforce boards. To encourage innovation and maximize efficiencies and resources, local adult education providers within these geographic areas were formed into hubs. With only one award anticipated for each hub, interested applicants were encouraged to collaborate with other eligible service providers. While correctional facilities were involved in the AEFLA competition as part of a hub, and collaborative planning takes place, Department of Corrections has chosen over the last several years to fund its own educational programs and services.

In addition to the AEFLA criteria of "eligible providers" (WIOA §203(5), 34 CFR 463 Preamble) applicants proposing to deliver corrections education and education for other institutionalized individuals had to provide evidence of demonstrated past effectiveness in delivering corrections education. An eligible provider could demonstrate past effectiveness by providing two consecutive years of performance data showing their effectiveness in serving eligible individuals in correctional institutions. (*state requirement*)

AEFLA funds are used to provide educational programming to eligible corrections learners in the following areas: adult basic education, literacy, English language acquisition, adult secondary school completion and high school equivalency preparation, concurrent enrollment, college transition, integrated education and training, peer tutoring, workforce preparation and transition services. Individuals expected to be released within five years receive priority of service.

To better serve incarcerated individuals, Maine Adult Education AEFLA recipients are committed to making the partnership with corrections even stronger by focusing efforts on:

- Increasing support and attention to reentry activities. Priority will be given to those who are likely to leave the correctional institution within five years of participation in the program. Of those currently incarcerated in local and county jails, 100 percent are scheduled to leave the facility

within five years. For those in DOC facilities, 90 percent were sentenced to five years or less. When all sentences to DOC are averaged, the average length of incarceration is 18 months.

- Increasing capacity to serve low level learners. DOC has recently undertaken the goal of administering the CASAS appraisal in math and reading as part of the intake process for all prisoners entering the system. Currently 76 percent of prisoners tested were below the CASAS score of 236 in math and below 236 in reading. There is a need for more intensive service and supports to enable these learners to advance to Adult Secondary Education (ASE low).
- Enhancing access to College and Career Readiness educational opportunities and workforce preparation activities.
- Expanding access to support services that enable these individuals to transition to full, productive members of our communities.

Prisoners in Prerelease are served in five facilities that offer educational programming that include the opportunity to earn a high school credential. Depending on the facility, there are also a variety of vocational programs. Building on the successful integration of educational services, attention will now be given to increasing advising and career pathways services. As part of those career pathways services, WorkReady, a standards-based employment skills program leading to a state recognized credential is presently offered in the Maine State Prison, Maine Correctional Center, Bolduc Correctional Facility, and the Southern Maine Reentry Center as well as six county jails. To reduce recidivism, the goals of the adult education and DOC partnership include a continued emphasis on an integrated and aligned approach to program services and skills training opportunities to ease the stress of transitioning back into the community, and to create a *gentle handoff* approach.

Maine Adult Education will also increase the integrated, professional development opportunities available to all workforce development partners, including corrections. At the same time, the Department of Corrections made the commitment to have its self-funded educational programs meet all the performance standards of an approved adult education program. Efforts to intensify the integration of professional development between adult education and corrections included a daylong Maine Corrections Education Forum. The forum brought together Corrections and Adult Education personnel and resulted in the establishment of several integrated working groups charged with improving the coordination of intake, assessment, and reentry efforts between the agencies. For the first time in memory, DOC also organized an Education Steering Committee to bring state staff together for planning and training. These efforts are

now recognized as part of the way Maine Adult Education and Department of Corrections will work together.

Corrections personnel are invited to and attend adult education professional development programs offered by the state office. Topics have included training in College and Career Readiness Standards, Maine College Transitions, high school equivalency preparation, and use of MaineSTARS. The Department of Corrections has also contracted with local adult education programs to provide assessment services in two of its “unfenced” prerelease centers, with plans in place to contract for those services at the remaining centers. Corrections educational personnel also attend, and present at the Maine Adult Education Association Annual Conference.

To further establish successful alignment with adult education the Maine Department of Corrections Education Steering Committee also chose to use the Career Pathways Plan format and process as a strategic planning tool as they restructure educational programs for the State’s correctional facilities.

(D) INTEGRATED ENGLISH LITERACY AND CIVICS EDUCATION

Describe how the State will establish and operate Integrated English Literacy and Civics Education programs under Section 243 of WIOA, for English Language learners who are adults, including professionals with degrees and credentials in their native countries.

Section 243 of Title II AEFLA focuses on combining Integrated English Literacy and Civics Education with integrated education and training activities.

Specifically, section 243 states:

(c) Goal. Each program that receives funding under this section shall be designed to— (1) prepare adults who are English language learners for, and place such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency; and (2) integrate with the local workforce development system and its functions to carry out the activities of the program.

It is the purpose of Maine Adult Education under WIOA Title II Section 243 to provide Integrated English Literacy Civics Education (IELCE) and Integrated Education and Training (IET) programs, activities and services that also align with the Strategic Priorities in the Maine Unified State Plan for 2020-23. Specifically, **Strategic Priority #2. Create a system of lifelong learning and employment connection**

for Maine residents includes employment goals for New Mainers. This strategy is especially relevant to the work of AEFLA 243.

As required by the Workforce Innovation and Opportunity Act (WIOA) Maine Department of Education Office of Adult Education conducted a competitive Request for Proposals (RFP) to award multi-year funding to eligible agencies for the provision of WIOA Title II Adult Education and Family Literacy Act (AEFLA) Section 243, Integrated English Literacy and Civics Education/Integrated Education and Training. The Adult Education State Office followed all state policies regarding issuance of the AEFLA and AEFLA 243 procurement procedures. Announcement of grant availability was posted on the Maine Division of Procurement website and advertised in the Kennebec Journal for three consecutive days.

The initial grant cycle is for FY20-22 (July 1, 2019-June 30, 2021). Subject to continued availability of funding and demonstrated effectiveness as determined by outcomes, the Department may opt to renew the contracts for two renewal periods, July 2021 through June 30, 2023 and July 1, 2023 through June 30, 2024.

Beginning in FY18, the Maine Office of Adult Education established nine adult education and career development areas that aligned with the boundaries of the state's three local workforce boards. To encourage innovation and maximize efficiencies and resources, local adult education providers within these geographic areas were formed into hubs. As a condition of this award process (state requirement), the Maine Office of Adult Education anticipated no more than one award per Adult Education and Career Development Hub (AECDH) with demonstrated need.

The applications were reviewed and scored (using the state required consensus scoring model) by a team of adult education administrators from other states who possessed knowledge of Integrated English Literacy and Civics Education requirements. The appropriate local workforce board (LWB) also reviewed applications for alignment of proposed grant activities with the LWB plan.

Similar to the AEFLA application and award process, recipients of IELCE (243) funds were

required to demonstrate their eligibility to apply, demonstrated effectiveness and need for IELCE/IET services to meet the demands of the grant. Demonstrated need, according to the 2012-2016 American Community Survey, is 50 or more individuals aged 18-64 in the service area whose English is a barrier to employment (*state requirement*). Applicants determined to be ineligible because they did not meet the eligible provider of demonstrated effectiveness requirements were not considered for funding. Those

applicants were notified in writing that they were ineligible and had appeal rights as outlined in the AEFLA 243 application, PART V, F. Refer to PART V, A for the eligibility review process.

Eligible providers are organizations who have demonstrated effectiveness in two consecutive years (*state requirement*) in providing adult education and literacy activities. Organizations eligible to apply included: local educational agencies; community-based or faith-based organizations; volunteer literacy organizations; institutions of higher education; public or private nonprofit agencies; libraries; public housing authorities; a nonprofit institution having the ability to provide adult education and literacy services to adults; and a consortium of agencies, organizations, institutions, and libraries described above; a partnership between an employer and an entity described in any of the categories listed above (WIOA §203(5)); and other organization types, even if not specifically listed above, to apply if they met the demonstrated effectiveness requirement (34 CFR 463 Preamble).

Eligible providers could demonstrate past effectiveness in two ways:

- a. An **eligible provider** previously funded under Title II of the Act provided two consecutive years (*state requirement*) of performance to demonstrate past effectiveness in the areas listed below.
- b. An **eligible provider** not previously funded under Title II of the Act provided two consecutive years (*state requirement*) of performance data to demonstrate its past effectiveness in serving basic skills deficient eligible individuals, including evidence of its success in achieving outcomes listed in the WIOA Title II AEFLA Federal Requirements. (*See WIOA Final Rules Subpart C, §463.24 and 29 U.S.C 3272(5)*)

Applicants were also asked to provide data specific to English Language Acquisition, Civics Education, Integrated Educated and Training (and similar programs) and/or other relevant activities. If such data was not available, applicant were required to provide data related to an overall ability to provide Adult Education and Literacy activities as such activities are defined in WIOA, the Maine Unified Plan and in the next paragraph.

Evidence of demonstrated effectiveness included program performance data on its record to improve the skills of eligible individuals, in particular, individuals who are basic skills deficient in the content domains of reading, writing, mathematics, English language acquisition, and other subject areas relevant to IELCE services, information regarding its outcomes for individuals related to employment, attainment of secondary school diploma or its recognized equivalent, and transition to postsecondary education and

training. (34 CFR 463.24); and enrollment of learners in integrated education and training programs (and similar programs) and/or other relevant activities leading to industry-recognized credentials (*State requirement*).

In addition, funded applicants responded to the 13 Considerations with some adaptations in language to demonstrate how funds will be used to address the specific activities and programs required under WIOA Title II 243.

- Funded programs were required to provide programming of sufficient intensity and quality for eligible participants to achieve substantial learning gains, build on their existing knowledge and integrate academics, skills and knowledge the learners need to transition successfully to career, postsecondary education and a productive life. Instruction must be delivered in real life contexts to ensure that an individual has the basic English language and workplace skills needed to compete in the workforce and to exercise the rights and responsibilities of citizenship. This also included describing all factors considered in developing an instructional model that maximizes the opportunities for learners, including those with degrees, professional certifications and work experience, to attend and make progress, and to describe how access to instruction and support services are provided.
- Funded programs also described how they will use the funds for expenditures that are allowable, reasonable and allocable as permitted by EDGAR, Uniform Grant Guidance, and by WIOA Title II, WIOA Title II Rule and Joint Rule. Funding must be used to support the development, planning, and operation of Integrated English Literacy and Civics Education/Integrated Education and Training programs to eligible individuals and across their adult education and career development hub (*state requirement*).

Integrated English literacy and civics education in combination with integrated education and training 243 funding should be used for:

(a) co-enrolling participants in integrated education and training as described in 34 CFR 463.35 and 34 CFR 463.36 that is provided with a local workforce development area from sources other than section 243 of WIOA; or

(b) supporting integrated education and training activities as described in 34 CFR 463.35 and 34 CFR 463.36.

Co-enrollment will be enhanced by funding recipients as they design programs in collaboration with the local workforce development board, career center staff and other one-stop partners.

(E) STATE LEADERSHIP

Describe how the State will use the funds to carry out the required State Leadership activities under section 223 of WIOA.

(1) Required Activities

- A) The alignment of adult education and literacy activities with other core programs and one-stop partners, including eligible providers, including the development of career pathways to provide access to employment and training services for individuals in adult education and literacy activities.*

Due to Maine's geographic challenges and limited state and federal funding, educational, workforce system and support agencies rely heavily on collaboration, coordination and alignment of services. At the state level, adult education and postsecondary leaders recognize the role adult education can play in addressing the challenge of adult education completion. Adult education participates in the Adult Promise and All Learning Counts (ALC) initiatives supported by grants from the Lumina Foundation. All partners, including representation from the Department of Labor, are working together to address the state goal of 60 percent of Maine's adults having credentials of value by 2025. The ALC, with its focus on in-demand micro-credentials of value is a means of forming career pathways into Maine's employment sectors. These micro-credentials can be especially effective in engaging learners who need to earn their high school credentials; need to accelerate their academic pathway through contextualized coursework, especially for English language learners; and for adults with some postsecondary but no credentials. Literacy assessments often reveal the need to improve foundational skills in literacy and numeracy.

After three years of work, Maine Adult Education and the Departments of Labor and Vocational Rehabilitation have gone live with W.O.R.K. Services. This integrated referral and registration system is easily accessible to individuals and provides users with information to assist with education and/or employment. The system will also enable the partner agencies to share

participant information (with permission) that will result in the ability to provide appropriate services and information in a coordinated and non-duplicative manner.

Successful full-scale deployment of this joint participant portal will require substantial cross-agency professional development in its use. The core partners will also analyze user data to determine opportunities for additional cross-training at the local program level.

Adult education representation on the State Workforce Board and on each of the three local boards also strengthens workforce development efforts. It facilitates communication by bringing decision makers together to work on program development that meets the needs of the state and local plans. They also work with partner agencies in the development and honoring of MOUs to support learner transition to college, career and employment.

B) The establishment and operation of high quality professional development programs to improve instruction provided pursuant to required local activities, including instruction incorporating the essential components of reading instruction as such components relate to adults, instruction related to the specific needs of adult learners, instruction provided by volunteers or by personnel, and dissemination of information about models and promising practices related to such programs.

The goal of Maine Adult Education's leadership efforts is to provide Maine's adult educators with the skills and supports they need to assimilate new learning and effectively implement new content/strategies that result in learner outcomes as associated with WIOA. This type of continual learning environment supports instructors, staff and administrators in their development of professional and leadership skills that in turn, maximize the potential for success of the adults they serve. Technical assistance that is intellectually stimulating, builds confidence, and values the attendees encourages participation. To make the most efficient use of leadership funds, a variety of professional development formats and delivery systems are utilized, including:

- Implementing a teacher-trainer model that builds local capacity;
- Supporting a state office professional development coordinator who creates, delivers, brokers and shares professional development and training opportunities for both paid and volunteer instructional staff. Contract providers are brought in as needed to provide specific areas of expertise;
- Offering a variety of delivery platforms to address the geographic challenges of delivering statewide training in a large, rural, state. These include webinars, video-conferences, blended learning formats, asynchronous courses, and regional meetings.

- Developing and supporting educational leadership in programs in order to build the capacity of administrators to effectively lead their staff and manage their programs;
- Exploring feasibility of enrolling program leaders in a leadership program designed specifically for adult education;
- Using the state's adult education listserv to disseminate information about regional and national training opportunities, articles of interest, and encourage discourse and sharing of best practice among practitioners; and
- Utilizing the Maine Professional Development Portal, a web-based tool used to list professional development opportunities, register participants and serve as a repository for participant transcripts⁵⁷

Each year the state surveys local program staff to determine professional development needs. Survey results, as well as performance data are used to assess identified needs. The state office offers training in best practices to address areas of weakness evident from program monitoring and alignment with federal adult education initiatives.

Targeted professional development is planned to address CCR standards, implementation of English Language Proficiency (ELP) standards, distance learning and technology integration, IET, instructional strategies, use of data for program improvement and decision making, college transitions, development of micro-credentials, IELCE, Ability to Benefit, and employability skills.

C) The provision of technical assistance to eligible providers of adult education and literacy activities receiving funds under this title, including –

- i. The development and dissemination of instructional and programmatic practices based on the most rigorous or scientifically valid research available and appropriate in reading, writing, speaking, mathematics, English language acquisition programs, distance education, and staff training;*

Based on needs assessments of local program professional development surveys and compliance with federal and state requirements, Maine Adult Education will continue to offer training opportunities in rigorous and scientifically valid instructional practices and

⁵⁷ [Maine Professional Development Portal www.pdportal.maineadulted.org](http://www.pdportal.maineadulted.org)

learning theories, data collection and management, assessment, academic and career advising, job skills, and college transition.

With the changing demographics of Maine, more local adult education programs are providing services to English Language Learners. For many programs this is a new area of work. The state team provides professional development to help programs and teachers serve them. These professional development opportunities help dedicated teachers of English Language Learners as well as content teachers who are finding an increasing number of ELL's in their classrooms. Courses include:

- Introduction to the English Language Proficiency Standards
- Mathematizing ESOL
- Nexus of Rigor and ESOL Instruction

Technical assistance is also planned in:

- CCRS implementation as approved in Maine's CCR-SIA Sustainability Plan
- Research-based professional development in mathematics. Maine will repeat trainings in Adult Numeracy Instruction (ANI) and AR2. A team of adult educators participated in a year-long process at the request of the community college system to be involved with its math pathways work. Follow up work will be done to align adult education math courses to meet community college expectations of learners.

Instructors will be exposed to recent research that has identified conceptual understanding in mathematics as a key concept in mastering the College and Career Readiness Standards. Technical assistance to address this will be provided to help instructors promote conceptual understanding with their students at all levels of mathematics.

English language instructors will learn how to deepen their own understanding of math and how to integrate math and numeracy into ESOL classrooms. The goal of this training is to offer strategies for making math accessible to all levels of ESOL learners.

- Research-based professional development in reading. Maine will continue to implement the Reading Apprenticeship Program (RAP), a research-based and research-proven instructional framework for improving adult reading. Through a train the trainer model, instructor capacity is built in the essential components

of reading instruction or the explicit and systematic instruction including the following: phonemic awareness; phonics; vocabulary development; reading fluency, including oral reading skills; and reading comprehension strategies.

Maine Adult Education will reach out to neighboring New England states to explore the creation of a regional approach to Student Achievement in Reading (STAR) training. This collaboration may enable Maine and the partner states to share the financial responsibility of expanding STAR and enable each state to increase both the number of certified instructors and the implementation of STAR.

The role of eligible providers as a one-stop partner to provide access to employment, education, and training services – The core partners are committed to cross agency professional development efforts at both the state and local levels. Steps will be taken to ensure that staff at all agencies is informed of partner services and able to help adults seamlessly access employment and workforce services.

And

- ii. *Assistance in the use of technology, including for staff training, to eligible providers, especially the use of technology to improve system efficiencies.*

Maine Adult Education will continue to make use of technology to provide instruction and professional development. As part of the IDEAL consortium, the state office provides Distance Learning 101 and 102. These combined courses allow programs to become familiar with the characteristics of a successful blended/distance learning experience, learn about best practices for delivering distance education and develop a plan for how their hub/program will deliver distance learning. Professional development is regularly offered to support programs in choosing/creating accessible, engaging distance content and supporting distance learners. Courses such as Learner Accessibility and Universal Design for Learning provide teachers with concrete tools to create/evaluate online learning. Instructors and staff are also provided with opportunities to enhance their own foundational digital literacy skills. This enables them to model/create/facilitate successful blended learning.

- D) *The monitoring and evaluation of the quality of, and the improvement in, adult education and literacy activities and the dissemination of information about models and proven promises within the State.*

Maine Adult Education implements a Continuous Improvement Monitoring Process for evaluating adult education programs. The monitoring process consists of three key components: on-going, data-based desk audits; educational program reviews; and on-site program monitoring. Monitoring and evaluation are guided by the goal of deepening relationships and understanding between the state office and local programs.

Annual Evaluations

The state office reviews each program for compliance with the Maine State Legislature's definition (LD 1780) of adult education as well as WIOA requirements. Programs that score high on the risk analysis for such things as having a new director, consistent late or incorrect reporting, not meeting objectives, or fiscal irregularities become priorities for monitoring. Programs that are not meeting their responsibilities and/or objectives are provided with additional technical assistance to help them to come into full compliance.

Data-based Desk Audits

Student performance data and other program information are reviewed regularly by the adult education state office data coordinator. This data review guides ongoing conversations with local programs. All programs receiving AEFLA or state funds must enter student data at least monthly into MaineSTARS, an NRS compliant managed information system. Local programs must collect and document student information regarding student goals, educational functioning level, progress and achievements. Programs review data at least quarterly to ensure completeness, accuracy and to determine their standing regarding projected outcome targets. MaineSTARS generates annual reports on student performance measures for submission to OCTAE. The state data coordinator creates and distributes program specific reports which compare local program data with state targets.

On-site Reviews

The state office conducts on-site reviews at least every five years guided by a review instrument tailored to programs funded by AEFLA. The on-site program reviews provide an additional effective tool for continuous improvement. The key benefits of this monitoring strategy are:

- Self-assessment by local programs,
- Cross fertilization of information for best practices and strategies,
- Development of baseline for program improvement, and
- Staff development and technical assistance.

An on-site visit may also be triggered based on the Maine Adult Education Risk-based Monitoring System indicators.

(2) Permissible Activities

A) The support of State or regional networks of literacy resource centers.

Maine adult education leadership funds are used primarily to fund a state level professional development coordinator position and to implement the train the trainer model for required trainers. The state office has found this to be a much more effective system in terms of costs and use of resources than the former centralized literacy resource center. The current model will continue as it has demonstrated effectiveness in building capacity. Local adult education programs are also grouped into regional hubs. The state office also provides customized technical assistance for needs within specific hubs.

B) The development and implementation of technology applications, translation technology, or distance education, including professional development to support the use of instructional technology.

Maine uses instructional technology as a conventional and standard modality for delivering professional development. Using an industry recognized learning management system, traditional professional development content is being translated into blended, synchronous and asynchronous learning opportunities. The state office is modeling effective integration of instructional technology and supporting training for practitioners ready to incorporate this modality into instructional practice. Additionally, the state office has partnered with the Center for Applied Special Technology, or CAST. CAST is a recognized leader in the field of Universal Design for Learning. This partnership involves consultation and training in creating and delivering digital learning experiences that expand access to learning for all individuals. The state office and local programs also partner with the Maine Department of Labor (MDOL), Bureau of Rehabilitation Services (BRS).

C) Developing and disseminating curricula, including curricula incorporating the essential components of reading instruction as such components relate to adults.

Maine adult education continues to build capacity by training local teachers in the research-based program Reading Apprenticeship. Because Maine is a local control state and educational statutes assert it is the right of local school units and not the state to develop and/or adopt curricula, the adult education state office does not disseminate curricula, but does make recommendations and provide high quality professional growth opportunities.

D) Developing content and models for integrated education and training and career pathways.

Local programs are working with postsecondary partners and local workforce boards to determine appropriate alignment of educational pathways to career pathways. Their successes are shared with other providers. As part of the most recent AEFLA competition, each grant recipient is required to offer at least one IET.

E) The provision of assistance to eligible providers in developing and implementing programs that achieve the objectives of this title and in measuring the progress of those programs in achieving such objectives, including meeting the State adjusted levels of performance described in section 116(b)(3).

State assistance is provided to local programs to address required data elements and to implement best practices that will ensure measuring progress accurately. Monthly data driven webinars will be conducted by the state adult education data coordinator as well as regular in-person trainings to address data professional development needs as necessary. Program monitoring is also conducted and includes local site visits and real-time desk audits. Required data reports identify problems as they arise to ensure timely assistance is given to eligible providers. Funding to eligible providers is based on program outcomes including overall educational gain percentages and employment and college placement outcomes as defined in WIOA section 116 (b)(3).

F) The development and implementation of a system to assist in the transition from adult education to postsecondary education, including linkages with postsecondary educational institutions or institutions of higher education.

The goal of the Maine College Transition (MCT) program had been to transition adults into postsecondary without the need for remedial courses once enrolled. Local instructors were trained in the development of courses and experiences to address the areas of successfully integrating into the college culture, gaining sufficient levels of digital literacy, and financing postsecondary education and/or training in a responsible way. These topics chosen in response to requests from postsecondary partners.

Without losing any of the MCT foundations, the program was expanded to serve and engage more learners. The MCT became Maine College and Career Access (MCCA). This rebranding is more than a name change. MCCA addresses the attainment of skills necessary to prepare adults to enter

postsecondary and/or employment or training programs. Learners receive the foundational skills they need as well as academic advising and career planning services, financial aid assistance, college planning and tours, ACCUPLACER testing and the World of Work Inventory (WOWI).

Local programs will continue to increase postsecondary collaborations, including the articulation of coursework and presence of adult education providers on higher education campuses.

G) Integration of literacy and English language instruction with occupational skill training, including promoting linkages with employers.

The role of adult education providers in preparing English language learners for the workforce is expanding. In addition to providing direct instruction and advising, local programs connect learners with other state and local service providers. Both the state office and local providers are much more engaged in meeting with employers, trade associations, and chambers of commerce to learn employer needs and develop appropriate programming. English language learners are relocating to more areas of the state and workplaces. They arrive in Maine with a range of English language, academic and work skills. Some are highly educated professionals unable to gain meaningful employment due to a lack of English competency. Others need to start with the most basic introduction to the English language. Integrated English language, civics education, work skills and academic training help accelerate entry into employment.

As part of the Maine IELCE program, local providers are expected to integrate employability skills and those who receive 243 funds are to work with employers to develop integrated education and training opportunities leading to unsubsidized employment.

H) Activities to promote workplace adult education and literacy activities.

Maine adult education has offered a Department of Education WorkReady certificate since 2000. This 60-hours standards-based curricula was developed in cooperation with local workforce boards and employers. The core curricula can be enhanced with the addition of hard skills to fit the needs of specific employers. The program is offered by trained facilitators at locations such as adult education programs, career centers, correctional facilities, high schools, career and technical education sites, and social service offices.

The next areas of focus for the FY 2020 plan include broadening the approach to focus on employability skills and the embedding of these skills in all instructional areas and implementing 21st century skills badging to support the work being done in the development of micro-credentials.

1) Identifying curriculum frameworks and aligning rigorous content standards that –

- i. specify what adult learners should know and be able to do in the areas of reading and language arts, mathematics, and English language acquisition; and take into consideration the following: state adopted academic standards; the current adult skills and literacy assessments used in the state or outlying area; the primary indicators of performance described in section 116; standards and academic requirements for enrollment in non-remedial, for-credit courses in postsecondary educational institutions or institutions of higher education supported by the state or outlying area; where appropriate, the content of occupational and industry skills standards widely used by business and industry in the state or outlying area.

In 2014, Maine Adult Education adopted the College and Career Readiness Standards (CCRS) with the goal of statewide integration into instructional practices by SY2016-17. These standards focus on high-level reading skills, critical thinking, comprehension of concepts, and applications to real world situations. In mathematics, this looks like mastering underlying concepts, procedures, and applications of math to real world problems. Math lessons are coherent as students develop skills, building on previous knowledge. In ELA/literacy, CCRS manifests itself in teaching for complexity, evidence and knowledge with more complex tests, confirming that students identify evidence in the text to support their ideas and responses. In English language acquisition, local programs are striving to support students in achievement of functional levels of literacy and numeracy that will enable them to gain employment and postsecondary training. Emphasis on sustainability of CCRS concepts so all teachers are trained and adept at integrating these standards into curricula and lessons will continue.

All local adult education programs in Maine are required to use CASAS tools for student assessment of educational functioning level and diagnostics. CASAS

pretesting and posttesting are used to document educational gain as described in Section 116 as a primary indicator of performance. Additional assessments include the CASAS Employability, ACCUPLACER and HiSET equivalency test to provide specialized diagnostic information for college and career readiness and high school equivalency.

Within the Maine Department of Education, the dialogue between adult education and Career and Technical Education will be expanded to allow for the exploration of career pathways and additional vocational inventories in advising adult learners. The Maine Unified Plan also points to new partnerships and activities between adult education and the Maine Department of Labor that will include cross agency professional development to enhance collaboration and alignment.

J) Developing and piloting of strategies for improving teacher quality and effectiveness.

Maine has updated an asynchronous online course, *Navigating the Waters of Maine Adult Education*, which offers a broad overview of the adult education landscape in Maine to new teachers, administrators and support staff. The state team is also working with the certification office to determine appropriate pathways to qualify teachers of adults to enter the field.

K) The development and implementation of programs and services to meet the needs of adult learners with learning disabilities or English language learners, which may include new and promising assessments tools and strategies that are based on scientifically valid research, and identify the needs and capture the gains of such students at the lowest achievement levels.

Partnerships are crucial in guaranteeing equal access to all learners and in providing high quality services to meet the needs of adult learners with disabilities and those at the most basic literacy levels. As core partners, the Bureau of Rehabilitation Services (BRS) and Adult Education work closely to cross develop an effective referral system and train staff to use it appropriately. BRS has in the past and will continue to provide professional development for adult education providers.

The state office of adult education provides CASAS diagnostic training to help other eligible providers identify skill needs to determine targeted instruction and increase the academic gains of learners. Strengthening partnerships with Literacy Volunteers and the Barbara Bush Family Literacy Foundation will continue to be a focus to help local programs access both services and

professional development opportunities. Literacy volunteers provide one-on-one learner instructional support to eligible providers.

L) Outreach to instructors, students, and employers.

Due to its large geographic size and areas of low population density, Maine adult education will continue to expand its outreach to instructors, students and employers through increased uses of technology. The professional development portal which lists current and upcoming professional growth opportunities and training events has begun to attract non-adult education teachers who have discovered the quality of the offerings. Practitioners can learn about, register, and track their professional growth experiences through this digital interface. Work has also begun on the establishment of professional development pathways to increase teacher expertise in various program areas.

The Maine Adult Education listserv, moderated by the state team, is a communication board where upcoming events, professional discourse, and relevant news and articles are posted and distributed to practitioners. Members of the list-serv include adult education practitioners as well as employees of partner agencies.

Core partners continue to establish coordinated channels of communication to employers regarding common objectives. Local workforce development boards are key to coordinating the outreach efforts.

M) Other activities of statewide significance that promote the purpose of this title.

1. The state team special projects and workforce development coordinator sits on the one-stop centers service provider committee for each local workforce board. This step expands the partnership between the state office and the local workforce boards in sharing information and alignment of services on a statewide basis. This is in addition to the inclusion of a local literacy program director on the board of each local workforce area.

2. Active engagement of the state adult education office in the Maine Promise Committee. This committee is comprised of representatives from the university and community college system offices, philanthropy, industry and private groups. Its purpose is to increase the number of adults in Maine earning degrees and certifications. The Maine Promise will

be working very closely with the All Learning Counts (ALC) committee as the goals of each are closely aligned. ALC is a means for adults to attain degrees and credentials of value.

(F) ASSESSING QUALITY

Describe how the eligible agency will assess the quality of providers of adult education and literacy activities under Title II and take actions to improve such quality, including providing the activities described in section 223(a)(1)(B) of WIOA.

Assessing quality of adult education and literacy activities happens at both the state and local levels.

The AEFLA contract with sub-grantees stipulates that instructors engage in at least 12 hours of professional development annually and to facilitate that happening, the state office provides training opportunities year-round in multiple delivery formats and locations. Meetings for local directors are held annually and a series of trainings for new directors are conducted throughout the year. Webinars on special topics appropriate for administrators, instruction, and administrative staff are provided through technology and face to face. Though electronic means of delivery are relied on due to Maine's geographic challenges, there are still benefits of the state team going to the programs to meet with learners, observe classes and strengthen relationships.

The state disseminates professional development information in a variety of ways. An annual calendar of high-quality professional development offerings to develop or enhance quality of instruction in the required, and many of the permissible leadership activities, is created and distributed prior to the start of each school year and updated as necessary. Local providers are also notified of upcoming trainings and resources through the Maine Adult Education listserv. Maine's professional development portal is utilized to advertise, collect registrations for each training, verify number of professional development hours someone earns, and create transcripts. It is interesting to note that in addition to adult education practitioners, instructors from the K-12 and community college systems, as well as from partner organizations have been in attendance at many of the trainings.

To ensure the trainings meet intended outcomes, participants are required to complete an evaluation at the conclusion of each state sponsored professional development event. The evaluations are used to assess effectiveness and determine any necessary changes. The comments on evaluations often inform the state regarding topics for follow-up trainings. Also taken into consideration in the planning and delivery of these trainings are the results of the professional development needs assessments completed by local providers.

In addition to the calendars and professional development portal, the use of a managed learning system assists in assessing quality. The system provides a means to gather information on instructor, staff and administrator participation in online resources, levels of engagement in facilitated communities of practice, and quality of outcomes. These communities provide the state with valuable information on areas in need of additional training. The listserv, professional development portal and managed learning system provide the means for widespread dissemination of information on proven or promising national, state and local practices.

In terms of assessing quality at the local level, providers are expected to meet the quality for instructional standards and outcome targets established in the AEFLA RFP. How well providers meet these expectations is determined through a variety of methods, including: participation in professional development; meeting performance goals; monthly expenditure reports to ensure grant funds are only used for eligible activities and as allocated in approved budgets; timely submission of reports; and onsite and desktop monitoring. Annually, each local provider is required to submit a year-end narrative, data and budget report. Depending on the severity, budget reports that reflect inappropriate expenditures or variances from the approved budget will be requested by email or phone to make appropriate budget adjustments, renegotiate the budget, or have funding halted until the matter is reconciled. Any quarterly reports that contain performance outcomes or targets that are below 90%, a plan must be submitted that includes improvement strategies and timeline for implementation and improvement. Examples of targets include post-testing rates, transitions to employment/postsecondary and/or employment, advancement in educational functioning level, and data match percentage. Technical assistance is provided to each provider in response to their submitted plan.

When following the steps above does not result in acceptable levels of improvement, the local provider will need to specify within 30 calendars how the findings will be addressed in a correction action plan. Once the plan is approved, the corrective steps can occur.

ADULT EDUCATION AND FAMILY LITERACY ACT PROGRAM CERTIFICATIONS AND ASSURANCES

1.	The plan is submitted by the State agency that is eligible to submit the plan;
2.	The State agency has authority under State law to perform the functions of the State under the program;
3.	The State legally may carry out each provision of the plan;
4.	All provisions of the plan are consistent with State law;
5.	A State officer, specified by title in the certification, has authority under State law to receive, hold, and disburse Federal funds made available under the plan;
6.	The State officer who is submitting the plan, specified by the title in the certification, has authority to submit the plan;
7.	The agency that is submitting the plan has adopted or otherwise formally approved the plan; and
8.	The plan is the basis for State operation and administration of the program;

1.	The eligible agency will expend funds appropriated to carry out Title II of the Workforce Innovation and Opportunity Act (WIOA) only in a manner consistent with fiscal requirements under section 241(a) of WIOA (regarding the supplement-not-supplant requirement);
2.	The eligible agency will ensure that there is at least one eligible provider serving each local area, as defined in section 3(32) of WIOA;
3.	The eligible agency will not use any funds made available under Title II of WIOA for the purpose of supporting or providing programs, services, or activities for individuals who are not “eligible individuals” within the meaning of section 203(4) of WIOA, unless it is providing programs, services or activities related to family literacy activities, as defined in section 203(9) of WIOA;
4.	Using funds made available under Title II of WIOA to carry out a program for criminal offenders within a correctional institution, the eligible agency will give priority to serving individuals who are likely to leave the correctional institution within five years of participation in the program.
5.	The eligible agency agrees that in expending funds made available under Title II of WIOA, the eligible agency will comply with sections 8301 through 8303 of the Buy American Act (41 U.S.C. 8301-8303).

GEPA Section 427

Maine Adult Education strives to ensure that efforts are made by the state office and local providers to determine the existence of possible barriers that may prevent current or potential students, teachers or others from accessing our federally funded offerings. These barriers include, but may not be limited to gender, race, national origin, color, disability and/or age.

The Maine GEPA plan consists of the following:

1. State office will conduct a GEPA awareness training annually for all local providers administrators and staff.
2. Local providers will be required to do the following annually:
 - a) Bring some staff and students together to identify any of the possible barriers to be addressed by GEPA.
 - b) Analyze program data to identify possible underserved populations, why, who isn't completing, lack of enrollments in certain populations, drop outs, etc.
 - c) Determine root cause of the identified barriers.
 - d) Describe the steps taken to identify potential/existing barrier(s)
 - e) Identify barrier type (gender, race, national origin, color, disability, age, other)
 - f) Describe the potential/existing barrier(s)
 - g) Describe how the local provider will mitigate the barrier(s) identified
 - h) Indicate how Title II AEFLA funds will be used to support the activities in g. above
 - i) Any additional notes (optional)

Each provider will document the above process and submit the findings and next steps to the state office for review and approval.

VOCATIONAL REHABILITATION

State plans for the Division for the Blind and Visually Impaired (DBVI) and the Division of Vocational Rehabilitation (DVR) are publicly available at the links provided below. A joint public hearing was conducted during the afternoon of Wednesday, February 19, 2020 for the DBVI/DVR portions of the Unified State Plan. Access was provided statewide through videoconference (Skype), teleconference and in person at six CareerCenter locations: Portland, Lewiston, Augusta, Bangor, Presque Isle and Machias.

Following the public hearing period, responses to input from State Rehabilitation Councils (SRC's) and public comments was incorporated into the DBVI/DVR portions of the Unified State Plan.

[DBVI State Plan http://www.maine.gov/rehab/dbvi/state_plan/index.shtml](http://www.maine.gov/rehab/dbvi/state_plan/index.shtml)

[DVR State Plan http://www.maine.gov/rehab/dvr/stateplan/index.shtml](http://www.maine.gov/rehab/dvr/stateplan/index.shtml)

VOCATIONAL REHABILITATION CERTIFICATIONS AND ASSURANCES

1. The Department of Labor is authorized to submit the VR services portion of the Unified or Combined State Plan under Title I of the Rehabilitation Act of 1973 (Rehabilitation Act), as amended by WIOA⁵⁸, and its supplement under Title VI of the Rehabilitation Act⁵⁹
2. As a condition for the receipt of Federal funds under Title I of the Rehabilitation Act for the provision of VR services, the Department of Labor⁶⁰ agrees to operate and administer the State VR Services Program in accordance with the VR services portion of the Unified or Combined State Plan⁶¹, the Rehabilitation Act, and all applicable regulations⁶², policies, and procedures established by the Secretary of Education. Funds made available under section 111

⁵⁸ Public Law 113-128.

⁵⁹ Unless otherwise stated, "Rehabilitation Act" means the Rehabilitation Act of 1973, as amended by WIOA, signed into law on July 22, 2014.

⁶⁰ All references in this plan to "designated State agency" or to "the State agency" relate to the agency identified in this paragraph.

⁶¹ No funds under Title VI of the Rehabilitation Act may be awarded without an approved supplement to the VR services portion of the Unified or Combined State Plan in accordance with section 606(a) of the Rehabilitation Act.

⁶² Applicable regulations, in part, include the Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 76, 77, 79, 81, and 82; 2 CFR part 200 as adopted by 2 CFR part 3485; and the State VR Services Program regulations.

of the Rehabilitation Act are used solely for the provision of VR services and the administration of the VR services portion of the Unified or Combined State Plan;

3. As a condition for the receipt of Federal funds under Title VI of the Rehabilitation Act for supported employment services, the designated State agency agrees to operate and administer the State Supported Employment Services Program in accordance with the supplement to the VR services portion of the Unified or Combined State Plan⁶³, the Rehabilitation Act, and all applicable regulations⁶⁴, policies, and procedures established by the Secretary of Education. Funds made available under Title VI are used solely for the provision of supported employment services and the administration of the supplement to the VR services portion of the Unified or Combined State Plan;
4. The designated State agency and/or the designated State unit has the authority under State law to perform the functions of the State regarding the VR services portion of the Unified or Combined State Plan and its supplement.
5. The State legally may carry out each provision of the VR services portion of the Unified or Combined State Plan and its supplement.
6. All provisions of the VR services portion of the Unified or Combined State Plan and its supplement are consistent with State law.
7. The Commissioner has the authority under State law to receive, hold, and disburse Federal funds made available under the VR services portion of the Unified or Combined State Plan and its supplement;
8. The Commissioner has the authority to submit the VR services portion of the Unified or Combined State Plan and the supplement for Supported Employment services;
9. The agency that submits the VR services portion of the Unified or Combined State Plan and its supplement has adopted or otherwise formally approved the plan and its supplement.

⁶³ No funds under Title VI of the Rehabilitation Act may be awarded without an approved supplement to the VR services portion of the Unified or Combined State Plan in accordance with section 606(a) of the Rehabilitation Act.

⁶⁴ Applicable regulations, in part, include the citations in footnote 6 of the ICR

ASSURANCES

The designated State agency or designated State unit, as appropriate and identified in the State certifications included with this VR services portion of the Unified or Combined State Plan and its supplement, through signature of the authorized individual, assures the Commissioner of the Rehabilitation Services Administration (RSA), that it will comply with all of the requirements of the VR services portion of the Unified or Combined State Plan and its supplement, as set forth in sections 101(a) and 606 of the Rehabilitation Act. The individual authorized to submit the VR services portion of the Unified or Combined State Plan and its supplement makes the following assurances:

The State Plan must provide assurances that:

1. **Public comment on policies and procedures:** The designated State agency assures it will comply with all statutory and regulatory requirements for public participation in the VR services portion of the Unified or Combined State Plan, as required by section 101(a)(16)(A) of the Rehabilitation Act.
2. **Submission of the VR services portion of the Unified or Combined State Plan and its supplement:** The designated State unit assures it will comply with all requirements pertaining to the submission and revisions of the VR services portion of the Unified or Combined State Plan and its supplement for the State Supported Employment Services program, as required by sections 101(a)(1), (22), (23), and 606(a) of the Rehabilitation Act; section 102 of WIOA in the case of the submission of a unified plan; section 103 of WIOA in the case of a submission of a Combined State Plan; 34 CFR 76.140.
3. **Administration of the VR services portion of the Unified or Combined State Plan:** The designated State agency or designated State unit, as appropriate, assures it will comply with the requirements related to:
 - (a) the establishment of the designated State agency and designated State unit, as required by section 101(a)(2) of the Rehabilitation Act.
 - (b) the establishment of either a State independent commission or State Rehabilitation Council, as required by section 101(a)(21) of the Rehabilitation Act. The designated State agency or designated State unit, as applicable (Option A or B must be selected):
 - (A) is an independent State commission.
 - (B) has established a State Rehabilitation Council.
 - (c) consultations regarding the administration of the VR services portion of the Unified or Combined State Plan, in accordance with section 101(a)(16)(B) of the Rehabilitation Act.
 - (d) the financial participation by the State, or if the State so elects, by the State and local agencies, to provide the amount of the non-Federal share of the cost of carrying out the VR program in accordance with section 101(a)(3).
 - (e) the local administration of the VR services portion of the Unified or Combined State Plan,

in accordance with section 101(a)(2)(A) of the Rehabilitation Act. Select yes or no, as appropriate, to identify if the designated State agency allows for the local administration of VR funds, (Yes/No)

- (f) the shared funding and administration of joint programs, in accordance with section 101(a)(2)(A)(ii) of the Rehabilitation Act. Select yes or no, as appropriate, to identify if the designated State agency allows for the shared funding and administration of joint programs, (Yes/No)
- (g) state wideeness and waivers of state wideeness requirements, as set forth in section 101(a)(4) of the Rehabilitation Act. Is the designated State agency requesting or maintaining a waiver of state wideeness for one or more services provided under the VR services portion of the Unified or Combined State Plan? (No) See Section 2 of this VR services portion of the Unified or Combined State Plan.
- (h) the descriptions for cooperation, collaboration, and coordination, as required by sections 101(a)(11) and (24)(B); and 606(b) of the Rehabilitation Act.
- (i) all required methods of administration, as required by section 101(a)(6) of the Rehabilitation Act.
- (j) the requirements for the comprehensive system of personnel development, as set forth in section 101(a)(7) of the Rehabilitation Act.
- (k) the compilation and submission to the Commissioner of statewide assessments, estimates, State goals and priorities, strategies, and progress reports, as appropriate, and as required by sections 101(a)(15), 105(c)(2), and 606(b)(8) of the Rehabilitation Act.
- (l) the reservation and use of a portion of the funds allotted to the State under section 110 of the Rehabilitation Act for the development and implementation of innovative approaches to expand and improve the provision of VR services to individuals with disabilities, particularly individuals with the most significant disabilities.
- (m) the submission of reports as required by section 101(a)(10) of the Rehabilitation Act.

4. **Administration of the provision of VR services:** The designated State agency, or designated State unit, as appropriate, assures that it will:

- (a) comply with all requirements regarding information and referral services in accordance with sections 101(a)(5)(D) and (20) of the Rehabilitation Act.
- (b) impose no duration of residence requirement as part of determining an individual's eligibility for VR services or that excludes from services under the plan any individual who is present in the State in accordance with section 101(a)(12) of the Rehabilitation Act.
- (c) provide the full range of services listed in section 103(a) of the Rehabilitation Act as appropriate, to all eligible individuals with disabilities in the State who apply for services in accordance with section 101(a)(5) of the Rehabilitation Act? (Yes)
- (d) determine whether comparable services and benefits are available to the individual in accordance with section 101(a)(8) of the Rehabilitation Act.
- (e) comply with the requirements for the development of an individualized plan for employment in accordance with section 102(b) of the Rehabilitation Act.

- (f) comply with requirements regarding the provisions of informed choice for all applicants and eligible individuals in accordance with section 102(d) of the Rehabilitation Act.
- (g) provide vocational rehabilitation services to American Indians who are individuals with disabilities residing in the State, in accordance with section 101(a)(13) of the Rehabilitation Act.
- (h) comply with the requirements for the conduct of semiannual or annual reviews, as appropriate, for individuals employed either in an extended employment setting in a community rehabilitation program or any other employment under section 14(c) of the Fair Labor Standards Act of 1938, as required by section 101(a)(14) of the Rehabilitation Act.
- (i) meet the requirements in sections 101(a)(17) and 103(b)(2) of the Rehabilitation Act if the State elects to construct, under special circumstances, facilities for community rehabilitation programs
- (j) with respect to students with disabilities, the State,
 - (i) has developed and will implement,
 - (A) strategies to address the needs identified in the assessments; and
 - (B) strategies to achieve the goals and priorities identified by the State, to improve and expand vocational rehabilitation services for students with disabilities on a statewide basis; and

has developed and will implement strategies to provide pre-employment transition services (sections 101(a)(15) and 101(a)(25)).

5. Program Administration for the Supported Employment Title VI Supplement:

- a) The designated State unit assures that it will include in the VR services portion of the Unified or Combined State Plan all information required by section 606 of the Rehabilitation Act.
- b) The designated State agency assures that it will submit reports in such form and in accordance with such procedures as the Commissioner may require and collects the information required by section 101(a)(10) of the Rehabilitation Act separately for individuals receiving supported employment services under Title I and individuals receiving supported employment services under Title VI of the Rehabilitation Act.
- c) The designated state unit will coordinate activities with any other State agency that is functioning as an employment network under the Ticket to Work and Self-Sufficiency program under Section 1148 of the Social Security Act.

6. Financial administration of the supported employment program:

- (a) The designated State agency assures that it will expend no more than 2.5 percent of the State's allotment under Title VI for administrative costs of carrying out this program; and, the designated State agency or agencies will provide, directly or indirectly through public or private entities, non-Federal contributions in an amount that is not less than 10 percent of the costs of carrying out supported employment services provided to youth with the most significant disabilities with the funds reserved for such purpose under section 603(d) of the Rehabilitation Act, in accordance with section 606(b)(7)(G) and (H) of the Rehabilitation

Act.

- (b) The designated State agency assures that it will use funds made available under Title VI of the Rehabilitation Act only to provide supported employment services to individuals with the most significant disabilities, including extended services to youth with the most significant disabilities, who are eligible to receive such services; and, that such funds are used only to supplement and not supplant the funds provided under Title I of the Rehabilitation Act, when providing supported employment services specified in the individualized plan for employment, in accordance with section 606(b)(7)(A) and (D), of the Rehabilitation Act.

7. Provision of supported employment services:

- (a) The designated State agency assures that it will provide supported employment services as defined in section 7(39) of the Rehabilitation Act.
- (b) The designated State agency assures that:
 - i. the comprehensive assessment of individuals with significant disabilities conducted under section 102(b)(1) of the Rehabilitation Act and funded under Title I of the Rehabilitation Act includes consideration of supported employment as an appropriate employment outcome, in accordance with the requirements of section 606(b)(7)(B) of the Rehabilitation Act, and
 - ii. an individualized plan for employment that meets the requirements of section 102(b) of the Rehabilitation Act, which is developed and updated with Title I funds, in accordance with sections 102(b)(3)(F) and 606(b)(6)(C) and (E) of the Rehabilitation Act.

~End~

APPENDICIES

APPENDIX A: GLOSSARY

Acronym	Definition
ACAP	Aroostook County Action Program
ACCUPLACER	Assessment to identify student academic readiness
ACS	American Community Survey
ADA	Americans with Disabilities Act
ADATAC	Americans with Disabilities Act Technical Assistance Center
AE	Adult Education; Maine Department of Education
AEFLA	Adult Education and Family Literacy Act
AJC	American Job Centers
AJLA	America's Job Link Alliance, makers of Maine Job Link (MJL)
ALC	All Learning Counts; Grant received by the University of Maine system from the Lumina Foundation
ANI	Adult Numeric Instruction
AOP	Agriculture Outreach Plan
ARS	Agricultural Recruitment System
ASPIRE	Additional Support for People in Retraining and Employment
ATEC	Aroostook Training and Education Coalition
BES	Bureau of Employment Services; Maine Department of Labor
BRS	Bureau of Rehabilitation Services; Maine Department of Labor
BUC	Bureau of Unemployment Compensation; Maine Department of Labor
CASAS	Competency-based Assessment System or eCASAS
CAST	Center for Applied Special Technology
CCR-SIA	College Career Readiness- Standards in Actions
CCRS	College and Career Readiness Standards
CCWI	Coastal Counties Workforce Board
CDE	Commission on Disability and Employment; a subcommittee of the State Workforce Board
CEDS	Community Economic Development Strategy
CEO	Chief Elected Officials; County Commissioners who sit on the Local Workforce Boards (LWB)
CRA	Complaint Resolution Administrator
CTE	Career and Technical Education

Acronym	Definition
CTE	Career and Technical Education part of Maine Department of Education
CWMWDB	Central Western Maine Workforce Development Board
CWRI	Center for Workforce Research and Information; Maine Department of Labor
DAFS	Department of Administration and Financial Services
DBVI	Division for the Blind and Visually Impaired; part of the Bureau of Rehabilitation Services in the Maine Department of Labor
DECD	Department of Economic and Community Development
DHHS	Department of Health and Human Services
DOC	Department of Corrections
DVOP	Disabled Veterans Outreach Program
DVR	Division of Vocational Rehabilitation; part of the Bureau of Rehabilitation Services in the Maine Department of Labor
DWG	Dislocated Worker grant
EEO	Equal Employment Opportunity
EFL	educational functioning level
ELA	English language arts
EMDC	Eastern Maine Development Corporation
EPTL	Education Provider Training List; list of providers approved to provide WIOA funded training
ES	Employment Services
ESOL	English for Speakers of Other Languages aka ELL. Replaces the term ESL (English as a Second Language)
ETA	Employment and Training Administration
ETPL	Eligible Training Provider List
FAFSA	Free Application for Federal Student Aid
FAME	Finance Authority of Maine
FLC	Foreign Labor Certification
FSET	Food Supplement Employment & Training
GEPA	General Education Provisions Act
H2A	Temporary work visa for migrant workers
H2B	Temporary visa which used primarily for seasonal workers
HiSet	High school equivalency exam
HOPE	Higher Opportunity for Pathways to Employment
IELCE	Integrated English Literacy Civics Education
IET	Integrated education and training
INA	Indian and Native American (programs)

Acronym	Definition
IRP	Individualized Reemployment Plan
IT	Information Technology
ITAC	Information Technology Accessibility Committee
JVSG	Jobs for Veterans State Grant
LIFT	Leveraging Investments in Families for Tomorrow
LVER	Local Veterans Employment Representatives
LWB	Local Workforce Board
MaineEARNs	Maine Education and Attainment Research Navigation System
MAP	Maine Apprenticeship Program
MCC /MCCS	Maine Community College (system)
MCCA	Maine College and Career Access is a program offered by Maine Adult Education
MCT	Maine College Transition
MDOL	Maine Department of Labor
MEMA	Maine Emergency Management Association
MEP	Maine Manufacturing Extension Partnerships
MIS	management information systems
MJL	Maine Job Link system which is used as case management system by CareerCenters. Built by AJLA and replaced Maine's JobBank system.
MOU	Memorandum of Understanding
MQC	Maine Quality Centers a program of the Maine Community College System
MSFW	Migrant Seasonal Farm Workers
NAMI	National Alliance on Mental Illness
NASWA	National Association of State Workforce Agencies
NCCER	National Center for Construction Education and Research
NEG	National Emergency Grant
NETAAC	New England Trade Adjustment Assistance Center
NFJP	Farmworkers Jobs Program
NIST	National Institute of Standards and Technology
NRS	National Reporting System for Adult Education
NVME	New Ventures Maine
NWDB	Northeastern Workforce Development Board
OCTAE	Office of Career, Technical and Adult Education; US Department of Education
OJT	On the Job Training
OSHA-10	Occupational Safety and Health Administration training
OWC	Older Worker Committee; a subcommittee of the State Workforce Board
RAP	Reading Apprenticeship Program

Acronym	Definition
RESEA /REA	Reemployment Service and Eligibility Assessment
RFP	Request for Proposal
RSA	Rehabilitation Services Administration
RSI	Reemployment and Systems Integration
SBE	Veterans with Significant Barriers to Employment
SCSEP	Senior Community Services Employment Program
SMA	State Monitor Advocate
SNAP	Supplemental Nutrition Assistance Program
SNAP E&T	Supplemental Nutrition Assistance Program Education and Training
SSI/ SSDI	Social Security Insurance/ Social Security Disability Insurance
STAR	Student Achievement in Reading training
SWA	State Workforce Agency
SWAT	State Workforce Assistance Team
SWB	State Workforce Board
SWIS	State Wage Interchange System
TAA	Trade Adjustment Assistance
TAC	Technical Assistance Circular document provided by USDOL to expand or clarify regulations
TANF	Temporary Assistance for Needy Families; a DHHS program
UI	Unemployment insurance may refer to either the program and the agency
UMS	University of Maine System
USDA	United States Department of Agriculture (federal)
USDOL	United States Department of Labor (federal)
VETS	Veterans Employment and Training Services
VR	Vocational Rehabilitation; could stand for either the agency Division of Vocational Rehabilitation or the service provided.
WARN Act	Worker Adjustment and Retraining Notification Act
WDQI	Workforce Data Quality Initiative
WDS	Workforce Development System
WEC	Women's Employment Committee; a subcommittee of the State Workforce Board
WIA	Workforce Investment Act, predecessor to WIOA
WIC	Women Infants and Children program
WINTAC	Workforce Innovation Technical Assistance Center
WIOA	Workforce Innovation and Opportunity Act
WIPC	WIOA Implementation Policy Committee

Acronym	Definition
W.O.R.K. Services	Workforce Opportunities, Referrals and Knowledge services is a software application connecting the systems of Adult Education, Bureau of Employment Services and Vocational Rehabilitation
WOTC	Work Opportunity Tax Credit
WOWI	World of Work Inventory; career assessment
WPRS	Worker Profiling Reemployment Services
YBA	Youth Build

APPENDIX B: WIOA STEERING COMMITTEE

Member	Affiliation	Position
Kimberly Moore	MDOL	Director, Bureau of Employment Services
Dawn Mealey	MDOL	Deputy Director, Bureau of Employment Services
Dave Klein	MDOL	Division Director, Bureau of Employment Services
Ginny Carroll	MDOL	Division Director, Policy & Evaluation, Bureau of Employment Services
Gail Senese	MDOE	State Director, Adult Education & Family Literacy
Kelley Heath	MDOE	Coordinator, Data and High School Completion
Karen Fraser	MDOL	Director, Bureau of Rehabilitation Services
Libby Stone-Sterling	MDOL	Director, Division of Vocational Rehabilitation
Brenda Drummond	MDOL	Director, Division for the Blind & Visually Impaired
Joanna Russell	LWB	Executive Director, Northeastern Workforce Development Board
Stacy Kilroy	LWB	Executive Director, Central/Western Maine Workforce Development Board
Antoinette Mancusi	LWB	Executive Director, Coastal Counties Workforce Inc.
Jillian Sample	LWB	Director of Operations, Coastal Counties Workforce Inc.
Christopher Quint	MDOL	Director, State Workforce Board

Member	Affiliation	Position
Joshua Howe	MDOL	Workforce Development Program Coordinator, State Workforce Board
Cheryl Moran	MDOL	Labor Program Specialist, State Workforce Board

This group meets monthly to monitor and review progress of the implementation of the plan, update necessary elements, and provide strategic support when required. Using a matrix of initiatives, the group can track the progress of elements as they move towards completion.

APPENDIX C: SWB VISIONING SESSIONS

11/12/2019

Central Western Workforce Development Board

Central Maine Community College, Auburn, ME

Name	Organization
Joy Gould	Community Concepts
Michelle Hawley	Central Maine Community College
Diane Frigon	Maine Department of Labor
Mary LaFontaine	Maine Department of Labor
Jim Trundy	Western Maine Community Action
Jeff Sneddon	Kennebec Valley Community College
Tina Christophenson	Maine School Administrative District 17 Adult Education
Sean Crothers	Maine Prisoner Re-entry Network
Patti Gray	Maine Department of Labor
Joan Dolan	Maine Department of Labor
Kelly Aho	Bonney Staffing
Cary Tyson	Kennebec Valley Council of Governments
Dale Merrell	Central Western Maine Workforce Development Board
Deputy Commissioner Kimberly Smith	Maine Department of Labor
Commissioner Laura Fortman	Maine Department of Labor
Jane Gilbert	Maine Department of Labor
Grant Provost	Iron Workers Local 7
Amy Landry	Androscoggin Valley Council of Governments
Julia Sleeper	Tree Street Youth Center
Bill Grant	Lewiston Adult Education

11/14/2019

Northeastern Workforce Development Board

Brewer Community Center, Brewer, ME

Name	Organization
Susan Cerini	Eastern Maine Development Corporation
Jon Farley	Eastern Maine Development Corporation
Lisa Shaw	Maine State Library
Nichole Sawyer	Washington County Community College
Rob Brown	Cooperative Development Institute
Leah Buck	Northern Maine Community College
Erin Benson	Aroostook County Action Program
Liz Russell	Eastern Maine Community College
Michael Carroll	Associates for Training and Development
Ander Theboud	Regional School District 24 Adult Education
Renee Doble	City of Brewer
Christina Breen	Senator Angus King
Joanna Russell	Northeastern Workforce Development Board
Rebecca Bryant	Northeastern Workforce Development Board
Dawn Mealy	Maine Department of Labor
Patty Perry	Maine Department of Labor
Deputy Commissioner Kimberly Smith	Maine Department of Labor
Paul Ruggiero	Maine Department of Labor
Melissa Harvey	Maine Department of Labor
Andrea Bickford	Maine Department of Labor
Commissioner Laura Fortman	Maine Department of Labor
Megan Dichter	Maine Department of Education

11/15/2019

State Workforce Board;

MDOL Augusta, ME

Guy Langevin	Dead River
Tracey Cooley	Job Corps
John Fortier	State Farm Insurance
Mary LaFontaine	Maine Department of Labor
Jason Shedlock	Maine Building and Construction Trades Council
Steve Gorden	Cumberland County Commissioner
Mary Kate Reny	Renys
Jen Fullmer	Boots 2 Roots
Nathan Pelsma	Jobs for Maine Graduates
Gail Senese	Maine Department of Education
Karen Fraser	Maine Department of Labor
Ashley Pringle	Maine & Company
John Herweh	MMG Insurance
Jon Mason	Bath Iron Works
Jim Nimon	Sanford Regional Economic Growth Council
Colleen Hilton	Northern Light Health
Peter Baldacci	Penobscot County Commissioner
Dan Belyea	Maine Community College System
Deputy Commissioner Sarah Gagne-Holmes	Maine Department of Health and Human Services
Deputy Commissioner Denise Garland	Maine Department of Economic and Community Development
Grant Provost	Iron Workers Local 7
Greg Sweetser	Sweetser Orchards
Luanne Ballesteros	The Jackson Laboratory
Mike Sylvester	State Representative, Maine Legislature
Commissioner Laura Fortman	Maine Department of Labor
Joshua Howe	State Workforce Board/Maine Department of Labor
Christopher Quint	State Workforce Board/Maine Department of Labor

11/15/2019

Commissioner Designees from State Agencies

MDOL Commerce Drive, Augusta, ME

Name	Organization
Joan Cohen	Maine Department of Professional and Financial Regulation
Dawn Mealey	Maine Department of Labor
Commissioner Randy Liberty	Maine Department of Corrections
Deputy Commissioner Denise Garland	Maine Department of Economic and Community Development
Deputy Commissioner Kimberly Smith	Maine Department of Labor
Evelyn de Frees	Maine Department of Labor
Joshua Howe	State Workforce Board/Maine Department of Labor
Holly Pomelow	Maine Department of Administrative and Financial Services
Anna Black	Maine Department of Corrections
Liz Ray	Maine Department of Health and Human Services
Tamara Ranger	Maine Department of Education
Emily Doughty	Maine Department of Education
Commissioner Laura Fortman	Maine Department of Labor
Christopher Quint	State Workforce Board/Maine Department of Labor
Mary Anne Turowski	Governor Janet Mills
Dan Belyea	Maine Community College System

11/21/2019

Coastal Counties Workforce Development Board

MRRA Community Room, Brunswick, ME

Name	Organization
Dawn Self Cooper	Maine Department of Labor
Damas Rvpaba	Greater Portland Immigrant Welcome Center
Christopher Arbour	Maine Department of Corrections
Kim Moore	United Way of Greater Portland
Deputy Commissioner Kimberly Smith	Maine Department of Labor
Jason Shedlock	Maine State Building and Construction Trades Council
Joni Boissonneault	Portland Housing Authority
Mary Ellen Barnes	Lincoln County Regional Planning Council
Mary Bouvier	Westbrook Housing Authority
David Wurm	Goodwill Industries of Northern New England
Julia Trujillo	City of Portland
Kaylin Kerina	Learning Works
Scott Christman	Bath Iron Works
Richard Clark	York County Commissioner
Mufalo Chitam	Maine Immigrants' Rights Coalition
Thomas Nickerson	University of Maine at Augusta
Beth Campbell	United Way of Greater Portland
Jim Whitten	Southern Maine Community College
Antoinette Mancusi	Coastal Counties Workforce, Inc.
Shelli Pride	Gorham Adult Education
Michelle Love	Androscoggin Bank
Samantha Fenderson	Maine Department of Labor
Mary LaFontaine	Maine Department of Labor
Commissioner Laura Fortman	Maine Department of Labor
Deputy Commissioner Kimberly Smith	Maine Department of Labor
Joshua Howe	State Workforce Board/Maine Department of Labor

12/18/2019

State Workforce Board ; Dead River Company, South Portland, ME

Name	Organization
Guy Langevin	Dead River
Peter Anania	Anania & Associates
Tarlan Ahmadov	Catholic Charities of Maine
John Fortier	State Farm Insurance
Ned Claxton	State Senator, Maine Legislature
Jason Shedlock	Maine Building and Construction Trades Council
Steve Gorden	Cumberland County Commissioner
Mary Kate Reny	Renys
Jen Fullmer	Boots 2 Roots
Nathan Pelsma	Jobs for Maine Graduates
Gail Senese	Maine Department of Education
Karen Fraser	Maine Department of Labor
Ashley Pringle	Maine & Company
John Herweh	MMG Insurance
Jon Mason	Bath Iron Works
Jim Nimon	Sanford Regional Economic Growth Council
Colleen Hilton	Northern Light Health
Bob Dorko	Sappi North America
Dan Belyea	Maine Community College System
Deputy Commissioner Sarah Gagne-Holmes	Maine Department of Health and Human Services
Deputy Commissioner Denise Garland	Maine Department of Economic and Community Development
Grant Provost	Iron Workers Local 7
Greg Sweetser	Sweetser Orchards
Luanne Ballesteros	The Jackson Laboratory
Scott Good	Crescendo Consulting
Robert Sezak	Somerset County Commissioner
Rosa Redonnett	University of Maine System
Commissioner Laura Fortman	Maine Department of Labor
Joshua Howe	State Workforce Board/Maine Department of Labor
Christopher Quint	State Workforce Board/Maine Department of Labor

12/18/2019

Youth Focused

Florence House, Portland, ME

Name	Organization
Adrian Cohen	Goodwill Industries of Northern New England
David Dorr	Somerset Career & Technical Center
Mercedes Pour	Maine Community College System
Nikki Williams	State Workforce Board - Youth Committee
Robyn Raymond	Spruce Mountain Adult Education
Tracie Travers	Jobs For Maine Grads
Nate Pelsma	Jobs For Maine Grads
Sandra Goss	Goodwill Industries of Northern New England/Take Two YouthBuild
Karen MacDonald	Boys & Girls Clubs of Maine
Kaylin Kerina	Learning Works/Youth Building Alternatives
J. Duke Albanese	Great Schools Partnership
Karen Keim	Maine Educational Opportunity Center
Heather Stott	Goodwill - Workforce Solutions
Phoenix Escobedo-Winkle	Youth from JMG
Ryan Morris	Youth from JMG
Angie Hassapelis	Youth from JMG
Nathan Heatley	Youth from JMG
Carlo Bufano	Jobs For Maine Grads
Marquise Parland	Learning Works/Youth Building Alternatives
Shirley Palma	Learning Works/Youth Building Alternatives
Jeff Nevers	University of New England
Kim Moore	United Way of Greater Portland/Greater Portland Workforce Initiative
Rebecca Bryant	Northeastern Workforce Development Board
Joanna Russell	Northeastern Workforce Development Board
Commissioner Laura Fortman	Maine Department of Labor
Christopher Quint	State Workforce Board/Maine Department of Labor
Joshua Howe	State Workforce Board/Maine Department of Labor

12/19/2019

Employer Focused

MDOL 45 Commerce Drive, Augusta, ME

Name	Organization
Peter Gore	Maine State Chamber of Commerce
Steve Hewins	Hospitality Maine
Hope Perkins	Associated Builders & Contractors
Brian Whitney	Maine Technology Institute
Steven Michaud	Maine Hospital Association
Rick Erb	Maine Health Care Association
Lisa Martin	Manufacturers Association of Maine
Jan Kearce	Maine Development Foundation
Curtis Picard	Retail Association of Maine
Elizabeth Vanderweide	Finance Authority of Maine
Cynthia Murphy	Coastal Enterprises
Dan Coffey	Cianbro
Jennifer O'Leary	MaineHealth
Commissioner Laura Fortman	Maine Department of Labor
Christopher Quint	State Workforce Board/Maine Department of Labor

12/19/2019

Advocate Focused

MDOL 45 Commerce Drive, Augusta, ME

Name	Organization
Chris Hastedt	Maine Equal Justice Partners
Ann Danforth	Maine Equal Justice Partners
Jennifer Hutchins	Maine Association of Non-Profits
Kim Moody	Disability Rights Maine
Gilda Nardone	SWB - Women's Employment Committee
Darcy Shargo	Maine Primary Care Association
Don Harden	Catholic Charities
Barbara Babbirk	SWB - Older Workers Committee
Dwight Littlefield	Department of Education - State Director for CTE
Joanna Russell	Northern Maine Workforce Development Board

Name	Organization
Jeff Nevers	University of New England
Holly Couturier	Maine Principals Association
Kate Leveille	MaineSpark
Beth Stickney	Maine Business Immigration Coalition
Jared Cash	University of Southern Maine
Claire Sullivan	University of Maine System
Rosa Redonnett	University of Maine System
Cherie Galyean	Maine Community Foundation
Joy Gould	Community Concepts
Jim Horn	Auburn School District
Luisa Deprez	University of Southern Maine
Jonathan Henry	University of Maine at Augusta
Lisa Cooper	Maine Development Foundation
James Myall	ME CEP
Rachel Knight	Destination Occupation
Dick Dyer	Destination Occupation
Rhonda Corson	Destination Occupation
Rebecca Conrad	RSC Consulting/Maine Business Immigrant Coalition
LeeAnne Larsen	Department of Education
Debbie Gilmer	Syntiro - Gear Up
Nate Wildes	Live & Work in Maine
Kelley Heath	Maine Adult Education
Karen Keim	MEOC
Mary Adley	Maine Department of Education
Amy Winston	Coastal Enterprises
Commissioner Laura Fortman	Maine Department of Labor
Christopher Quint	State Workforce Board/Maine Department of Labor

APPENDIX D: MAINE'S PUBLIC AND PRIVATE COLLEGES AND UNIVERSITIES

PUBLIC

Maine Community College System <https://www.mccs.me.edu/>

- Central Maine Community College <https://www.cmcc.edu/>
- Eastern Maine Community College <https://www.emcc.edu/>
- Kennebec Valley Community College <https://www.kvcc.me.edu/>
- Northern Maine Community College <https://www.nmcc.edu/>
- Southern Maine Community College <https://www.smccme.edu/>
- Washington County Community College <https://www.wccc.me.edu/>
- York County Community College <https://www.yccc.edu/>

Maine Maritime Academy <https://mainemaritime.edu/>

University of Maine System <https://www.maine.edu/>

- University of Maine - Orono <https://umaine.edu/>
- University of Maine at Augusta <https://www.uma.edu/>
- University of Maine at Farmington <https://www.umf.maine.edu/>
- University of Maine at Fort Kent <https://www.umfk.edu/>
- University of Maine at Machias <https://machias.edu/>
- University of Maine at Presque Isle <https://www.umpi.edu/>
- University of Southern Maine <https://usm.maine.edu/>

PRIVATE

Bates College <https://www.bates.edu/>

Beal College <https://bealcollege.edu/>

Bowdoin College <https://www.bowdoin.edu/>

Colby College <http://www.colby.edu/>

College of the Atlantic <https://www.coa.edu/>

Husson University <https://www.husson.edu/>

Purdue Global <https://www.purdueglobal.edu/>

Maine College of Art <https://www.meca.edu/>

Maine College of Health Professions <https://www.mchp.edu/>

Maine Media College <https://www.mainemedia.edu/>

New England Bible College <https://www.nebc.edu/>

Saint Joseph's College <https://www.sjcme.edu/>

[Southern New Hampshire University - Brunswick/Winter Harbor https://www.snhu.edu/](https://www.snhu.edu/)

[Thomas College https://www.thomas.edu/](https://www.thomas.edu/)

[Unity College https://www.unity.edu/](https://www.unity.edu/)

[University of New England https://www.une.edu/](https://www.une.edu/)

APPENDIX E: DRAFT INFRASTRUCTURE FUNDING AGREEMENT POLICY

MAINE WORKFORCE DEVELOPMENT SYSTEM			
Subject:	Infrastructure Funding Agreement MOU Phase II	Policy No:	PY-19-04
To:	<ul style="list-style-type: none"> • State WDB • Local WDBs • Chief Elected Officials • WIOA Required Partners 	From:	State Workforce Board
Issuance Date:	April 6, 2020	Status:	DRAFT
Authority:	<ul style="list-style-type: none"> • WIOA (Pub. L. 113-128) Sections:121(b)(1)(B); 121(b)(2)(B); 121(h) • 20 CFR 678.400, 678.700 thru 678.760; • 34 CFR 361.400, 361.700 thru 361.760; • 34 CFR 463.400. 463.700 thru 463.760 • TEGL 17-16; PM-OCTAE 17-03; RSA-TAC 17-03 • Infrastructure Cost Sharing FAQs 		
Key:	CEO = Chief Elected Official, IFA = Infrastructure Funding Agreement; IFM = Infrastructure Funding Mechanism; LB = Local Board; PM = Program Memorandum; RP = Required Partner; SFM = State Funding Mechanism; TAC = Technical Assistance Circular; TEGL = Training and Employment Guidance Letter		

Purpose

To provide guidance to Local Boards (LBs), Chief Elected Officials (CEOs) and Required Partners (RPs) regarding development and implementation of a local Infrastructure Funding Agreement (IFA). An IFA identifies how one-stop infrastructure costs jointly benefitting required partner programs will be equitably shared. This guidance also identifies: roles and responsibilities; timelines by which components of the cost-sharing negotiations process must be completed; requirements for documenting the negotiations process; and an overview of cost allocation methodologies based on proportionate use and relative benefit received.

Background

WIOA requires that each entity that carries out a program or activities in a local area use a portion of its funds available to establish and maintain the local one-stop infrastructure. Local partners may also agree to negotiate cost sharing for other activities, such as shared staff who provide common functions. All required partners must provide access to their services from at least one comprehensive one-stop in each local area. With the agreement of Chief Elected Officials, WIOA directs local boards and required partners to work together to design and implement a streamlined, customer-centric, integrated system of services.

In collaboration, required partners, CEOs and LBs identify the types of centers that will make up the one-stop delivery system in each local area (comprehensive, affiliate, and specialized) and the partner services that will be made available through each. Once the service delivery design phase is complete (see *PY16-01 for MOU guidance* [https://www.maine.gov/swb/laws/policies/PY16-01 MOU Phase 1.pdf](https://www.maine.gov/swb/laws/policies/PY16-01%20MOU%20Phase%201.pdf)) a second phase commences in which local boards and one-stop partners identify and determine how infrastructure and other costs will be shared, this phase is referred to as the **Infrastructure Funding Agreement (IFA)**. The infrastructure funding agreement portion of the overall MOU must be reviewed and renegotiated annually.

Timelines

- **06/30/2020** - date local area must provide a notice of failure to reach agreement to MDOL
- **09/30/2020** - date local area must submit signed IFA, using either the LFM or SFM to MDOL
- **01/01/2018** - date US Departments of Labor and Education require IFAs be in place in local areas.

Required Partners

- A. WIOA title I programs (29 U.S.C. chapter 32):
- Adult, Dislocated Worker, and Youth formula programs;
 - Job Corps;
 - YouthBuild;
 - Native American Programs;
 - National Farmworker Jobs Program

- B. Employment Services authorized by the Wagner-Peyser Act (29 U.S.C. 49 et seq.) as amended by WIOA title III
- C. Senior Community Service Employment Program, authorized under title V of Older Americans Act of 1965;
- D. Trade Adjustment Assistance (TAA), authorized under chapter 2 of the title II of the Trade Act of 1974;
- E. Unemployment Compensation (UC) programs;
- F. Jobs for Veteran's State Grants (JSVG) programs, authorized under chapter 41 of title 38, U.S.C.; and
- G. Reentry Employment Opportunities (REO) programs, authorized under sec. 212 of the Second Chance Act of 2007 (42 U.S.C. 17532) and WIOA sec. 169;
- H. Adult Education and Family Literacy Act (AEFLA) program, authorized under WIOA title II;
- I. Career and technical education programs at the postsecondary level, authorized under the Carl D. Perkins Career and Technical Education Act of 2006 (Perkins IV); and
- J. The State Vocational Rehabilitation (VR) Services program, authorized under title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.), as amended by WIOA Title IV;
- K. Employment and Training Programs funded through the Department of Housing and Urban Developed
- L. Employment and training activities carried out under the Community Services Block Grant (CSBG) programs (42 U.S.C. 9901 et seq.); and
- M. Temporary Assistance for Needy Families (TANF) program, authorized under part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.), unless exempted by the Governor under 20 CFR 678.405(b), 34 CFR 361.405(b), and 34 CFR 463.405(b);

Roles and Responsibilities

The Governor, through the **State Workforce Board** is responsible for creating the framework for infrastructure cost sharing that required partners and local boards must follow.

The **State Workforce Agency (MDOL)** is responsible for monitoring local area fiscal operations and ensuring the conditions of the MOU and IFA are implemented according to these requirements.

Local Boards and CEOs are responsible for:

- Working to achieve consensus on cost sharing between one-stop partners;
- Negotiating the IFA and/or implementing the SFM if unable to achieve consensus;
- Ensuring required partners adhere to the IFA/SFM guidelines;
- Providing technical assistance to partners to ensure they understand MOU/IFA requirements;

- Ensuring one-stop infrastructure costs are paid according to the provisions of the MOU/IFA; and
- Consulting with appropriate parties as directed under WIOA.

Required Partner Programs must provide access to their services through the comprehensive one-stop in each local area and must use a portion of its funds to maintain the one-stop delivery system, including payment of infrastructure costs. Required partners must work collaboratively and in good faith with LBs and CEOs to: enter into a memorandum of agreement that identifies the services to be provided in the local one-stop system; identify one-stop centers in the local area, including comprehensive, affiliate and if applicable specialized one-stops; and agree to methods of calculating the amounts each partner will contribute toward one-stop infrastructure costs.

Local Funding Mechanism (LFM)

The LFM provides partners with the most flexibility in how they can leverage their resources and come to consensus on an Infrastructure Funding Agreement (IFA); consensus on the infrastructure budget and partner contributions must be reached by all partners for the local funding mechanism to work. If consensus cannot be reached, the State Funding Mechanism is triggered. Under the LFM, LBs, CEOs and required partners negotiate and agree to the methods to be used and the amounts each partner will contribute to one-stop infrastructure costs. The sharing and allocation of infrastructure costs are governed by WIOA sec. 121(h), its implementing regulations, and the Federal cost principles contained in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal awards at 2 CFR part 200 and 2 CFR part 2900. WIOA requires that one-stop partner programs contribute to infrastructure and certain additional costs based on their proportionate use and relative benefit received. Partner contributions must be allowable, reasonable, necessary and allocable to the partner program, consistent with Federal cost principles set forth in the Uniform Guidance.

Under the LFM, there are no specific caps on the amount or percent of overall funding a partner may contribute, except that administrative costs may not exceed the amount available under each partner's authorizing statute. Cash, non-cash, and third-party in-kind contributions may be provided by one-stop partners, or by other agencies on behalf of one-stop partners, to cover their proportionate share of cost.

State Funding Mechanism (SFM)

In the event the LB, CEOs and RPs in a local area do not reach agreement on methods of sufficiently funding infrastructure costs for a program year, the SFM will be used for that local area. Under the SFM, the Governor determines partner contributions and calculates the statewide caps by considering total partner program funding against the statutory caps specified in WIOA and regular funding distribution formulas. Each

required partner must provide information on the total amount of funding they receive for the SFM calculation to be figured, local boards are responsible for gathering this data when calculating the local one-stop system operating costs and partner contributions.

Required Elements of an Infrastructure Funding Agreement (IFA)

The IFA is a mandatory component of the local MOU, the IFA must include the following elements:

- A.** The timeframe the IFA is in effect, which may differ from the timeframe the overall MOU is in effect;
- B.** Identification of an infrastructure and shared services budget, which will be periodically reviewed and accordingly adjusted to ensure it reflects a cost allocation methodology that appropriately charges costs to each partner in proportion to their use of the one-stop center and the relative benefit received by their program; it is a component of the overall one-stop operating budget;
- C.** Identification of all one-stop partners, CEOs, and LBs participating in the IFA, including signatures of the individuals with the authority to bind the agreement;
- D.** Documentation of steps the LB, CEOs and RPs used to reach consensus, and if unable to reach consensus, assurance the local area has followed the SFM process;
- E.** A description of the process to be used by partners to resolve issues related to infrastructure funding during the IFA duration period; and
- F.** A description of the periodic modification and review process to be implemented to ensure equitable benefit among one-stop partners.

Steps for Developing an Infrastructure Funding Agreement

- 1.** Identify full cost of operating the one-stop system in the local area, including infrastructure costs and additional costs;
- 2.** Create the one-stop operating budget that includes the infrastructure and additional costs budgets;
- 3.** Develop reasonable cost allocation methodologies, including the identification of cost pools and allocation bases and select those that are to be applied;
- 4.** Determine estimated partner contributions;
- 5.** Allocate costs by each partner's proportionate use and relative benefit received and determine the method each partner will use to cover their cost;
- 6.** Prepare and agree to the IFA(s) (*Note: you may want a single IFA for the comprehensive one-stop center and separate IFAs for affiliate centers*);
- 7.** Identify how and how often (at least twice a year) a reconciliation will be conducted to be sure costs are allocated appropriately; and

8. Document and evaluate the negotiations process in full, including meetings, partners conferred with, meeting outcomes and final decisions.

One-Stop Operating Budget

To provide a starting point for negotiating cost sharing, each local area must identify the total cost of operating the local one-stop delivery system and the resources that will support those costs. The one-stop operating budget acts as the master budget that contains sets of individual budgets for infrastructure costs, the cost of providing career services, shared operating costs, shared services costs, and additional costs related to the operation of the one-stop. The one-stop operating budget must be included in the IFA.

Infrastructure Cost Budget

Infrastructure costs are the nonpersonnel costs necessary for the general operation of the one-stop center and which may include: facilities rental costs; utilities and maintenance; equipment (including assessment-related and assistive technology for individuals with disabilities); and technology to facilitate access to the one-stop center, including technology used for the center's planning and outreach activities. It may also include common identifier costs and the cost of supplies to support the general operation of the one-stop center. Nonpersonnel costs are all costs that are not compensation for program partner personnel. For example, technology related services performed by outside vendors or contractors are non-personnel costs and may be identified as infrastructure costs. Such costs would include service contracts with vendor or contractors of equipment and supplies.

Personnel costs include salaries, wages, and fringe benefits of employees of partner programs or their subrecipients, for example costs of partner program staff who use MIS systems to identify common performance and reporting outcomes would be personnel costs. The cost of a shared receptionist is a personnel expense and would not be included in the cost budget for SFM purposes but may be included in the local area IFA if partners agree to include shared services costs.

Infrastructure costs may be funded through cash and fairly-evaluated non-cash and third-party in-kind partner contributions. Partners' share of costs must be based on reasonable cost allocation

methodologies that ensure costs are charged to each partner program in proportion to its use of the one-stop center and relative to its benefits received. Such costs must be allowable, reasonable, necessary and allocable.

The requirements that govern infrastructure costs apply to each one-stop center in the local delivery system, whether the center is a comprehensive, affiliate, or specialized center. Required partners must provide access to their services through at least one comprehensive one-stop center in each local area and as such must contribute to the infrastructure costs of the comprehensive center. Only those partners that participate in affiliate centers are required to contribute toward the infrastructure costs of those centers.

Types of Contributions		
Cash	Non-Cash	Third-Party / In-kind
Funds provided to the LB or its designee by one-stop partners, either directly or by interagency transfer or by third party.	Expenditures incurred by one-stop partners on behalf of the one-stop center; and Non-cash contributions of goods or services contributed by a partner program and used by the one-stop center.	Contributions of space, equipment, technology, non-personnel services or other like items to support the infrastructure costs associated with one-stop operations by a non-one-stop partner to: <ul style="list-style-type: none">• Support the one-stop in general• Support the proportionate share of a specific partner
	Must be valued consistent with 2 CFR 200.306 to ensure they are fairly evaluated and meet the partners’ proportionate share. Partners must fairly value contributions on a periodic and annual basis.	
Examples of the above can be found in the guidance documents issued by US Departments of Labor and Education via the links in the Reference section of this document.		

Funding Limitations

Partner contributions are subject to that partner programs' administrative cost limitations and restrictions:

- Native American programs may contribute to infrastructure costs, but are not required to;
- Job Corps may only use program funds toward shared infrastructure costs;
- Adult Education and Postsecondary Carl Perkins recipients may only use admin funds toward such costs;
- Wagner Peyser, Unemployment Compensation, Jobs for Veteran's State Grant and Vocational Rehabilitation programs do not distinguish between program and admin funds; and
- Title IB, YouthBuild, National Farmworker Jobs Program, Senior Community Service Employment Program, Trade Assistance Act, and REO programs may use either admin or program funds to support shared infrastructure costs.
- Other partners carrying out employment and training activities with their funds (HUD, CSBG, etc.) must consult their authorizing documents;
- The Governor has excluded TANF from this requirement.
- Additional partners whose services are accessed through a one-stop must also participate in infrastructure cost sharing of the IFA but will not be subject to the State Funding Mechanism if it is triggered.

Proportionate Use

"Proportionate use" refers to a partner program contributing its fair share of the costs proportionate to:

1. The use of the One-Stop center by customers that may include reportable individuals and participants in its program served through that One-Stop center;
2. The amount of square footage occupied by the partner program in that One-Stop center; or
3. Another allocation base consistent with Uniform guidance.

Relative Benefit

The "relative benefit" received from participating in the one-stop delivery system is another step in the cost allocation process. Determining relative benefit does not require partners to conduct an exact or absolute measurable benefit, but rather to measure a partner's benefit using reasonable methods that are agreed to by all partners.

Cost Allocation

Prior to determining the method of cost allocation, it is necessary to determine if the costs are direct or indirect. **Direct costs** are costs that are identified specifically with a cost objective and charged directly to that objective. Direct costs may be classified as assignable or shared. **Shared direct costs** cannot be readily assigned to a final cost objective but are directly charged to an intermediate cost objective or cost pool and subsequently allocated to final cost objectives. These costs are incurred for a common or joint purpose benefiting more than one funding stream. **Indirect costs** are costs that have been incurred for a common or joint purpose and cannot be readily identified with a final cost objective. A method of allocation must be used to distribute the indirect costs to the various direct activities that benefited. To distribute indirect costs equitably and consistently, a cost allocation plan must be developed. A cost may not be allocated as an indirect cost if that cost or any other cost incurred in the same circumstance and for the same purpose has already been assigned to the program as a direct cost.

Measuring benefit

Measuring benefit is the critical requirement and central task to be performed in allocating costs. Costs are allocable to a cost objective based on the benefits received by that cost objective. When the direct measurement of benefit cannot be done efficiently and effectively, then it is appropriate to pool the costs for later distribution. The allocation base is the mechanism used to allocate the pooled costs to final cost objectives. Care should be taken to ensure that the basis chosen does not distort the results.

Allocability

For a cost to be allocable to a cost objective, it must be treated consistently with other costs incurred for the same purpose in like circumstances. Any cost allocable to a grant or other cost objective under these principles may not be shifted to other Federal grants to overcome funding deficiencies, to avoid restrictions imposed by law or grant agreement, or for other reasons. Costs that are prohibited by a funding source may not be paid or used as offsets under a pooled cost agreement.

Allowability

To be allowable, a cost must be necessary and reasonable for the proper and efficient administration of the program. To reduce the risk of accumulating and being held accountable for disallowed costs, program

operators should carefully review anticipated program expenditures, the terms and conditions of the award, and applicable regulations before any program costs are incurred.

Reasonableness

For a cost to be reasonable under an award, it cannot exceed that which would be incurred by a prudent person under the same circumstances. In determining the reasonableness of a given cost, consideration should be given to:

- Whether the cost is a type generally recognized as ordinary and necessary for the operation of the organization or the performance of the award.
- The restraints or requirements imposed by such factors as generally accepted sound business practices, arms-length bargaining, Federal and state laws and regulations, and terms and conditions of the award.
- Whether individuals concerned acted with prudence in the circumstances considering the responsibilities to the organization, its members, employees and clients, the public at large, and the government.
- Significant deviations from the established practices of the organization that may have unjustifiably increased the award's costs.

Cost Allocation Plan (CAP)

Once pooled costs to be shared among partners are identified, a basis of allocation must be agreed upon that is: fair to benefiting programs, measurable, consistent, and supported by ongoing data collection. Different bases may allocate different pools. A cost allocation plan is required to document the allocation process and is to include at least the following elements:

- Organization chart that identifies all partners, types of services provided, and staff functions.
- A description of the type of services and programs provided by the One-Stop system.
- A copy of the official budget that includes all costs of the system.
- The methods used in allocating the expenses to benefiting cost objectives. This requires identifying the basis for allocating each type of pooled cost, and the documentation for supporting each basis of allocation.

Cost Allocation Parameters

- Each partner must contribute its portion of pooled costs in addition to paying its own direct costs.

- The One-Stop system cannot deviate from existing federal, state, or local regulations. Costs that are prohibited by a funding source (federal, state, or local) may not be paid or used to cover costs identified under a pooled cost agreement.
- Components of the cost pool are limited to costs incurred during the period of operation.
- Required contributions are based on cost. In the case of staff, use actual salary and benefit costs in calculations, not number of staff and function performed. If different individuals will perform the function, then an average of their actual salaries and benefits may be used. Square footage will generally become the allocation basis for space. The cost per square foot becomes a pooled cost that is a direct charge to the partners.

Common costs must be divided up so that partners pay the share that is attributable to their program. Such costs must be allocated only to those programs that benefit and partners must agree to a method to divide up the common costs. Costs may be allocated using any methodology agreed upon by the partners and which reflect the best method of benefit received by the partner programs. Costs may be allocated:

In the aggregate. A big picture-based methodology where the common costs of the center are totaled, and each partner pays their fair share of the total of all common costs. For example, all shared costs of the one-stop center are pooled and allocated using a cost per hour of operation basis.

- **On an activity basis.** Using this approach, the costs associated with a common activity are pooled (such as common intake) and the partners pay their fair share of the cost of that activity. The costs for each activity being allocated would be added together for the total shared costs by partner. For example, the costs of a combined intake and eligibility determination system could be pooled and allocated based on data bytes on common forms attributable to each program.
- **On an item of cost basis.** Using this methodology, each item of cost is allocated to the benefiting partner program using a separate allocation methodology. For example, using rent as a cost and allocating it among partners based on square footage.
- **On a combination basis.** Partners may also allocate costs on a combination of above bases by allocating some costs on an activity basis and other shared costs on an individual item of cost basis.

Whatever cost allocation methodology is used, it must be consistent with: the GAAP, applicable OMB Cost Principles, applicable administrative requirements, be accepted by each partner's auditors and be supported by actual cost data. Cost allocation must not shift costs to a program that are not allocable to that program and/or do not benefit that program.

Periodic Review and Reconciliation

Partner shares must be periodically reviewed (no less than twice a year) and reconciled against actual costs incurred and adjusted to be sure actual costs charged to any one-stop partner are proportionate to the use of the one-stop center and relative to the benefit received by the one-stop partner, their programs or activities.

Documenting the IFA negotiations process

Local areas must document the process they used to reach agreement on infrastructure cost sharing; such documentation may include: meeting agendas and minutes showing who attended and what transpired; tools or forms created to facilitate the process and activities undertaken to reach agreement on infrastructure cost sharing so that the process is transparent to all involved parties.

Shared Costs:

Local areas may decide to include joint funding of other shared costs in the local IFA. In such cases, partners must identify what the shared costs are, the dollar values they represent, and how they will be funded by each partner. Centers with co-located partners that collaborate to provide up-front services, such as intake, orientation, assessment and service referral, may share the cost of staff providing those services on behalf of all co-located partners.

Sample Cost Pools and Allocation Bases

Cost Pools	Allocation Bases
Facilities: building rent, maintenance costs, utilities, tenant improvements, or any other similar costs related to the physical structure or housing the one-stop center.	Square footage occupied by each partner agency as compared to the total space, workstation usage by partners as compared to total workstations.
Telecommunications: monthly telephone costs, telephone system equipment, data lines etc.	Dedicated telephone units as compared to all units. Equal access to Internet for data costs.
Information Technology: shared equipment, software, IT maintenance costs, Internet access, and other costs.	Number of dedicated computers (including all necessary equipment) as compared to total.
Resource Center: costs of shared equipment, displays, computer learning, specialized software for computer learning, furniture, copier, fax machine, may also include related staff costs.	Equal access by customers of all programs results in equal costs for each partner. Customer attributable by partner program. Number of customers receiving services within the resource center.
Common Intake System: cost of developing common intake data formats, preparation and interview of customers and similar costs.	Use of common data formats and bytes of information for each program. Time study to determine amount of time required for specific program data compared to the time needed to complete the process for an individual.
One-Stop Center Management: cost of center director, receptionist, staff of the resource center.	Number of customers eligible for or receiving specific program services. Direct costs by partner. Total costs by partner as compared with total of all partners.
Shared Equipment and Supplies: staff copier, fax, associated supplies, furniture.	Usage by staff of each partner program. Occupancy (square footage) basis; numbers of work stations.
Common Basic Services: Staff and benefit costs	Time distribution (time sheets). Number of clients eligible for specific program. Weighted participant numbers.

Sample Budget Sheets

Cost Item	Cost Basis	Monthly Cost	Yearly Cost
Facilities			
Rent	Actual	\$5,000	\$60,000
Utilities (electric, gas, water, sewer)			
Building Maintenance			
Building Security			
Operations			
Telephone			
Data / Communications			
IT Maintenance			
Shared Equipment (assistive tech, assessment tech)			
Copiers			
Fax Machines			
Computers			
Other equipment used to serve all center customers.			
Equipment Maintenance			
Resource Center			
New AJC Signage			
Supplies			
Software			
Hardware			

Printed Materials			
Other (List each cost)			
Common Staff (position)			

Summary of Total Infrastructure Costs to be Shared by Colocated Partners	
Cost Category	Total Cost
Subtotal: Rental Costs	
Subtotal: Utilities & Maintenance Costs	
Subtotal: Equipment Costs	
Subtotal: Technology to Facilitate Access Costs	
Subtotal: Common Identifier Costs	
Total Infrastructure Costs for this AJC Network	

Proportionate Share: Infrastructure Costs this AJC Network				
Partner	Compute Methodology	Partner Program Share in Cost	Source by Cash	Source by In-Kind
#1		\$	\$	\$
#2		\$	\$	\$
# 3		\$	\$	\$
Total Budget		\$	\$	\$

Sample Share of Other Costs

SERVICES Optional partner agreement to share other AJC costs: initial intake, assessment of needs, appraisal of basic skills, identification of appropriate services to meet needs, and referrals to other AJC partners. This may include costs of personnel, technology, and tools that increase integrated service delivery through sharing of information and service delivery processes.		
Line Item	Budget Detail	Cost
		\$
		\$
Total Budget:		\$
Agreed upon cost allocation methodology to share these costs:		

Proportionate Share: Initial Intake, Assessment, Basic Skills Appraisal, Services, Referrals, etc.				
Partner	Compute Methodology	Partner Share	Source by Cash	Source by In-Kind
Adult		\$	\$	\$
Dislocated Worker		\$	\$	\$
Youth		\$	\$	\$
Job Corps		\$	\$	\$
YouthBuild		\$	\$	\$
Wagner Peyser		\$	\$	\$
Adult Education		\$	\$	\$
Vocational Rehab		\$	\$	\$
DBVI		\$	\$	\$
SCSEP		\$	\$	\$

TAA		\$	\$	\$
JSVG		\$	\$	\$
UI		\$	\$	\$

BUSINESS SERVICES Optional partner agreement to share other AJC costs: Business Services, which may include costs related to a local or system business services team that has one or more partners or has delegated one partner to provide these services on behalf of the other partners.

Line Item	Budget Detail	Cost
Total Budget:		\$
Agreed upon cost allocation methodology to share these costs:		

Proportionate Share: Initial Intake, Assessment, Basic Skills Appraisal, Services, Referrals, etc.				
Partner	Compute Methodology	Partner Share	Source by Cash	Source by In-Kind
Adult		\$	\$	\$
Dislocated Worker		\$	\$	\$
Youth		\$	\$	\$
Job Corps		\$	\$	\$
YouthBuild		\$	\$	\$
Wagner Peyser		\$	\$	\$
Adult Education		\$	\$	\$

Vocational Rehab		\$	\$	\$
DBVI		\$	\$	\$
SCSEP		\$	\$	\$
TAA		\$	\$	\$
JSVG		\$	\$	\$
UI		\$	\$	\$

Please note: the one-stop financial management technical assistance guide offers several other budget sheets, tools, and example allocation bases and scenarios; links to this and other good resources are printed below.

State Funding Mechanism Appeals Process

When the local area has informed the State that they are at an impasse regarding infrastructure cost sharing the State Funding Mechanism (SFM) will be applied. The SFM applies only to infrastructure costs.

Under the SFM, the Maine Department of Labor, in consultation with the chief elected officials, the local workforce board and the State workforce board, will determine each required partner's proportionate share of infrastructure costs for that local area, using guidelines pertaining to the State Funding Mechanism, which will be put forth for the Governor's review and approval as a final determination.

A required partner may appeal the final determination because of a claim that:

- c. The Governor's determination is inconsistent with the infrastructure cost proportionate share requirements of 20 CFR 678.735;
- d. The Governor's determination is inconsistent with the infrastructure cost contribution caps described in 20 CFR 678.738

7. An appeal must be made in writing within 21 days of the Governor's determination and must include specific evidence that the amount determined by the Governor is inconsistent with **a.** and/or **b.** above.
8. Written appeals must be submitted to:

Appeals
Maine Department of Labor
Bureau of Employment Services
55 State House Station
Augusta, ME 04333-0055
9. The appeal will be reviewed by the executive committee of the State workforce board and within 30 days of receipt, the appellant will receive a letter either denying or accepting the appeal.
10. If the appeal is found to be without merit, it will be denied, and no further action taken.
11. If the appeal is merited, the executive committee will make a revised determination. The executive committee may consult with the chief elected official and local board to attempt to negotiate a mutually agreed upon revised determination. The revised determination will only pertain to infrastructure cost sharing and will be presented to the State workforce board for review and approval.
12. Upon full approval of the State workforce board, the revised determination will be considered final throughout the cost sharing agreement period of duration, until such time as local area infrastructure cost sharing is renegotiated.

Resource Links:

- FAQs Infrastructure Cost Sharing - USDOL: <https://www.doleta.gov/wioa/docs/FAQs-Infrastructure-Funding-Guidance-Dec-27-2016.pdf> ;
- FAQs Infrastructure Cost Sharing - USDE: <https://www2.ed.gov/about/offices/list/osers/rsa/wioa/one-stop-costs-faq.html>

- One-Stop Comprehensive Financial Management Technical Assistance Guide Part I (2002)
https://www.doleta.gov/grants/pdf/FinalTAG_August_02.pdf
- One-Stop Comprehensive Financial Management Technical Assistance Guide Part II (2011)
https://www.doleta.gov/grants/pdf/TAG_PartII_July2011.pdf
- PM OCTAE 17-3: <https://www2.ed.gov/about/offices/list/ovae/pi/AdultEd/octae-program-memo-17-3.pdf>
- PY16-01 Change 1: MOU Policy:
- PY17-03 SFM Policy:
- Resource Sharing for WIA One-Stop Centers: Methodologies for Paying or Funding Each Partner Program's fair Share of Allocable Costs: <https://www.gpo.gov/fdsys/pkg/FR-2001-05-31/pdf/01-13426.pdf>
- RSA TAC – 17-03: <https://www2.ed.gov/policy/speced/guid/rsa/subregulatory/tac-17-03.pdf>
- Sample Infrastructure Cost Tool Kit: https://ion.workforcegps.org/resources/2017/03/23/13/30/Sample_MOU_Infrastructure_Costs_Toolkit
- TEGL 17-16 Infrastructure Cost Sharing: https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=4968

Inquiries pertaining to this policy may be addressed to:

State Workforce Board
 120 State House Station
 Augusta, Maine 04333-0120
 207-621-5087 TTY users call Maine Relay 711
SWB.DOL@maine.gov

APPENDIX F: RESPONSE TO COMMENTS REGARDING 2020-2023 AGRICULTURAL OUTREACH PLAN

On February 10, 2020, the Maine Department of Labor (MDOL) solicited comments from interested parties on the four-year Agricultural Outreach Plan (AOP). The Department received comments from one interested party during the thirty-day comment period ending March 11, 2020. Yvette Meunier, Promotional Coordinator from the Agricultural Resource Development Division of the Maine Department of Agriculture, Conservation and Forestry responded. The following includes the comments received and the Department's response to each.

Comment: "I will say that from a layperson's perspective, there is a lot of terminologies undefined or appear to be interchangeable (One-stops, H-2A local offices, American Job Center, CareerCenters). SWA and ETA acronyms were used but never defined. The ES acronym was used several times before being defined."

Department Response: The Department agrees the use of acronyms requires additional clarification. Acronym edits were made to the final draft of the plan including an updated appendix of acronyms and definitions.

Comment: "DACF was never mentioned in the plan, is there any interest in identifying areas we can collaborate with as part of their work? One potential area of assistance might be with promoting the Agricultural Recruitment System through social media and direct outreach to employers, as identified in the last sentence of the first paragraph under Assessment of Progress on page 5 of the plan. They could also mention ongoing outreach opportunities with the Farm Labor Link Network at the Ag Trades Show to reach out to farmers to promote the H-2A program."

Department Response: Although the plan does not specifically name or operationalize specific partners and services, we are fully committed to making sure that these relationships are as strong as possible. This will include working with the Department of Agriculture, Conservation and Forestry and others in promoting the Agricultural Recruitment System through social media, and direct outreach to employers as well as outreach to farmers to promote the H-2A program at the Agricultural Trades Show.