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**Maine Workforce
Investment Act Planning
Guidelines**

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Executive Summary of the Maine Workforce Investment Act Plan

Part I – Background

The Workforce Investment Act (WIA)

The Workforce Investment Act aligns existing and new Federal employment and training programs. This new law authorizes funds under Title I for employment services to adults, youth, dislocated workers and employers. It is a successor to the Job Training Partnership Act (JTPA). The new emphasis of WIA is on creating an integrated system of employment services. The motto is that there should be “no wrong door;” in other words, no matter where a person starts, s/he should be able to find the right source of help or training. This coordinated approach will encompass programs for people with disabilities, for job placement (labor exchange), for adult education and literacy, and others.

One-Stop and CareerCenters

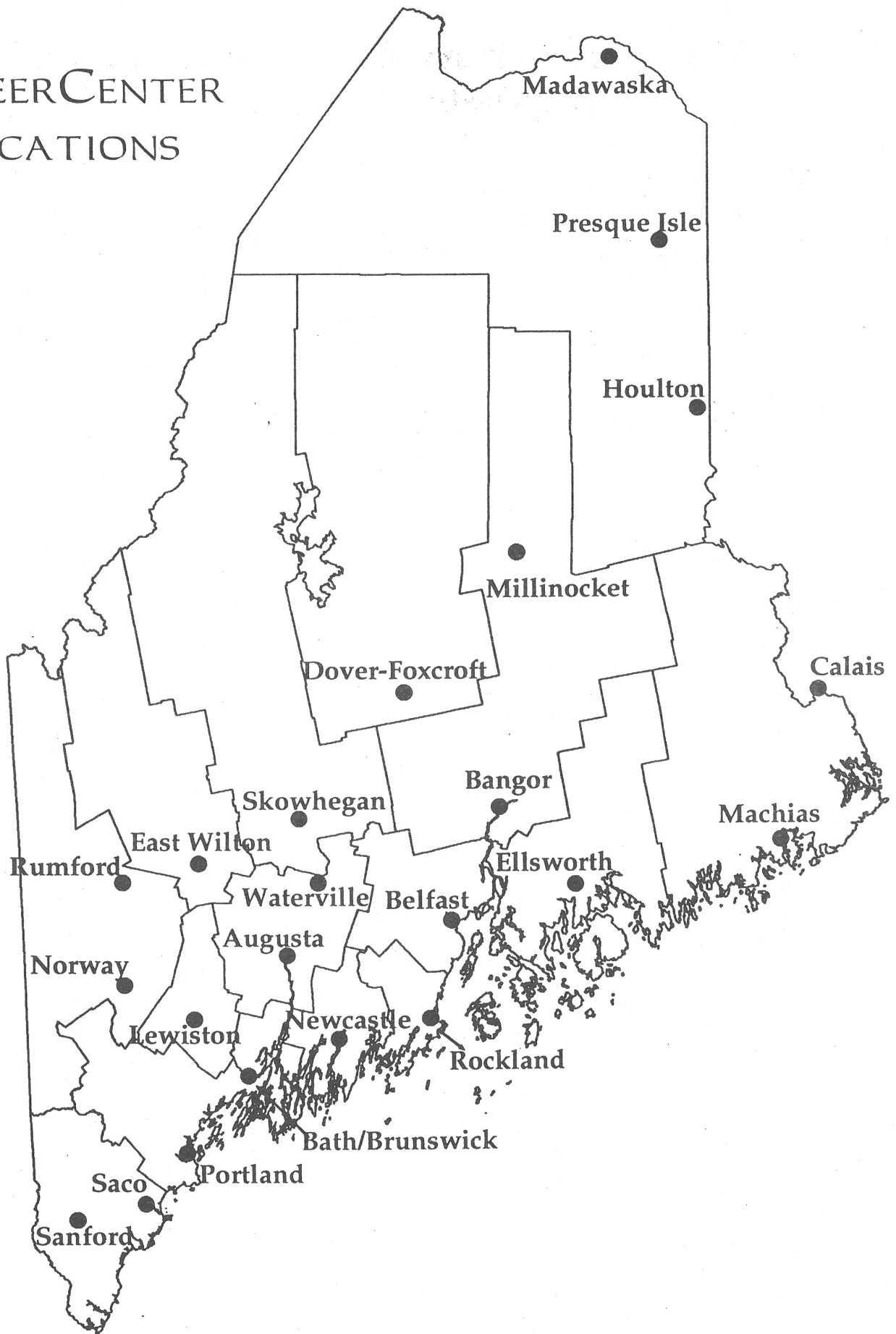
Another name the WIA gives for this philosophy is “one-stop.” Maine is already in the process of establishing 23 CareerCenters throughout the state which incorporate the one-stop philosophy. The CareerCenters are places where any job seeker can walk in off the street and find a library of resources, workshops, and individualized services. Any employer can get assistance to address workplace needs. This plan builds on the CareerCenters which are already underway in Maine. (See the next page for locations.)

The Role of the State Plan

This is a five-year plan for the implementation of the Workforce Investment Act in Maine. Currently programs authorized by WIA amount to about \$9 million in Program Year 2000. This draft plan has been developed collaboratively by the Maine Jobs Council (MJC) with representatives of the Maine County Commissioners (MCC). For instance, MCC were instrumental in proposing the local area configuration found later in this document. In addition, the MJC Planning Committee reviewed other issues such as governance, employment policy, and performance standards with MCC prior to final MJC draft plan review and approval for distribution and public discussion.

As a point of clarification, this is a detailed plan for the programs under WIA Title I (adult and youth services, services to dislocated workers) and Title III (Wagner-Peyser labor exchange services). There will be separate plans for programs under Title II (Adult Education and Family Literacy), and Title IV (Rehabilitation services).

CAREER CENTER LOCATIONS



Who's Who

The **Governor** appoints the Maine Jobs Council and approves the state WIA plan.

The **Maine Jobs Council** is a 24-member board that provides workforce development policy recommendations to the Governor. In this role, the council prepares the state WIA plan for public comment and submits a final version to the Governor for approval. The Maine Jobs Council is the WIA State Workforce Investment Board (SWIB).

Local Workforce Investment Boards are citizen boards, appointed by the Chief Local Elected Official(s) of the local area. The Board is responsible for directly overseeing the implementation of WIA Title I programs (adult, youth, dislocated worker), and for coordinating service delivery with other related services. The state plan defines the geographic area that Local Workforce Investment Boards (LWIBs) will oversee.

The **Chief Local Elected Official (CLEO) or Officials** is one or more county commissioners from the LWIB jurisdiction, chosen by their fellow commissioners. The CLEO has the responsibility for being the grant recipient and working with the LWIB in establishing workforce development systems in the local area.

The **Grant Recipient** is the Chief Local Elected Official (CLEO) in a local area. The CLEO will select an organization to be responsible for receiving, managing and reporting the use of WIA Title I funds for that local area. This entity also serves as staff to the LWIB.

The **Board staff** is responsible for supporting the LWIBs in the performance of their duties including, but not limited to, developing a local area plan, negotiating performance standards and Memorandums of Understanding, reporting program performance results, and providing program oversight.

Investing Partner is a One-Stop Partner - either required or optional - that makes a financial contribution to CareerCenter systems, services and program operating costs.

A **One-Stop Operator** is chosen through RFP or selected as a consortia, and is responsible for implementing the LWIB plan and its associated Memorandums of Understanding (MOUs) in its local area. The Operator has no authority to hire, fire, or directly supervise staff within the CareerCenters.

A **Service Provider** is an entity that implements youth, adult or dislocated worker programs around core, intensive, training and youth-specific program services.

A **Training Provider** is an agency which provides occupational skills training programs according to WIA §134(d)(4).

A **Required Partner** is a program entity which is identified in the WIA law as a necessary element of the coordinated system. Examples of required partners are rehabilitation programs (Title IV), adult education programs (Title II), welfare-to-work programs, and the like.

Part II -- Highlights

State Approach

The Plan is guided by five state goals and four federal principles.

The five State goals are:

- Create *meaningful lifelong learning* opportunities;
- Increase *employer participation* in the workforce development system;
- Increase *public involvement* in the workforce development system;
- Integrate *economic development* with workforce development; and,
- Create a *seamless delivery system* for workforce development.

The four Federal principles are:

- *Universal access* – services should be available to all, not just specific population subgroups;
- *Customer choice* – individuals should be able to find what they need, and customize services when appropriate;
- *Program integration* – there should be common intake forms, resource rooms, among programs and among different parts of the state; and,
- *Accountability* – the state and local officials should have clear performance expectations for each program, and these should be reinforced by incentives and disincentives.

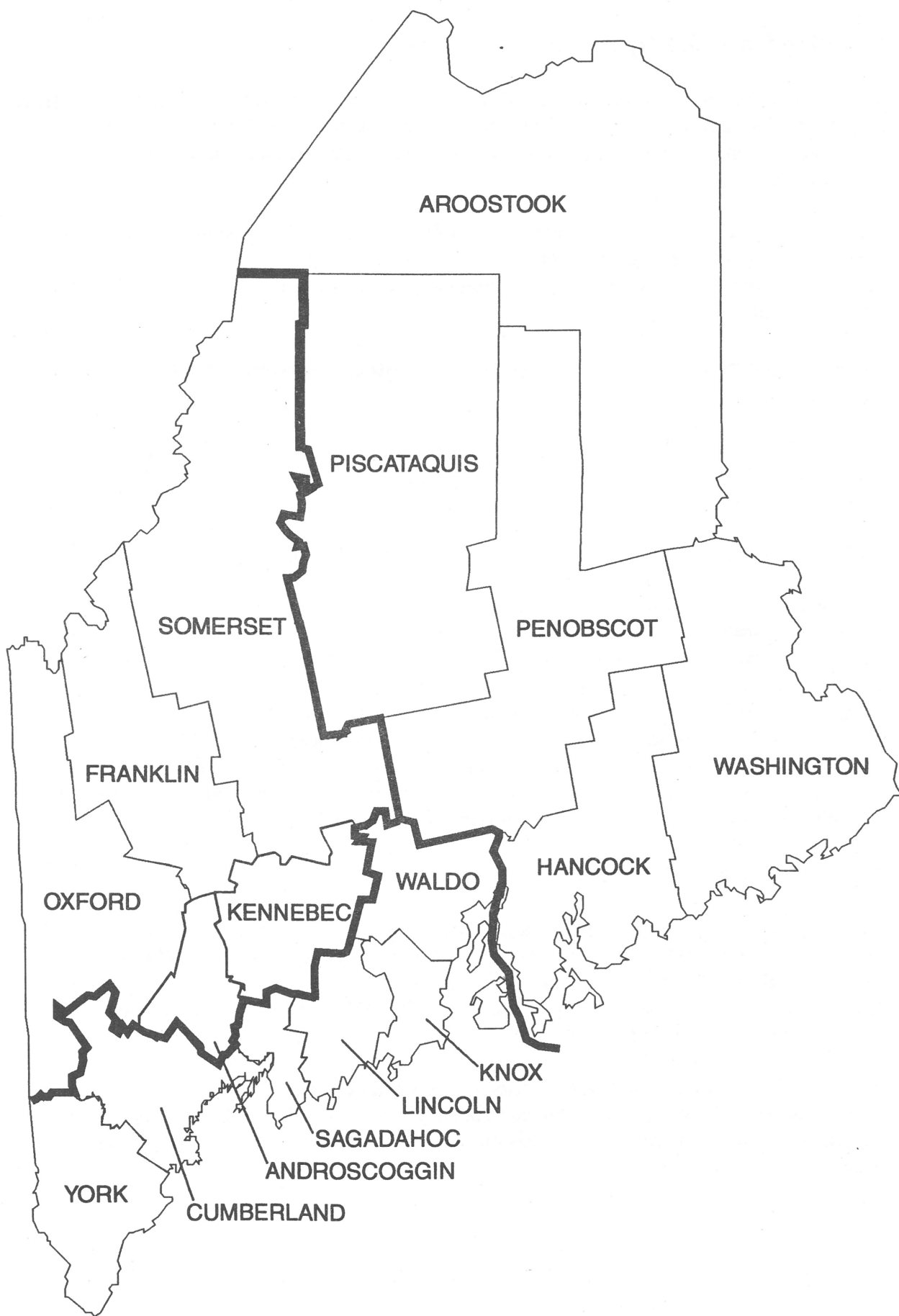
Proposed Geographic Service Areas – (see map on next page)

The draft WIA plan includes a proposal consisting of three local areas within Maine, as follows:

Area 1: Aroostook, Piscataquis, Penobscot, Washington and Hancock counties.

Area 2: Somerset, Kennebec, Androscoggin, Franklin and Oxford counties.

Area 3: Waldo, Knox, Lincoln, Sagadahoc, Cumberland and York counties.



Selecting One-Stop Operators - (see page 40)

The Local Workforce Investment Board (LWIB) and Chief Local Elected Officials (CLEO) are responsible for choosing One-Stop Operators in each local area. The One-Stop Operator is responsible for implementing the LWIB plan and its associated Memorandums of Understanding in its local area.

The LWIB/CLEO can choose operators in one of two ways. First, an operator can be chosen through a competitive procurement process. Or, an operator can be a consortia of investing partners, in which case a competitive procurement process is unnecessary. A local area can have several operators.

Services are coordinated through Memoranda of Understanding (MOUs) – (see Appendix F)

The successful coordination of programs through WIA will require the participation of a multitude of program entities in Maine. The instrument for formalizing and clarifying the terms of cooperation will be Memoranda of Understanding, or MOUs for short.

MOUs will operate at three different levels. First, there will be “umbrella” MOUs among key state agencies that will set overall parameters to give guidance to local areas. These MOUs will provide a general structure for local agencies to negotiate MOUs at individual CareerCenters. The Maine Department of Labor will take the lead in developing these agreements among its partners, which include bureaus within the Departments of Human Services, Education, and Economic and Community Development and Labor. Second, there will be MOUs between the Local Workforce Investment Boards and their Investing Partners. These will spell out services, funding, reporting, and administrative relationships. Third, there will be MOUs between One-Stop Operators of individual CareerCenters and connecting partners, or those program entities with referral arrangements between CareerCenters and the entity which do not contribute financial resources toward systems or program operating costs.

Performance Standards (see page 63)

The Workforce Investment Act places a great emphasis on performance standards. Some of these are set at the federal level. However, they can be added to by the State Workforce Investment Board (Maine Jobs Council), and can also be supplemented by the Local Workforce Investment Boards (LWIBs). Performance standards are the means by which accountability is incorporated into WIA at all levels.

The Memoranda of Understanding described above will be the mechanism by which performance standards will be connected to agency activities at the LWIB and CareerCenter levels. There will be particular emphasis on setting standards for WIA Title I programs (adult, youth, dislocated worker).

Funding: (see page 18)

WIA Title I funds for adults, youth and dislocated workers will be distributed by the federal government to the state government, which in turn will pass them along to local grant recipients. Maine State Government will retain 10% for a set-aside to help meet statewide goals and further systems capacity building.

Building systems collaboratively (see page 36)

Under WIA, the administrative funding cannot exceed 10% of local area allocations. This creates incentives for approaching potential Investing Partners from a position of collaboration. No single program entity has the resources to pay for all systems and program operating costs. Required partners will become Investing Partners when they see the CareerCenter system as value-added to their specific customer base. And when partners are willing to contribute financial resources in a way that benefits their customers, they have the authority to provide input into how that system operates. This dynamic is the genesis for alliance-based systems development.

CareerCenters as Primary Resource for Labor Market Information and Services (see page 33)

Businesses have locations in more than one region of the state, and they all have a unified approach to presenting themselves to the public. It's done for a reason: the visibility communicates to customers that they can expect the same quality of product and services from one location to another. It is important, therefore, that CareerCenters around Maine look and feel the same, and have the same basic quality of service standards. This philosophy is already in place in Maine. It not only entails a consistent standard of presentation in each of the Centers, the philosophy is institutionalized within CareerCenters as the premier vehicle for acquiring labor market information and services.

Maine's employment programs will respond to the market (see pages 40-43 and 45-46)

Successful job training and placement requires attention to both the individual job seeker and to the business employer. In market terms, the job seeker represents supply, and the employer represents demand. Traditionally, employment services have been focused on the supply side. The State of Maine commits itself to an aggressive employer assistance strategy, one that articulates the unique role of the business community in holding the workforce development system accountable for meeting its need for skilled workers and contributing to overall state and regional economic development goals.

Part III – What’s Next?

This is a draft plan. It is intended as a basis of dialogue and discussion, not as the final word. The Maine Jobs Council, in collaboration with Maine County Commissioners, is committed to holding public forums in January in CareerCenters and other locations around the state, as well as one on the University television network, in order to get reactions and suggestions. Responses will be analyzed by the MJC and the draft plan will be edited into a final version for consideration by the Governor and subsequent submission to the U.S. Department of Labor.

Also, there is a significant amount of work to be done to put the plan in place. In each local area, CLEOs must select LWIB members, Youth Councils are to be established, and grant recipients and One-Stop operators will be selected. The Maine Department of Labor will be holding workshops and providing technical assistance to local officials throughout the implementation of this plan.

A detailed schedule of activities is available by contacting the Maine Department of Labor, Bureau of Employment Services, 55 State House Station, Augusta, ME 04333-0055; telephone (207) 624-6390 or 888-457-8883; or, at the CareerCenter Internet site - www.mainecareercenter.com.

I. Plan Development Process

A. Process Description

Shortly after final regulations were available in April of 1999, the Maine Jobs Council (MJC) established a WIA planning committee. This planning committee was charged with reviewing the WIA planning instructions with Maine Department of Labor staff for the purpose of providing policy guidance. The committee met regularly starting June of 1999 to review State Plan documents produced by staff.

In addition to offering advice and comments during State Plan development, the committee recommended a two-day conference with the full Maine Jobs Council, Chief Local Elected Officials (CLEOs), Service Delivery Area (SDA) Directors, Private Industry Council (PIC) members, and the Commissioner of Labor. This conference was held in October of 1999.

During the month of November, the Maine Jobs Council reviewed the Plan and suggested improvements. The State Plan was adopted as a draft by the full MJC at their December 3, 1999 meeting.

A 60-day public hearing process followed, during which the Maine County Commissioners Association (MCCA) joined Maine Jobs Council members in hosting a number of regional forums throughout the state. In early 2000, a Partner Day was arranged where investor and connecting One-Stop partners and other interested stakeholders learned how WIA would affect them. They were also provided a chance to react to key elements in the State Plan.

B. Demonstrate How Comments Are Considered in Process

After the 60-day public comment period expired in early February, all public comments were batched and presented to the MJC Planning Committee. The Planning Committee reviewed the comments in detail and solicited input from the County Commissioners, then made recommendations to the full MJC on State Plan revisions. After discussion and debate, the MJC incorporated changes and formally recommended the WIA State Plan to the Governor.

II. State Vision and Goals

State legislation has been passed to create one overarching Maine Jobs Council which replaces the previous Job Training Partnership Act-authorized Maine Human Resource Development Council (MHRDC) and eight other human resource-related councils, boards or commissions. The legislature found it essential that Maine have an entity to take a broad view of workforce development. The legislature further provided for its membership to be made up of the system's customers: workers, employers, organized labor, the public, as well as relevant state agencies providing workforce development and related services.

The Maine Jobs Council (MJC) has adopted the following vision and mission statement for all Maine workforce investment agencies:

Vision: "Maine people will have a high quality of life with rewarding work and prospering businesses. Employers will have skilled workers and workers will have good jobs. Economic success will be backed up by a world-class workforce development system."

Mission: "Maine State Government will design, lead, and coordinate a public-private workforce development system. It will be convenient and easy to use, affordable, effective and comprehensive. Through it, everyone will have the opportunity of lifelong learning."

A. Maine's Strategic Economic and Workforce Development Goals

To move to a market-driven employment and reemployment system, the Maine Jobs Council has identified five major goals for the workforce development system:

- create meaningful lifelong learning opportunities;
- increase employer participation in the workforce development system;
- increase public involvement in the workforce development system;
- integrate economic development with workforce development; and,
- create a seamless delivery system for workforce development.

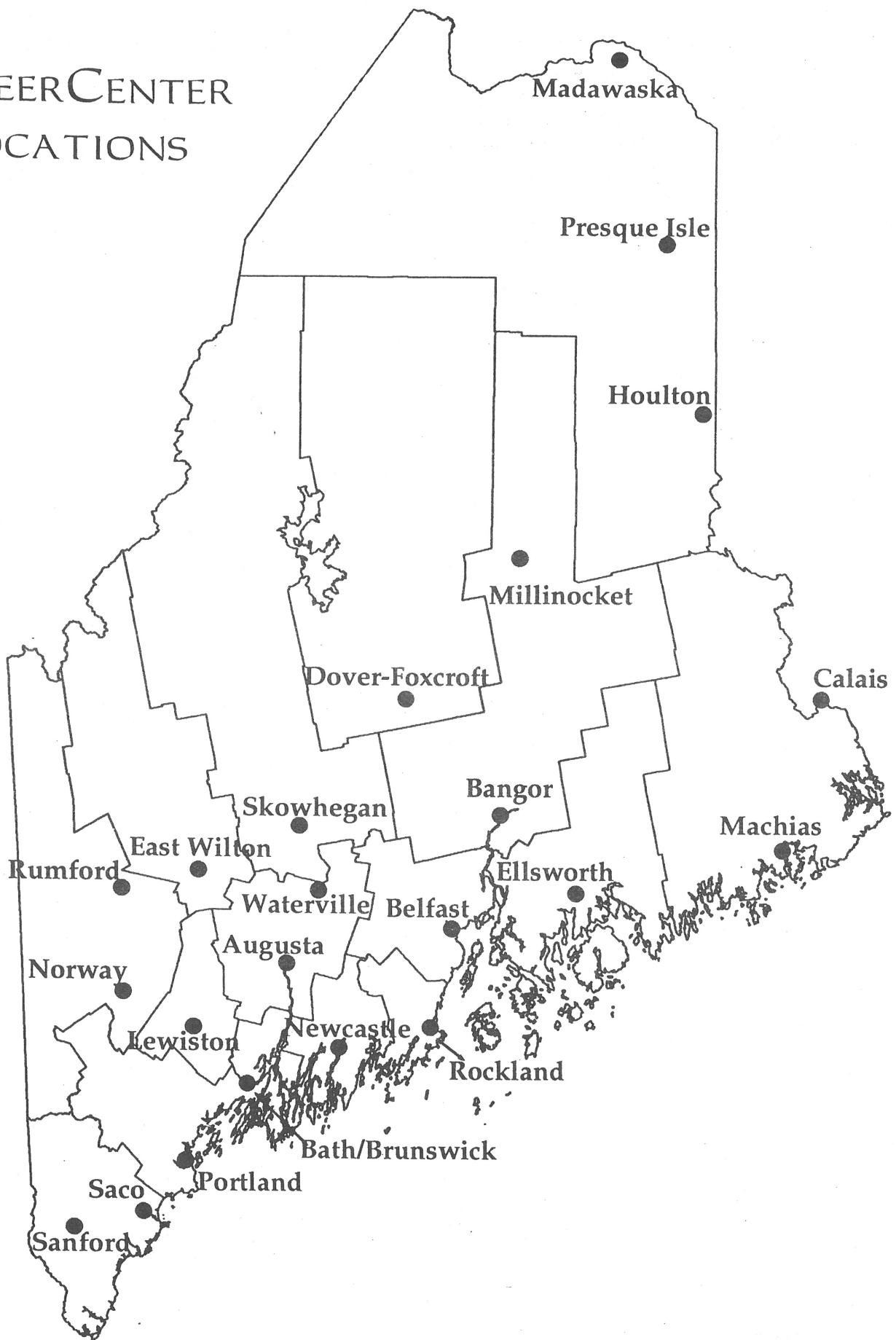
These goals point to the need for a system that will provide businesses and job seekers with the support and flexibility they require for economic success. Such a labor market system would enable job seekers to make smooth transitions to new jobs, facilitate their access to high-quality education and training programs, and enable employers, in addition to finding skilled workers to respond to the demands of an increasingly competitive marketplace, to meet their full range of needs for labor market services.

In support of this mission, the Maine Department of Labor (MDOL) has adopted a "One-Stop" approach for serving its employer and job seeker customer base. The One-Stop is the vehicle for transforming the array of fragmented employment and training programs into a coordinated system for delivering employment and reemployment services. The major systems shift is the alignment and integration that puts customer needs first to

effectively serve both employers and job seekers. More than a physical location, One-Stop is a way of doing business.

Maine One-Stops - labeled "CareerCenters" - are the premier source of labor market information and services. There are 23 locations, most of which are now operating as One-Stops. The full complement of CareerCenters will be operating by the Summer of 2000. (See map on next page.)

CAREER CENTER LOCATIONS



B. WIA Support for State Goals

Economic factors, the business climate, and socio-demographics unique to Maine have shaped the five MJC goals. Maine's CareerCenters, in turn, will provide the services which will allow the workforce investment system to meet those goals. The State-level goals complement new operating principles for CareerCenters and the principles expressed by the Workforce Investment Act (WIA). These principles are as follows:

- Universal Access
- Customer Choice
- Program Integration
- Accountability

The WIA statewide workforce investment system will be of great assistance in helping Maine meet its vision of economic success through a world-class workforce development system. The goals and principles above will ensure a system driven by market needs rather than by program constraints.

1. Universal Access

For Maine to meet the challenges of the new global economy, the workforce development system must continually upgrade the skills of and services available to all workers, no longer focusing solely on small segments of the population traditionally served through categorical programs. At the same time, the Department of Labor is very aware that in times of shrinking state and federal budgets, the need to expand services presents a real challenge.

The core concept of universality is providing the means to make CareerCenters more than a place to receive services. They will become community resources that actively promote lifelong learning and smooth employment transitions for job seekers and link to economic development by assisting employers and train the employees they need to compete. CareerCenters are a catalyst to encourage people to take advantage of other resources as well.

Rapid changes in technology and the simple demographic fact that most of today's workforce will be the workforce of tomorrow means that learning both before and during employment is now an economic necessity. With the principles of universality in place, the CareerCenters are able to support the State goal of lifelong learning. The tools available within CareerCenters and the links to institutions of higher learning and employer training are relevant to any of the economic cycles that may occur.

2. Customer Choice

When customers first walk in to CareerCenters, the staff they meet must be well-informed and able to answer inquiries or direct people to appropriate services. Such services include, at a minimum, labor market information, career decision making, resume development, job search, and assistance with identifying the skills needed for career advancement for supply side customers and labor market information, recruitment and training strategies, and referral services for demand side customers.

Customers are provided with a range of alternatives, not just what service providers believe are the solutions.

Customer choice also means that the system needs to offer services in different ways. Customers should have the choice of self-directed services, group workshops, individual counseling sessions, and more intensive educational training supports. Customers have the opportunity to gain information in a variety of learning styles and through various media which can accommodate abilities and disabilities.

Additionally, customer choice means that customers will choose CareerCenters to help meet their employment, career or workforce needs. In order to ensure that CareerCenters are providing the services customers want, the MDOL is committed to implementing a customer feedback system that is consistent from site to site throughout the state.

In order for the system to become aware of customer needs and to be responsive in a meaningful way, the public needs to be involved in steering the workforce development system. The ongoing development of customer satisfaction standards, the use of customer focus groups, and the membership composition of the State and Local Boards will support the State goals of increasing employer and public involvement in order to make the system market driven.

3. Program Integration

Again, focusing on customer service becomes a key direction. Programs and services are integrated to avoid and eliminate duplication and to provide comprehensive and accessible One-Stop services. Seamless service delivery means programs are streamlined. Integration offers new, untapped efficiencies. More importantly, it offers customers the opportunity for more and better services.

The consolidation and streamlining of existing programs according to functional areas provides improved service. Some examples are:

- common intake - customers provide information only once;
- resource rooms containing labor market information (LMI), human resource information, self-directed assessments and other prevocational modules; and,
- single point of contact simplifies the employer's access to job orders, job development and developing employer-based training.

Beyond integrating systems within the CareerCenter, systems affecting workforce development which are external and independent need to be aligned. Balancing employer demand with the labor supply requires coordination with economic development agencies and other workforce investment agencies. The Maine Department of Labor (MDOL) and the Department of Economic and Community Development (DECD) have included in their strategic plans the coordination activities that will allow the jobs of tomorrow to be taken by Maine people. CareerCenters have the resources to influence choice in the activities for occupational preparation and occupational choices. Further, the links to economic development

established by the Maine Jobs Council and the Local Workforce Investment Boards ensure support of the State goal of integrating workforce development with economic development.

4. Accountability

In order to meet State system goals, each of the partners in the CareerCenter must be accountable for their role, for the services they provide in the overall menu, and for their commitment to the One-Stop effort in general. The choice of measures to be used to evaluate and steer the system must be rooted in the system's goals themselves.

The information and services provided in CareerCenters five years from now will consist of all relevant employment and related workforce development services required by employers and job seekers. This market-based approach will keep the system and its services relevant to the needs of the day. Therefore, the system needs an ongoing self-evaluation mechanism in order to adequately respond to changing customer need.

The Workforce Investment Act (WIA) and the *modus operandi* of the CareerCenters allow many workforce development programs which formerly operated independently to come together as a seamless whole. To evaluate the system and feedback useful information for managing it, new ways of measuring accountability need to be developed. Performance measures required for the separate programs under WIA will not, by themselves, adequately measure the progress of the system toward meeting its goals. Section V "Performance Management" focuses, in part, on managing the performance of the system.

C. Identification of Performance Indicators to Track Progress on Meeting Goals

Maine's approach for identifying performance indicators to track progress in meeting the state goals consists of implementing its market-based program strategies. Each of the state goals is to be implemented from a supply and demand side perspective, and principles of customer feedback will be used to determine the extent to which the goals are realized.

The CareerCenter system is developing a customer satisfaction measurement system that can and will measure attainment of these goals. For example, as with the other goals, customers are the first point of contact for determining system success in promoting lifelong learning opportunities. Information obtained through comment cards, formal surveys and internal assessments will be used not only to improve the quality of products and services delivered within the CareerCenters, but also to identify gaps in system linkages and referral mechanisms. If the supply side customer is knowledgeable about lifelong learning opportunities, knows how to access them, and the demand side customer is knowledgeable about the benefits of life-long learning and is willing to offer and support them for their workers then the goal will have been realized.

III. Assessment

A. Market Analysis

1. Key trends expected to shape the economic environment of the State during the next five years.

Maine is a state of 1.2 million people inhabiting a space that is roughly the size of the other five New England states combined. Maine's economy has long been based on the bounty of its natural resources - fishing, farming, forestry and tourism. The very nature of these industries has meant that a significant portion of employment opportunities are seasonal and overall earnings lag behind national averages.

Despite its strong natural resource heritage and the independent nature of its people, Maine's economic vitality has become highly dependent on regional and national activity. Further, as Maine's economy has transitioned from an agricultural and industrial foundation towards a service and information-based economy, the state has become increasingly dependent on the global marketplace. As in other states, Maine's economy is being shaped and propelled by several factors including:

- population dynamics;
- the changing composition of the job base;
- globalization;
- federal investment;
- technology; and,
- women in the workforce.

The major transformation of Maine's economic underpinnings is creating both opportunity and challenge. There are a number of forces at the root of the transformation.

a. Population Dynamics

Maine's population growth can be described in three ways – the population is growing slowly, it's growing older and it's growing very unevenly. First, given that Maine is 98% Caucasian and has never served as a major port of entry for immigrants, its population growth has always been a fraction of that of the US. At its peak in the 1970s and 1980s, population grew at 1% per year which was very close to the national average. The 1990s have shown 6 years of outmigration and the lowest number of births ever recorded. Secondly, Maine shares the national trend in the aging of the population as the baby boomers head toward their golden years. However, this "aging phenomenon" has been a bit more pronounced in Maine as the young working-age cohort has left the state and the immigration of retirees has increased. Finally, the average population statistics for Maine are misleading when considering county level activity. Over the past 45 years, Aroostook and Androscoggin counties have experienced significant population declines and, seven counties stretching from Oxford County through the vast central Maine area to Washington County have all seen either losses or very

minor increases. Only the coastal counties have experienced any population growth, with the greatest growth occurring in the five most southerly counties.

b. The Changing Composition of Maine's Job Base

Fifty years ago, one out of every two jobs in Maine was in the manufacturing sector. That figure has now fallen to around 15% and further declines over the next decade are projected. While it would be misleading to say that every manufacturing job is good and every nonmanufacturing job is bad, it can certainly be said that a typical manufacturing job pays more than a typical nonmanufacturing job, and the benefit packages tend to be significantly different. Also, this movement away from manufacturing (as a provider of jobs) has very different implications for certain geographic areas and for certain segments of the population. Specifically, the western mountain region of Maine remains very highly concentrated in the traditional, mature industries such as leather, textiles, apparel and wood products with 25% to 35% of their job base in these very industries that are being the hardest hit by global markets. Throughout Maine, the loss of manufacturing hits those with lower educational attainment the hardest. In the old Maine economy, landing a job in a mill following a grammar school or high school education ensured a decent standard of living. As these particular opportunities disappear, Maine people who choose not to further their education and skill training potentially face a future of dead end jobs. Higher education has become exponentially more critical and Maine currently has one of the worst track records for post-secondary attainment.

A study of the Department of Economic and Community Development's list of major new industries and expansions for 1998 and the Department of Labor's mass layoff list yields no real surprises. Manufacturing jobs continue to fade and services jobs continue to increase. There were 77 layoff events reported to the Department of Labor in 1998. Nearly two-thirds of these involved manufacturers, which accounted for 80% of all affected workers. While not all layoffs are reported, nearly all events involving 20 or more workers are reported. All told, reported layoffs in 1998 totaled 3,822 workers, an increase of about 800 over 1997. In the first four months of 1999, about 2,700 people were reported as dislocated from their jobs.

On the other hand, new industries and major expansions (events involving expansions of 20 or more workers or investments of \$500,000 or more) created 4,200 jobs, an 83% increase over the 2,300 created in 1997. Nearly 1,600 of the new jobs in 1998 were in manufacturing, but call centers (8 events) accounted for 2,065 new jobs, or nearly half of the total. Most of the new or expanding call centers were located in counties where jobless rates were above the State average; the largest events involved Oxford (500 jobs), Wilton (400 jobs), Loring (350 jobs), and Presque Isle (300 jobs). The emergence of this industry on the Maine scene has been a tremendous boon to the economy as the call centers provide jobs paying above-average wages with benefits - as the slide in manufacturing jobs continues to erase many of Maine's best jobs. Of course, the majority of new job

generation in Maine as in the rest of the nation, in any year, occurs in the smaller enterprises.

c. Globalization

The globalization of the marketplace has dramatically changed the structure of the Maine economy, providing growth in entirely new industries and hastening the decline of the state's core industries. Globalization has also put a great deal of pressure on areas that have higher cost structures. Whereas relatively high energy prices, tax burdens, workers compensation costs may have had some influence historically on siting and investment decisions, these very factors have become far more important in the current economy. Extra and excessive costs are simply not tolerated in the evolving marketplace.

d. Federal Investment

Over the past three decades, Maine's dependence on federal expenditures has grown exponentially. By the early 1990s, Maine ranked fourth in the nation in terms of its dependence on federal defense expenditures (\$1.8 billion which was nearly 8% of its gross state product). Maine currently ranks in the top 10 states nationally in its reliance on Medicaid expenditures. This increased dependence has made it much more vulnerable to changes in federal spending policies.

e. Technology

As in the rest of the world, Maine's commercial and industrial workplaces have been revolutionized as new technologies have been developed and deployed. Maine's state of the art telecommunications infrastructure has served it well this decade as a whole new industry has developed and is, currently, thriving. Fifty-two percent of Maine households now have a personal computer and every school and library in the state is connected to the Internet.

f. Women in the Workforce

Since 1960, the participation rate of Maine women in the workforce has grown from 35% to 78%. Further, the percentage of executives and managers who are female has tripled from 15% in 1960 to 45% in 1990. Despite rising participation and managerial status, average earnings for Maine women remain at about 50% of their male counterparts across all occupational areas.

Issues Created By These Changes

- For the northern two-thirds of Maine, the movement away from agriculture and traditional manufacturing along with rapid advancements in mechanization and technology has led to a half century of population decline or stagnation in 9 of the state's 16 counties. In addition, the income gap that separates north and south has significantly widened over the past 25 years. Poverty rates are relatively high at 13.7% averaged statewide, but vary dramatically by region, ranging from 10% in York County to 22% in Washington County.

- Post-secondary education and training have become the most critical determinant of attaining a decent standard of living. The opportunity to walk out of high school and into a solid mill job has all but disappeared. Without some form of post-secondary education and an expectation of the necessity of lifelong learning, the gap separating rich and poor will continue to widen. Currently Maine ranks near the bottom in post secondary educational attainment.
- Investment in research and development has become the threshold condition for success in the knowledge-based economy. Maine currently ranks last nationally in terms of research and development expenditures.

In response to this, for the past two years bond issues have been raised to help finance the educational infrastructure necessary for continued economic development. In the November 1998 election, voters approved issuing \$20 million in bonds "to improve the Maine economy by supporting innovative research and development by businesses and nonprofit and educational institutions in the fields of biotechnology, computers and other information technology, aquaculture and marine technology, forestry and agriculture and advanced materials."

In the November 1999 election, voters approved a \$26,420,000 bond issue for infrastructure improvements at Maine's 7 technical colleges that will be matched by at least \$7,000,000 of private or in-kind donations.

These investments mark a huge step forward and Governor King hopes to keep this level of investment up throughout his tenure, recognizing the importance of long-term commitment.

- The out migration of the younger working-age population is stripping Maine communities of their leadership thereby stifling economic vitality and permanently altering the social fabric. Throughout Maine, most markedly in the 10 most northerly counties, parents struggle with the perception that their children have a limited future in Maine and are forced to leave.
- Development "sprawl" is overtaking Maine's southern and coastal regions and threatens rural lands around every town center in the state. It is expensive, costing the state budget \$50 -\$75 million per year in controllable expenses, and local budgets millions more. It hurts the environment. It is a leading cause of ozone days, threatens more than 200 lakes, and destroys habitat. It eats away open space and productive rural lands and is a nuisance to the lands that remain. It saps traditional regional centers. They face the triple threat of a fleeing middle class population, high tax rates, and isolated dependent populations.
- Maine faces a natural resources challenge. With the SAPPI and Bowater forest lands recently being put on the market, nearly 15% of its land mass is facing potential use changes which impact the State's identity, culture, economy, and future. Preserving Maine's heritage and natural wonder while providing a future for the state's young people will be the greatest challenge Maine faces in the century ahead.

With these challenges in mind, there have been some impressive economic gains in the recent past. Maine economic performance in 1998 was the best in a decade, with

virtually all major indicators describing improvement over a strong 1997. The prime mover was a spectacular national economy which turned in a second straight year of 3.9% real growth, the best since 1984. During 1998, the number of Maine payroll jobs expanded by 15,900, more than in any year since 1988. The major economic events in the State during the year included extraordinarily strong State government revenues, a spate of large corporate mergers, a catastrophic ice storm, huge Y2K investments, and further expansion of call center businesses.

Barring any major macro-economic upheaval, most State economists project that Maine's economy will continue to grow, albeit at a modest rate with coastal and southern I-95 corridor counties outperforming the balance of the State. Both the pace and the geographic dispersion of economic activity will be greatly influenced by population growth. As employment growth resumed in 1992 and hit the pre-recession peak in 1996, Maine started to feel the pinch of tight labor markets. These are tight labor market conditions that, ultimately, limit Maine's ability to grow.

2. Employment opportunities as a result of these trends

As a result of the tight labor market and projected skill demands, opportunities for employment in high end jobs will be unprecedented. These jobs will be taken by people who have availed themselves of higher education and skill training.

Occupations deemed to be "in demand" have been selected based upon occupational labor market information.

As a result of the tight labor market and projected skill demands, opportunities for employment in high-end jobs will be unprecedented. Some of the occupations deemed to be in demand have been selected based on occupational labor market information published by MDOL Division of Labor Market Information Services, and are listed in Appendix A.

Of course, there are several other sources and approaches for identifying employment opportunities. Under the leadership of CLEOs and LWIBs, they occur within each Local Area and include linking programs to economic development efforts, establishing effective business partnerships with local labor market employers, preparing supply side customers for appropriate careers based on local job growth, and integrating current program assets such as the Business Visitation Program (BVP) into the everyday work flow of staff.

WIA's structure for organizing local areas is particularly advantageous for linking employment and training programs to economic development initiatives. Local areas in Maine consist of multiple counties that include regional economic development agencies. Each agency is, or has developed strategic plans that identify in general terms the types of industries and jobs they want to attract. This is a natural connection point for linking employment and training activities. Each CareerCenter can be expected to know what they are and communicate their importance to their supply side customers.

Building business partnerships is critical to successful workforce development programs, and is emphasized throughout this five-year plan. Effective demand side programs will not be developed without the active input from local employers. They can occur through LWIB-initiated activities, Community Agreements with local chambers, and through strategic one-on-one business relationships that focus on employers within emerging and expanding industries that offer the best jobs in terms of wages and benefits.

Of the several job skills staff is expected to learn and know, one of the most important is helping job seekers translate their vocational aptitudes and abilities to jobs within expanding business with long-term career potential. It's the "training for what?" question. There are scores of tools and assets staff and supply side customers can use to guide them, but none is more important than the findings of the Business Visitation Survey (BVP). It's a wealth of information about local employers and their need for incumbent training, and expansion and hiring plans.

3. Customers of the State's workforce investment system

There are two primary categories of end-product users in market-based systems design: job applicants and employers. The MJC and LWIBs will strive to put these two customer groups first. Program-specific staff within CareerCenters will create market-based cultures by approaching integration and product delivery issues from these customers' perspective. For job applicants, products and services must satisfy their individual needs for labor market information and employment and reemployment opportunities. For employers, the system must structure these services according to their current and future needs for skilled workers within an overall context of supporting state and regional economic development initiatives.

4. Given the projected job skills needed in the State, the projected skill development for each customer segment

Maine's policy is to structure employment and training opportunities that conform to and support skills sets of growing occupations within emerging industries. People within target groups may have common barriers to employment, but their employment potential is realized by aligning their vocational interests and abilities to those jobs. In general, required skill sets within these emerging industries include computer literacy, effective interpersonal skills, problem solving, and customer relations' skills.

B. State Readiness Analysis

1. Leadership

a. State Workforce Investment Board

i. Organization and structure of State Workforce Investment Board

Established in 1997, the Maine Jobs Council (MJC) was created to integrate nine statewide councils into one coherent employment policy board. It will serve as the State Workforce Investment Board (SWIB). The MJC's overarching goal is to ensure that the State's workforce development system helps Maine people and businesses compete successfully in the global economy by assisting the Governor in the development of a State workforce investment plan.

The MJC meets the requirements under WIA §111(e) of the Workforce Investment Act of 1998 and was established in anticipation of the new Act. Specifically, the MJC:

- was in existence prior to December 31, 1997;
- is substantially similar to the State board described in the Workforce Investment Act; and,
- includes representatives of business and labor organizations in the State.

The MJC was designated by Governor King in October 1999 as the State's Workforce Investment Board. This high level board meets monthly to review Maine's progress in the preparation for the implementation of WIA.

The council is organized into a standing committee structure. The council has four standing committees of up to 12 members each, with each standing committee including at least 4 MJC members. The standing committees make policy recommendations to the full council. These standing committees are as follows:

- Apprenticeship;
- School-to-work;
- Employment of people with disabilities; and,
- Women's employment issues.

The council may also create additional committees to address specific problems and issues.

ii. Organizations represented on the SWIB

The organizations represented on the MJC are organized labor, business, adult education, chambers of commerce, University of Maine System, Maine

Technical College System, Maine Department of Education, Maine Department of Economic and Community Development, Jobs for Maine's Graduates, local economic development agencies, community-based organizations, Private Industry Councils (PICs) and the Maine Department of Labor. The organizations represented above reflect the majority of the membership requirements for the State Workforce Investment Board articulated in the WIA legislation. The configuration of the board is designed to enable Maine to meet the demands of the new millennium by encouraging the creation of a knowledgeable, skilled and flexible workforce that is responsive to the needs of the new economy.

iii. Process Used to Identify and Select State Board Members

The process used to identify the MJC members was in accordance with the composition requirements for state human resource investment councils found in Title VII of the Job Training Partnership Act and the enabling MJC state statute. Business representatives with policy-making authority were chosen from across the State. Labor representatives were chosen after consultation with the Maine AFL-CIO. The process for other parties involved consultation with state agencies, community-based organizations, local economic development agencies, chambers of commerce and post-secondary institutions.

All voting members of the Council have been appointed by Governor King. One third of the initial appointments serve for a one-year term, 1/3 of the initial appointees serve for a two-year term and 1/3 serve for a three-year term. All subsequent appointments serve three-year terms.

iv. How the SWIB provides direction to the statewide system

The MJC carries out its functions and provides direction-setting leadership for the system in accordance with WIA §111(d) of the Workforce Investment Act. The MJC develops the State's vision and goals in collaboration with its partners. This is apparent in the work sessions that have been held over the past few months. For example, in October of 1999, the MJC held a two-day conference with the Maine County Commissioners Association (MCCA), the local elected officials in Maine, to share perceptions of the workforce development needs and reach consensus on statewide systemic approaches. Early in 2000, the MJC hosted a one-day workshop for required partners and interested parties on the goals and objectives of the new WIA legislation. Maine utilizes a collaborative process to establish the State Plan and policies designed to build consensus around key strategic issues that pertain to the delivery of services at the state and local levels through its subcommittee structure.

Specific to WIA, the MJC formed a subcommittee to address the State's WIA plan development in June of 1999. Since then, this subcommittee has been meeting biweekly to set policy and develop criteria for WIA implementation.

v. The Relationship of the MJC to the Local Workforce Investment Boards

Once Local Workforce Investment Boards (LWIBs) have been established and chartered by the MJC, the Council will also work closely with the local boards and staff to ensure that workforce investment strategies are tailored to meet the different labor market and economic development needs of Maine's counties and communities.

The MJC envisions a dynamic partnership between the state and its Local Workforce Investment Boards. Closely linked to educational priorities and economic development efforts in their respective communities, the newly created LWIBs will emulate the role of the MJC. During the developmental stages of the LWIBs, MJC members will serve as mentors to local board members. MJC members will be invited to participate in the local workforce board training that will be conducted during calendar year 2000.

LWIBs will set policy, negotiate performance measures with the MJC, certify training providers/programs in accordance with the MJC criteria, select One-Stop operators, and charter CareerCenter sites consistent with the State plan. The LWIB board criteria establishes the following responsibilities for boards at the local level:

- **Visionary and Leadership Functions:** The Board is a catalyst for the development and design of programs that meet the specific workforce development needs of each local area.
- **Technical Functions:** As key decision makers and experts within their public and private fields, the Board provides necessary technical assistance and guidance in the development of effective, responsive programs.
- **Oversight Functions:** The Board is responsible for the oversight of the operations of each local CareerCenter site as well as the WIA funds and other public workforce development resources.
- **Community Relations Functions:** As leaders in their communities, the Board assists in developing, fostering, and maintaining strong ties to the communities served by the local workforce investment area.
- **Leveraging of Resources Functions:** As leaders from many differing agencies, organizations and companies, the Board has the ability to leverage the many different resources from each community for the purpose of strong workforce development systems. In some instances, this

may be ensuring that services are not duplicated at the local level. In other situations, it may be to further expand the impact of resources that currently exist in a community.

vi. Public access to SWIB meetings and information

The MJC makes information available to the public on a regular basis through open meetings in accordance with WIA §111(g). Each of the monthly meetings of the MJC is published in local newspapers and the MJC will establish a public website accessible through the Maine Department of Labor homepage in the near future. Meeting minutes and Council activities will be available through this website.

b. Circumstances which constitute a conflict of interest

In accordance with WIA §111(f) and 117(g), and subject to approval by the MJC and the Governor, Maine shall maintain a written code of standards of conduct governing the performance of members on the State Council and the LWIBs. In the issuance of Local Board criteria attached as Appendix B, the state has set forth a conflict of interest policy for Local Boards. In addition, during the first year, the MJC planning committee will draft a conflict of interest policy for the State Board, which will be presented for final adoption by the MJC.

The proposed standards state that members of the MJC and LWIBs shall not cast votes nor participate in any decision-making capacity on the provision of services by such member, (or any organization which that member represents), nor on any matter which would provide financial benefit to that member. Standards of conduct will provide for penalties, sanctions or other disciplinary actions for violations of such standards.

A conflict of interest would arise when the individual, any member of the individual's immediate family, the individual's partner; or an organization which employs, or is about to employ any of the above, has a financial or other interest in the firm or organization selected for an award, grant or contract by the MJC or local WIB.

c. Criteria the State has established for the CLEOs to appoint LWIB members

The State MJC has a responsibility to provide the Chief Local Elected Officials with criteria by which to select members for the Local Workforce Investment Boards. This information can be found in its entirety in Appendix B.

d. Allocation formulas

(For allocation break-out, see chart on page 23.)

i. Adult and Youth Training Funds

1) Adult Funds

Of the total amount of funds allocated for Adult Training under WIA §132(b)(1), the State will reserve 15% for statewide activities including administration as permitted by WIA §128(a). The remaining amount will be distributed to local areas according to WIA §133(b)(2)(A):

- 33 1/3 percent 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 percent 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% of the civilian labor force.
- 33 1/3 percent 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.

The State will not employ the discretionary option described in WIA §133(b)(3).

Data for the first two requirements will be produced by the DOL's Labor Market Information Services. Data for the third element will be produced by the Employment and Training Administration from census data.

The State will employ the discretion given by the Secretary of Labor to utilize the "hold harmless" clause for the first year of the adult program. This means that if an allocation percentage for the first year is less than 90 percent of the allocation percentage of the local area for the previous year under JTPA, the allocation will be held at 90 percent of the previous year's percentage. Amounts necessary for increasing such allocations to local areas to comply with the preceding sentence shall be obtained by proportionately reducing the allocations to be made to other local areas.

2) Youth Funds

Of the total amount of funds allocated for Youth training under WIA §127(b)(1), the State will reserve 15% for statewide activities including administration as permitted by WIA §128(a). The remaining amount will be distributed to local areas according to WIA §128(b)(2)(A):

- 33 1/3 percent 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 percent 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% of the civilian labor force.
- 33 1/3 percent 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 WIA §128(b)(3).

Data for the first two requirements will be produced by the MDOL's Labor Market Information Services. Data for the third element will be produced 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 for the first year of the youth program. This means that if an allocation percentage for the first year is less than 90 percent of the allocation percentage of the local area for the previous year under JTPA, the allocation will be held at 90 percent of the previous year's percentage. Amounts necessary for increasing such allocations to local areas to comply with the preceding sentence shall be obtained by proportionately reducing the allocations to be made to other local areas.

For the year starting July 2000, the current youth program providers will stay in place until the Local Workforce Investment Boards establish their youth councils and local program goals. Similar to the federal hold harmless and in order to assure a smooth transition, 50% of the youth allocation will be awarded to maintain current providers until December 31, 2000. This will allow LWIB's and their youth councils sufficient time to establish program priorities, assess local needs and competitively procure the required program elements not provided by CareerCenter service providers. In the interest of consistent funding policy, the Jobs for

Maine's Graduates Program will also receive 50% of their current allocation until they have an opportunity to compete for additional funding through the local boards.

ii. Dislocated Worker Training Funds

Of the total amount of funds allocated for Dislocated Worker training under WIA §132(b)(2), the State will reserve 25% for statewide rapid response activities as permitted by WIA §133(a)(2) and will reserve 15% for statewide activities including administration as permitted by WIA §128(a).

The remaining amount will be distributed to local areas according to WIA §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 partials) 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 nondurable 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 the DOL's Labor Market Information Services.

The remaining factors named in §133(b)(2)(B)(ii), "plant closing and mass layoff data" and "farmer-rancher economic hardship data" have not been proven to be useful for the distribution of funds to areas of need in Maine. Large plant closings have occurred in all Maine counties, but are not a predictor of the location of future large plant closings. In addition, 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.

Allowable Funds Reserved at the State Level

Adult Allotment to Maine (PY '99 funds)	\$4,095,359
10% Statewide Activities	\$409,536
5% State Administration Grant	\$204,768
Amount Available for Local Distribution	\$3,481,055
Youth Allotment to Maine (PY '99 JTPA Funds)	\$4,135,926
10% Statewide Activities	\$413,593
5% State Administration Grant	\$206,796
Amount Available for Local Distribution	\$3,515,537
Title III Allotment to Maine (PY '99 JTPA Funds)	\$4,094,611
25% State RR	\$1,023,653
10% Statewide Activities	\$409,461
5% State Administration	\$204,731
Amount Available for Local Distribution	\$2,456,767

Estimated WIA Allocations to Counties and Local Areas

Local Area County Grouping	Adult Funds	Youth Funds	Dislocated Worker Funds	Totals
AROOSTOOK	\$553,786	\$554,072	\$221,110	\$1,328,968
PISCATAQUIS	\$96,486	\$97,865	\$40,861	\$235,212
PENOBSCOT	\$460,689	\$467,529	\$357,361	\$1,285,579
WASHINGTON	\$306,562	\$307,087	\$96,187	\$709,836
HANCOCK	\$189,883	\$191,212	\$90,007	\$471,102
Area #1 Total	\$1,607,405	\$1,617,766	\$805,526	\$4,030,697
SOMERSET	\$338,305	\$342,642	\$161,367	\$842,314
FRANKLIN	\$150,098	\$152,877	\$110,063	\$413,038
KENNEBEC	\$318,621	\$324,625	\$277,349	\$920,595
OXFORD	\$227,320	\$233,072	\$106,521	\$566,913
ANDROSCOGGIN	\$223,435	\$227,807	\$190,553	\$641,795
Area #2 Total	\$1,257,779	\$1,281,023	\$845,854	\$3,384,656
WALDO	\$161,428	\$161,263	\$62,907	\$385,598
KNOX	\$37,976	\$39,881	\$77,263	\$155,120
LINCOLN	\$36,684	\$33,497	\$37,257	\$107,438
SAGadahoc	\$19,389	\$19,319	\$181,582	\$220,290
CUMBERLAND	\$200,844	\$210,277	\$226,541	\$637,662
YORK	\$159,550	\$152,510	\$219,837	\$531,897
Area #3 Total	\$615,871	\$616,747	\$805,387	\$2,038,005
State Total	\$3,481,055	\$3,515,536	\$2,456,767	\$9,453,358

iii. Formula Allocations to Local Areas

Estimated allocations are based on PY '99 JTPA allotments; hold harmless clause applied; allowable funds reserved at the State level. (See chart on previous page.)

The State will reserve the full 15% of the Adult, Youth and Dislocated Worker programs for statewide activities. The 5% allowable for administration will be utilized on an ongoing basis for state administrative tasks including: the establishment and maintenance of a list of eligible training providers; conducting evaluations of local programs in coordination with local boards and Federal evaluations; providing technical assistance; establishing and maintaining fiscal and management accountability information systems and staffing of the state council. In addition part of the 10% reserve will be needed to establish ongoing incentive grants to local areas for exemplary performance, for capacity building and to support the state goals outlined in this plan. Maine anticipates that in the first year of operation, the majority of these funds will be utilized by the State Department of Labor to meet the required statewide activities with special emphasis on assisting with the establishment of the Maine One-Stop delivery system through the CareerCenters. In the second year and beyond, Maine will utilize an increasing percent of this 10% for allowable activities that support state goals.

e. Competitive and noncompetitive processes to award grants and contracts

The State reserves the right to award grants and/or contracts under WIA Title I for required statewide activities outlined in 20 CFR §665.310 and as articulated above on a noncompetitive basis.

Grants and contracts issued for allowable statewide activities, as outlined in §665.210 will be done on a competitive basis utilizing the State competitive procurement requirements. In such cases, the State will employ public notifications, bidders conferences, direct mailings and other commonly used procedures to insure that potential bidders are aware of the availability of any grants or contracts issued under this section.

f. Criteria for local boards to award grants for youth activities

A number of analyses of the youth population by various agencies has shown their needs will greatly outweigh the resources available to serve them. The LWIBs and their youth councils will need to conduct, over the first year of operation, a systematic assessment of local youth populations and existing services and identify the gaps in services that could best be filled by these resources.

The state does not support the use of these funds to underwrite the cost and development of new or additional stand-alone categorical programs. The state

does envision the development of a closer working relationship between existing programs and activities and the provision of a menu of varied services that may be provided in combination or alone at different times which are coordinated through the CareerCenters. Present service providers of Job Training Partnership Act youth activities will remain in place until LWIBs and their youth councils have had sufficient time to engage their respective communities in discussions on how best to develop this system.

Within the first year of operation after the local assessments have been conducted and decisions made as to what activities will be competitively procured and what will be delivered by CareerCenters, request for proposals will be issued. Grants will be awarded by LWIBs utilizing the following criteria at a minimum:

- length of service delivery;
- community credibility;
- effectiveness in achieving stated goals;
- audit reports; and,
- experience in working with coordinated approaches.

g. Sixth youth eligibility criterion

Local boards will have the discretion to establish an additional criterion with the following provisions. State standards include a requirement that the criterion must constitute a barrier to achieving a WIA-based performance standard (such as average earning increases), that it be included in the local plan, and be a reportable item within the state's customer tracking and reporting system.

h. State policies established to support the development of a statewide workforce investment system.

The items listed in the federal planning instructions are addressed in Section II.B. and throughout other sections. No additional narrative is being provided in this section of the state plan.

2. Services

a. Actions taken to develop an integrated system

The issue of integration is a challenging one because it encompasses the broad as well as the specific problems encountered when managing change. Maine is small enough to try to make integration real, yet large and decentralized enough to make it difficult. The primary organizations involved in CareerCenter development have developed productive professional relationships for initiating incremental change. Following is an outline of major strategies utilized to promote CareerCenter development, including program integration.

- CareerCenter partners have established a "Core Group." It is comprised of leaders from the major partners, plus those who contribute significantly to

employment services, such as the Division of Labor Market Information Services (DLMIS), Unemployment Insurance (UI), and Veterans Employment and Training Services (VETS). The group serves to identify and resolve major CareerCenter policy and implementation issues, and communicate its decisions as a unified whole.

- The most important policy issued to date by the Core Group serves as a strategic change management tool, and is referred to as the PRISM document. (See Appendix C). As the CareerCenter customer satisfaction policy, it offers a clear mission, and values, standards and continuous improvement processes. The acronym is Professionalism, Responsiveness, Simplicity, Inclusiveness and Measurable Quality. Its value in creating a new CareerCenter culture and promoting an integrated way of delivering information and services is incalculable. The document underlies the concept of building a market-based system where demand and supply side customers are integral to program designs. PRISM creates the common language used to engage CareerCenter staff from various programs in building processes based on customer's needs instead of program labels.
- Another meaningful policy initiative is the local Community Agreements. (see Section IV.B.6.) Charters are the vehicle for organizing employer services according to customer function rather than program or funding source.
- New program designs, such as the self-directed job registration system, are automated and linked to all CareerCenter staff to serve common customers. The Employer Information System (EIS) is an example. EIS is a database of all business transactions between CareerCenters and employers. The system uses relational data from seven programs that up until now have functioned exclusively of and separate from one another. EIS promotes a coordinated and integrated approach for serving the needs of employers.
- Finally, staff development and training modules covering several subjects have been conducted that achieve multiple objectives such as systems change and learning new ways of doing business is another. Staff members are provided necessary tools to navigate their own individual change. One example is the Customer Satisfaction forums. A vendor was competitively procured to facilitate the introduction and implementation of PRISM values and standards. Each CareerCenter developed an implementation plan that emphasized local customer satisfaction issues.

b. Degree of existing collaboration. (See above)

3. System Infrastructure

a. Local Workforce Investment Areas

i. Area identification

The following configuration has been proposed to the Governor for designation subject to the public comment period. Three local areas have been agreed upon. The local areas cover all 16 counties and are being referred to as Local Area 1, Local Area 2 and Local Area 3.

Local Area 1

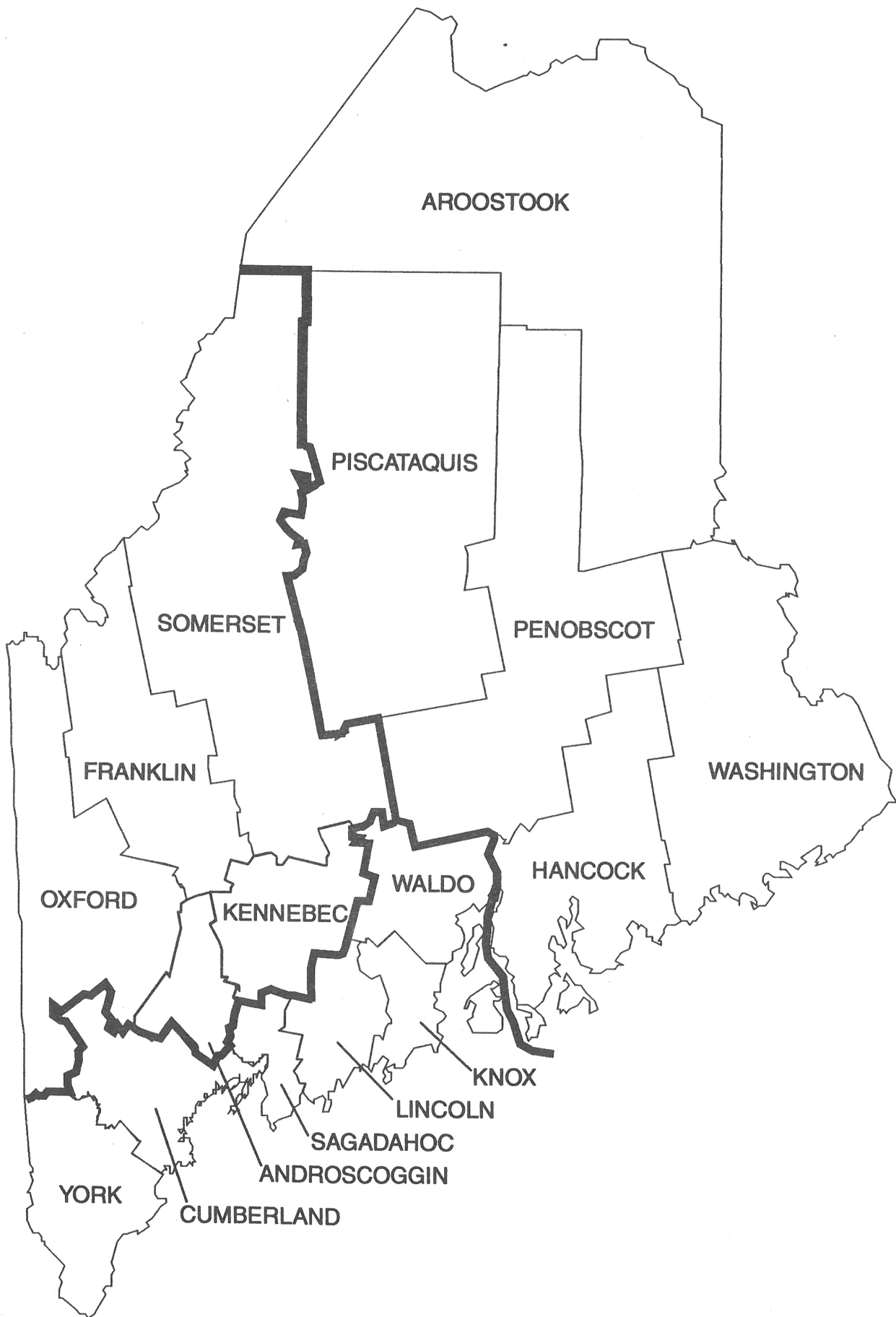
Jurisdiction - York, Cumberland, Sagadahoc, Lincoln, Knox and Waldo Counties.

Local Area 2

Jurisdiction - Oxford, Franklin, Somerset, Kennebec & Androscoggin Counties.

Local Area 3

Jurisdiction - Aroostook, Piscataquis, Penobscot, Washington & Hancock Counties. (See map next page.)



ii. The process used to designate local areas

To receive funding under Title I of WIA, the Governor must designate local workforce investment areas through consultation with the Maine Jobs Council (MJC) and chief elected officials, after consideration of comments received from the public. Additionally, he must provide an appeals process for requests for temporary designation submitted by chief elected officials which are denied. The appeals process is described later in this section.

Shortly after final regulations were available in April of 1999, the Maine Jobs Council created a WIA planning committee. This planning committee was tasked with reviewing the WIA planning instructions with Maine Department of Labor staff for the purpose of providing policy guidance. The committee met approximately two times a month throughout the Summer and Fall of 1999.

Early in the process, committee members recognized the need to collaborate with Local Elected Officials (County Commissioners). In June of 1999, a letter was sent to the county commissioners from the Maine Jobs Council. This letter informed them of the new legislation, introduced the MJC as the Governor's advisory council and asked for a conversation between the county commissioners and the MJC prior to any temporary designation requests being submitted to the Governor.

As a result, the Maine County Commissioners Association (MCCA) invited members of the MJC to their monthly meeting on June 16, 1999. Accompanied by staff, MJC members explained the new WIA legislation and opened up a dialogue with county commissioners.

The discussion focused on the local area designation issue, the new authority of the county commissioners and the need to work together. A series of joint meetings began in August and by September, the MJC and the MCCA had agreed to work together to develop a local area designation recommendation to the Governor.

On October 5 & 6, 1999, the MJC, the county commissioners, the 3 private industry councils, service delivery area directors and the commissioner and staff of the Department of Labor met on the subject of local area designation. By the conclusion of the session, county commissioners who were present had unanimously agreed to a preliminary local area configuration.

County commissioners who were not present at the conference were informed of the configuration and asked for their endorsement. Although not unanimous, a majority of county commissioners have supported the local area configuration developed by their peers.

The Maine Jobs Council has also expressed its written support of the configuration and more importantly, the working relationship that has been established as a result of the conference.

On October 20, 1999, Chief Local Elected Officials from all three current service delivery areas met with Governor Angus King to discuss the proposed configuration. The Governor indicated his support for the local area configuration and the collaborative nature of the development process.

- On November 1, 1999, the President of the Maine County Commissioners Association (MCCA) and the Chair of the MCCA WIA Subcommittee submitted a written request to the Maine Jobs Council, asking that the local area configuration agreed to on October 5 & 6, be made part of the State Plan.

In making designations the following was considered:

- 1) geographic areas served by local educational agencies and intermediate educational agencies;
- 2) geographic areas served by post secondary educational institutions and area vocational schools;
- 3) the extent to which such local areas are consistent with labor market areas;
- 4) the distance that individuals will need to travel to receive services provided in such local areas; and,
- 5) the resources of such local areas that are available to effectively administer the activities carried out under this subtitle.

It is the position of the Maine Jobs Council and Chief Local Elected Officials that this configuration provides a better balance of funds allocated for delivery capacity than the current SDA configuration, addressing staff support constraints and fiscal limitations.

It also groups together counties which have the most in common with regard to natural resources and demographics. In addition, it allows for Local Workforce Investment Boards to have oversight over a cluster of CareerCenters and fosters organizational alignment among multiple agencies. Also, it more closely follows current economic development districts and remains consistent with labor market areas. Alignment with development districts also fosters policy goal alignment.

iii. Appeals Process for Designation of Local Areas

The statute requires an appeal process to be established in the State Plan to address the requests for temporary designation that are denied.

On appeal, the Secretary of Labor may determine that the chief elected official(s) were not accorded procedural rights consistent with the appeal process established in the State Plan or the area meets the requirements for automatic or temporary designation. However, WIA §189(i)(4)(A)(i) prohibits the Secretary from granting waivers regarding local area designation.

1) Appeal to the State Board (Maine Jobs Council)

A unit of general local government or grant recipient entitled to apply for designation under WIA §116(a)(2) or (3) whose request is denied by the Governor may submit an appeal to the Maine Jobs Council. The entity will have twenty (20) days from the date of the notification of denial to submit an appeal. The appeal should include all factual and legal arguments as to why the appeal should be granted. The Maine Jobs Council will conduct a hearing on the appeal and issue a decision within thirty (30) days from the date of receipt of the appeal. The hearing shall be conducted consistent with the due process procedures contained in the Maine Administrative Procedures Act. The decision shall be provided in writing. If the decision fails to uphold the appeal, the decision shall explain the specific reasons for the decision. The designation process will continue while the appeal is in progress, and will be modified should the initial denial of designation be overturned.

2) Appeal to the United States Department of Labor

If the appeal of the decision submitted to the Maine Jobs Council does not result in the requested designation, the unit or grant recipient may appeal the designation decision to the U.S. Secretary of Labor within twenty (20) days of receipt of the decision from the Maine Jobs Council. The appeal to the Secretary must be consistent with the requirements of the Workforce Investment Act of 1998. The U.S. Secretary of Labor, after receiving a request for review from the unit or grant recipient and on determining that the unit or grant recipient was not accorded procedural rights under the appeal process established in the State Plan, or that the area meets the requirements of WIA §116(a)(2) or (3), as appropriate, may require that the area be designated as a local area under such appropriate paragraph.

b. Regional Planning

This section is not applicable in Maine.

c. Selection of service providers for Individual Training Accounts

i. Policies and procedures for determining initial eligibility of local training providers; how performance will be used to determine continued eligibility (including a grievance procedure).

The State of Maine issued a "Policy for Determining Eligible Providers of Training Services Under The Workforce Investment Act" (see Appendix D). This policy includes both policies and procedures for determining initial, subsequent and continued eligibility, and an appeal process for providers when a training program has been determined ineligible.

MDOL and the Department of Education will work collaboratively to manage the eligible training provider system. This collaboration includes joint funding of positions to staff the function, contributing federal and state resources to support the function financially and aligning the eligibility determination system with current state efforts around certification of proprietary and non-proprietary schools among the educational system, the workforce investment system, and the Bureau of Unemployment Compensation's 'approved training' policies.

This system will be developed and implemented between July 1, 2000 and June 30, 2001. This state plan requests a waiver from the Secretary of Labor of WIA Section 122 through June 30, 2001 in the interest of providing for a smooth transition from JTPA to WIA in Maine.

ii. How the State solicits recommendations from local boards in the development of the above policies and procedures

The State Board, the Maine Jobs Council, served as the entity responsible for soliciting recommendations from interested parties regarding the determination of eligible providers of training services. In order to accomplish this task the Council facilitated workgroup meetings consisting of representatives from labor, current JTPA administrative entities, private and public education and not-for-profit organizations and various One-Stop CareerCenter partner agencies. Information from these sessions were considered in writing the State's draft "Policy for Determining Eligible Providers of Training Services Under The Workforce Investment Act."

In addition, the Maine Jobs Council hosted a "Partner Day" and "Regional Forums" to collect recommendations on all State WIA plan policy recommendations from interested partners and the general public. Input was summarized and sent to or made available for all attendees to comment. Input from these sessions was used to complete the final policy paper on "Determining Eligible Providers of Training Services Under The Workforce Investment Act." The State has been and continues to be very open and active

in soliciting input on this policy and related procedures as we implement WIA in the State of Maine.

iii. How the State maintains the provider list

Maine believes the standards and conditions set forth in WIA §122(c) and (d) suffice to establish a system for continued eligibility. Lists of training providers meeting these basic conditions will be posted electronically and be made available through the state's wide area electronic network.

iv. Performance information on training providers available at each CareerCenter

Every CareerCenter will contain the statewide training provider list including information on each program for which each provider made initial application and subsequent application thereafter. In addition, the statewide provider list will also include data related to the core indicators of performance as outlined in the State Policy and any additional requirements as requested by the LWIB. This information may help customers to make informed decisions regarding the selection of training providers.

v. How customers get access to the statewide list of eligible providers and their performance

The Department of Labor will maintain the statewide list of eligible providers of training services on its website, available to all customers in the CareerCenters. This list will contain all eligible providers and the required performance information. Additionally, hard copies of the list will also be maintained in each CareerCenter.

vi. Process for removing providers from the list

There are three specific situations that can result in the removal of a provider from the list of eligible providers: Expiration of eligibility period, nonperformance and inaccurate information. Each of these are described below.

Expiration of Eligibility Period: At the time of application approved eligible providers will be given an expiration date. To remain on the list after the expiration date will require the provider to reapply (subsequent eligibility determination). If the provider does not reapply, it will be removed from the eligible provider list. Removal from this list under this condition will be performed by the State as a maintenance activity. A notice will not be sent to the provider since this is a normal expiration process.

Nonperformance: If the provider does not meet the performance standards established by the State or the LWIB, the provider will be removed from the list. The LWIB, based on state performance standards and any additional

LWIB standards and the performance data submitted by the provider, would normally make this decision. This will be determined at the time of application or re-application. The provider will be issued a notice informing them of their removal from the eligible provider list and the reason for the removal. The notice will be an appealable document.

Inaccurate Information: If it is determined that the provider intentionally supplied inaccurate information for the purposes of becoming an approved eligible provider, the provider will be removed from the list. The Maine Department of Labor will make the determination that a provider misrepresented the information on their application. The provider will be issued a notice informing them of their removal and the reason for the removal. The notice will be an appealable document.

vii. Other considerations

On-the-Job Training or Customized Training

Providers of on-the-job training or customized training are not subject to this policy of the certification system. However, CareerCenter operators in a local area are responsible for collecting performance information from on-the-job training and customized training providers as the Governor may require. The CareerCenter operators must determine whether the providers meet the performance criteria established by the Governor and the LWIBs and disseminate information identifying providers that meet the criteria as eligible providers and the performance information through the CareerCenter system.

The term customized training means training (a) that is designed to meet the special requirements of an employer (including a group of employers), (b) is conducted with a commitment by the employer to employ individuals upon successful completion of training, and (c) for which the employer pays not less than 50% of the cost of the training.

Selection of Eligible Youth Activities Providers

A LWIB identifies eligible providers of youth activities by awarding grants or contracts on a competitive basis, based on recommendations of the board (acting as youth council) and on the criteria contained in the State plan. Providers of youth activities are not subject to the Training Provider Certification System and are not eligible to provide training through the receipt of Individual Training Accounts. Eligible Youth Activities Providers are subject to the Governor's standard for core indicator of performance established for youth programs in the Act.

d. Describe State capacity to deliver employment statistics to customers

The Department's Division of Labor Market Information Services currently has a well-developed capacity to deliver high quality employment statistics information to customers – both job seekers and employers – of the One-Stop system. This capacity has been enhanced and guided by the Labor Market Information Advisory Work Group whose members are from a cross-section of field operations at the local customer level and represent all of the Department's service deliverers. The Work Group provides continuous guidance and insight on developing LMI products and how they should be presented in order to best meet the information needs of One-Stop customers.

The Department's Division of Labor Market Information Services (LMIS) has participated in developing America's Labor Market Information System (ALMIS) products. It is the lead state in the Employer Database Consortium that reviewed, selected, and implemented the private employer database recommended for use by CareerCenters. It was a member of the LMI Training Consortium and helped shaped the capacity building and training curricula for state LMI staffs. It sponsors and conducts annual training in the use of geographic mapping. The other ALMIS products in *America's Career Kit* (America's Job Bank (AJB) and America's Talent Bank (ATB), America's Career Information Network (ACINET), and America's Labor Exchange (ALX)) are introduced and supported by the LMIS Division when it conducts training for CareerCenter staffs in the use of LMI products and concepts.

Perhaps the most significant development in meeting the needs of LMI users is the creation of Maine Economic Data Inventory (MEDI). A primary source of LMI, MEDI is an interactive computerized system that is easily accessible by job seekers, employers and CareerCenter staff. MEDI provides multiple levels of access options to display, organize, and analyze a wide variety of information stored in the ALMIS database. The database is maintained, enhanced, and further populated with new items. An Internet version of MEDI is in final testing stages.

The Division of LMIS operates all of the key U.S. Bureau of Labor Statistics Federal-State cooperative statistical programs: Current Employment Statistics; Local Area Unemployment Statistics; Occupational Employment Statistics; Covered Employment and Wages; and Mass Layoff Statistics. The LMIS Division has experience in operating these programs. It is the project manager for the employment and wage database.

While the State's current capacity is meeting some local demands for LMI, there is a need to address the employment statistics cited in the Act, *i.e.*, (i) job vacancy listings in labor market areas; (ii) information on job skills necessary to obtain jobs; and (iii) information relating to local occupations in demand and the earnings and skill requirements for such occupations. Although these components of LMI are currently available in varying degrees, additional capacity

undoubtedly will be needed to meet the requirements that will be specified by the State and Local Workforce Investment Boards.

e. Work test and feedback requirements

Work test and feedback requirements are accomplished through a series of electronic and mediated approaches. Claimant records are extracted from the Unemployment Insurance database and made available for automated job matches. Claimants not actively engaged with local CareerCenters are contacted by phone or letter to confirm their appropriateness for referral based on the automated job match. Unemployment Insurance is notified by e-mail when claimants do not follow through with referrals or if they refuse a bona fide job offer after an interview.

f. How Wagner-Peyser staff participate in the Eligibility Review Program

UI Call Center staff conduct reviews at 13 weeks into claimants' drawing of benefits. CallCenter staff market CareerCenter programs and services to all claimants as part of this review.

C. Assessment of Strengths and Improvement Opportunities

1. How closely aligned is the current system to the vision? What is the current system's ability to meet customer and economic needs? Strengths and weaknesses.

Maine's CareerCenters are well positioned to implement the WIA One-Stop design. In the past two years through the One-Stop Implementation Grant, Maine has:

- collocated its core DOL programs (JTPA, W/P, TAA, WtW, VR and others) in 23 communities throughout the state;
- begun the staff development work to cross-inform and cross-train CareerCenter staff;
- established the basic tenants of operating agreements which will form the basis for the WIA MOUs (including but not limited to identifying the services to be provided by the CareerCenters; initial cost allocation methods for services and CareerCenter operating costs; development of systems to track and report mutual customers; methods for referring individuals between the investing partners and to/from the CareerCenters and the connecting partners; and identifying how individual programs support federal, state and local goals and performance standards); and,
- begun the process to integrate programs by emphasizing a market-driven services design.

However, the shift from individual programs to a One-Stop approach has surfaced several areas that will need improvement in order to successfully implement WIA. These challenges can be summarized as follows:

- structuring market-based services in a governmental environment;
- offering integrated services that are separately funded and often contain conflicting missions and definitions;
- maintaining a customer-focus within a delivery structure that is pressured by non-customer related measures;
- building effective alliance-based systems;
- balancing supply side services with demand side services, particularly when WIA emphasizes the former; and,
- preparing for an Internet delivery need from customers.

2. Priorities for further developing the system

The system has the ability to meet these challenges, but several strategies will need to be employed in order to be successful. Each of these challenges and corresponding strategies has been articulated earlier in the State Plan. However, the State will address these challenges in the following priority:

- Structuring market-based services in a governmental environment -- In order to respond to the customer in a changing workforce development setting, the State will need to ensure that (a) customers are involved with the CareerCenters through a variety of feedback mechanisms and (b) that resources are related to customer demands.
- Balancing supply side services with demand side services, particularly when WIA emphasizes the former -- Maine has put a strong emphasis on establishing a demand side approach to workforce development and will continue that emphasis under WIA. The State Plan reflects that commitment throughout.
- Building effective alliance-based systems -- Maine has established the CareerCenters by focusing initially on the MDOL programs for job training, labor exchange and rehabilitation services. However, the State has been clear from the beginning of the process that the CareerCenters would only achieve the goal of becoming community resources if the service mix expanded beyond those MDOL programs. While preliminary discussions have begun with other organizations, WIA affords the State an opportunity to accelerate and structure those connections. The State sees the WIA Memorandum of Understanding (MOU) discussions with the required, optional and other relevant partners as a critical next step for implementation.

IV. Strategies for Improvement

A. Leadership

1. Steps taken to improve operational collaboration at State and local levels

The State's responsibility is to establish a framework for effective collaboration. Effectiveness can be expressed in terms of bringing new and current partners to the table, having its leadership articulate goals and objectives for the five-year period, and allocating adequate resources for achieving them.

WIA's vision for systems building and organizing partner programs around core services constitutes the foundation for establishing a new collaborative environment. At the heart of systems building is leadership, for it determines the atmosphere, willingness and incentives that bring disparate programs together. The State's role in this effort is obvious. The State is the sole entity that can bring all systems partners together around this agenda. Its message is one of alliance-based systems building where each partner's contributions are valued and emphasized, roles and responsibilities are confirmed, and accountability structures are clearly articulated.

Expanding upon the successful model of the CareerCenter Core Group, the State will form the equivalent of a WIA systems core group. Comprised of the top leadership of WIA's required partners, it will serve to establish specific five-year systems goals and objectives, determine each partner's roles and responsibilities in achieving them, and develop a structure for communicating them to system staff, and then evaluating their outcomes. Consistent with other sections of this State Plan, first-year leadership development will focus primarily on the Departments of Education, Labor and local area service provider programs. Other required and non-required partners as well as any organization wishing to contribute to workforce development systems building will be encouraged to participate.

While the content of the group's activities will be constructing the outline of a five-year system building implementation plan, the primary agenda will be group and leadership development. What is the group's mission and vision for the system? How much is each entity willing to contribute? How does membership hold each accountable for their commitments? These issues will be the focus of the first year. From this, credible project plans can be developed and implemented. These plans serve as the foundation for attracting new partners into the system.

Communication is to managing change what leadership is to systems building. The WIA systems group will develop a communications plan to include what state and local staff can expect, timeframes, modes of communication, responsibilities of each partner and contact points.

2. How the State assists local areas in the continuous improvement of local delivery systems; how technical assistance is provided; and availability of funding for One-Stop development.

The State will continue to work closely with the local areas to assist in the continued growth and development of local CareerCenters. Over the past two years, the Bureau of Employment Services, working closely with the Service Delivery Areas and the Bureau of Rehabilitation Services, has played a lead role in the establishment of CareerCenters and the administration of the One-Stop implementation grant. With the termination of the One-Stop funding and the implementation of the WIA, the State will continue to work with Local Workforce Investment Boards to assist with the evolution and the continuous improvement of the local delivery system.

Some examples of this continued role are as follows:

- The State will continue to take the lead in the development of automated systems and modules to provide the systems needed to meet the administrative data requirements and the staff tools needed to meet customer demands and requirements in this new environment.
- The State will partner with the Maine State Chamber of Commerce to continue assisting CareerCenters with demand side products and services and with the establishment of employer-based Community Agreements.
- The State will work closely with local boards to review performance data, conduct local reviews and provide any technical assistance and/or training that may be necessary. Resources will be available to provide this assistance from state staff and by providing funding for national expertise when necessary.
- Over the first year, the State will work with local areas to establish incentive grant procedures and policies that will help drive local centers to achieve stated goals in year 2 and beyond.

3. Building capacity of local boards

The State strategy for building capacity of local boards consists of building alignment between state systems goals and objectives to expectations for how boards function within local areas.

Aligning local board goals and objectives with statewide systems goals and objectives is critical for building capacity. Local plans must include how LWIBs have established systems-building goals and objectives with their partners. What are they and how do they support statewide systems objectives? What actions will LWIBs take to achieve them? How will LWIBs define success? Other steps the state will take support local board capacity and effectiveness include the following:

- conducting orientations for local board members that will emphasize systems building;
- ensuring that membership selection is open and inclusive of local stakeholders and businesses;
- requiring selected members to communicate their activities to groups that nominated them; and,
- supporting LWIB capacity by establishing separate, grant recipient staff. LWIB staff will not directly operate programs.

4. How any waivers or workflex authority will assist the State in developing its workforce investment system

At this time, the State does not anticipate applying for waivers or workflex authority to implement the program and services contained in this plan. As the system moves to implementation and should the need present itself the MDOL reserves the right to modify this approach.

5. Governing structure for delivery system

The Workforce Investment Act (WIA) moves workforce development activities formally into a “universal access” One-Stop structure. This affords the State of Maine the opportunity to institutionalize the CareerCenter model. As a part of that process, the State’s WIA Plan will include definitions for doing business in the CareerCenters under the new Act. The definitions below will be included in the State Plan. However, MDOL is encouraging the decision-makers, the Maine Jobs Council members and the County Commissioners, to discuss these definitions and is recommending that these two bodies make preliminary decisions about an approach to be included in the State Plan in order to (a) provide clarity to the local and regional entities reviewing the plan and (b) allow initial decisions to be acted upon immediately following the public review and comment period.

Oversight

The oversight responsibilities for WIA are linked functionally and economically in the definitions and recommendations outlined below. The State recommendations are based on the knowledge that the County Commissioners are interested in and willing to take an active role in the oversight for WIA and therefore should be actively linked to both the LWIB activities and staffing. This interest and responsibility needs to recognize that the LWIB also has a strong and required oversight role. In addition, the administrative support funds available under WIA must support the administrative functions related to Grant Recipient and Board Staff (as well as Operator and Program Management) requirements. Therefore, the State is recommending a functional alignment that supports these complementary oversight roles.

Grant Recipient -- The Chief Local Elected Official (CLEO), which may be a individual or multiple County Commissioners as designated by the Local Area Counties, will select an organization responsible for the receipt, management and

reporting of the distribution and use of WIA Title I funds for that local area and for the provision of Board staff to the LWIB.

Board Staff -- Each LWIB will be staffed through the Grant Recipient organization. Board staff are responsible for supporting the LWIBs in the performance of their duties, including but not limited to WIA §117 and §118 (such as developing a local area plan, negotiating performance standards and Memoranda of Understanding (MOU), providing program oversight and reporting on performance).

No Local Board shall provide services (see §117(f)(2)).

Operations

The new Act provides for several different operational roles and responsibilities. The State Plan defines these roles based on the following criteria: (a) codifying the roles and responsibilities between the LWIB/CLEO, the One-Stop Operator, and partners delivering services within and through the CareerCenters, (b) clarifying and delineating those roles and responsibilities, and (c) minimizing the disruption of services currently provided through the CareerCenters.

Investing Partner -- A One-Stop partner (either “required” or “optional” under WIA) who makes a financial contribution to CareerCenter systems, services and program operating costs.

One-Stop Operator -- The investing partners, for all programs contributing the local CareerCenters services (including but not limited to WIA Title I, Wagner-Peyser, Trade Adjustment Act, Veterans programs, Rehabilitation programs), shall through the local planning process (MOUs) identify resources which will be pooled to support the function of a One-Stop Operator. The One-Stop Operator may be chosen through RFP or selected as a consortia, which precludes the necessity of an RFP (see §118(d)(2)(A)). The One-Stop Operator is responsible for implementing the LWIB plan and its associated MOUs in its jurisdictional area. There may be more than one Operator within a Local Area. The State recommends that operator selection reflect the service delivery organizational structures within a Local Area, if applicable.

The following outlines the two options listed above:

Option #1: RFP

The LWIB/CLEO selects an organization to serve as the One-Stop Operator through a formal RFP process. The One-Stop Operator provides staff resources to ensure that the pooled resources targeted to the One-Stop activities developed and articulated in the local area plan and MOUs and delivered within and through the CareerCenters are used to support those activities and monitors the performance of those CareerCenters on an ongoing basis. The One-Stop Operator has the responsibility and authority to work with the CareerCenter managers and “parent” organizations to address any problems arising in the delivery of program services as it relates to One-Stop performance and to negotiate any corrective action, if necessary. (Note: The One-

Stop Operator has no authority to hire, fire or directly supervise staff within the CareerCenters.) The One-Stop Operator works directly with the LWIB and its staff to ensure plan implementation, using the local area plan and the CareerCenter MOU as an operational document.

Option #2: Consortia

WIA provides that in this option where at least three of the required partners request designation of consortia status, the LWIB/CLEO does not need to go through an RFP process. The investing partners currently providing services within the State of Maine CareerCenters constitute a consortia. As a consortia, the investing partners would identify one lead entity as One-Stop Operator. Under this option, the designated CareerCenter lead entity would serve as the staff resource to ensure that the pooled resources targeted to the One-Stop activities developed and articulated in the local area plan and delivered within and through the CareerCenters are used to support those activities and monitors the performance of those CareerCenters on an ongoing basis. The CareerCenter lead entity (One-Stop Operator) has the responsibility and authority to work with the CareerCenter managers and “parent” organizations to address any problems arising in the delivery of program services as it relates to One-Stop performance and to negotiate any corrective action, if necessary. *(Note: Under this option, the One-Stop Operator would retain the authority to hire, fire and directly supervise staff within the CareerCenters as related to his/her additional program responsibilities, if relevant.)* The One-Stop Operator works directly with the LWIB and its staff to ensure plan implementation, using the local area plan and the CareerCenter MOU as an operational document.

Option #3: One-Stop delivery Prior to WIA Enactment

In addition to the RFP and Consortia options, WIA provides for a third option: “If a one-stop delivery system has been established in a local area prior to the enactment of [WIA], the local board, the chief elected official, and the Governor involved may agree to certify an entity carrying out activities through the system as a One-Stop Operator...” This option as it applies to Maine would be covered under either the previously stated options 1 and 2.

Either option would access pooled resources in the same manner to support the costs associated with staffing the One-Stop Operator function.

B. Services

1. Types of employment and training activities that will be carried out under WIA §132 - maximizing customer choice in the selection of training activities.

The full range of services described in WIA §129 and §134 are offered within the purview of the CareerCenter service delivery structure. The following chart depicts three major service levels which align closely with WIA definitions of Level 1-Core Services, Level 2-Intensive Services, and Level 3-Training Services. Core services are considered to be self-help and include any information or service pertaining to

navigating local labor markets. Level 2 services are intended for supply side customers who have trouble acquiring or retaining suitable employment that provide sustainable wages, and demand side customers seeking informational workshops to assist them in developing their workforce and remaining in compliance with laws and regulations. Level 3 services are labeled “specialized” in that employers and job seekers receive individual and customized products and services consistent with their employment and hiring needs.

When referring to the three levels, the five-year goals of the Maine system are to 1) have core services “owned” by the workforce development system, i.e., investing partners contributing to systems and program operating costs; 2) provide core and group services on a universal access basis using all available financial program contributions. Levels 1 and 2 services will be the foundational content around which partners will unify their access points and provide clear pathways between and among programs, and streamline governance structures to provide a common customer interface.

The chart on the following page lists the types of services available under each level for both individuals and employers.

ONE-STOP CAREERCENTER SERVICE DESIGN

INDIVIDUALS

LEVEL I: SELF-HELP	LEVEL II: GROUP	LEVEL III: SPECIALIZED
<ul style="list-style-type: none"> • Self assessment (skills, interests and abilities) • Prepackaged automated labor market information • Inventory of available employment and training resources • Self-employment and business development information • Education all programs and sources of financial aid • Career exploration resources • Self-referrals to services not available at the <i>One-Stop CareerCenter</i> • Labor Exchange Touch Screens, personal computers, modems, telephones, copy and fax machine availability • Basic educational materials • Referrals to job openings • Informational videos (such as: Unemployment Compensation "Benefits Rights") 	<ul style="list-style-type: none"> • Group Session in: Resume writing and interviewing Career Decision-Making On the Job Communications and Problem Solving • Job Club • Skill building workshops and seminars such as financial/personal enrichment, teaming, etc. • Job application assistance • Rapid Response information for dislocated workers 	<ul style="list-style-type: none"> • Vocational evaluation & services • Occupational/educational skills training • Individual training accounts • Customized training • Follow-up services • Support services • Entrepreneurship training • On-the-Job Training • Apprenticeship training

EMPLOYERS

<ul style="list-style-type: none"> • Listing/Marketing job openings • Automated Talent Bank and Search Engines on the Internet • Licensing (Boiler operators, welders, etc.) • Work permits processing • Linking employers with economic development assistance • Labor Law information • OSHA regulations • Occupational statistics and wage information • Labor force and unemployment data for business expansion • Informational videos (such as: UI-produced employer information) • Access to Rapid Response Team for dislocated workers 	<ul style="list-style-type: none"> • Workshops and Seminars • ADA • Safety • Workforce Investment • Labor Market Trends • Unemployment Appeals • Workshops on recruiting and retraining employees, Americans with Disabilities Act compliance, etc. 	<ul style="list-style-type: none"> • Apprenticeship development • Customized training for employers' staff • On-the-Job Training subsidies • Organizational assessment • Out placement services for down sizing firms • Customized recruitment including qualifications screening and assessment of applicants • Safety Consultation • Rehabilitation Services
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MOUs will be the vehicle by which investing partner contributions are negotiated and defined. Consistent with policy statements throughout this plan, partners are being invited and encouraged to participate on a program and financial basis to the extent that their contributions will be mutually beneficial to systems customers.

Maine maximizes customer choice in the selection of training activities by establishing the following policies:

- Local Workforce Investment Boards shall issue Individual Training Accounts at the customer's request under the following conditions: a) funds are available; b) the customer chooses an eligible training provider consistent with WIA §134(d)(4)(G); c) the customer is eligible for level 3 services; d) the customer demonstrates appropriate career choices based on work experience and occupational preferences and that there is a reasonable expectation of completing training and a reasonable expectation of obtaining employment.
- To preclude a conflict-of-interest situation, and to promote effective brokering of training services, CareerCenter operators and service providers shall not be eligible to receive Individual Training Account funds from customers either directly or through private corporations associated with CareerCenter Operators or service providers.
- Maine's default position is that there are adequate numbers of training providers and training programs to provide customer choice; therefore, full-size and less-than-class contracts are not allowable unless they are for OJT, customized occupational training, or training targeted to special populations defined in WIA §134(d)(4)(G)(iv).

2. How services will be coordinated and provided by partners

The spirit and intent of WIA's vision for sharing systems resources will be implemented over the initial five-year period. Initially, core, intensive and training services will be supported by WIA Title I providers and all DOL programs (Wagner-Peyser, BRS, Trade Adjustment Assistance (TAA), Migrant Seasonal Farm Workers (MSFW), Job Corps, VETS). Next, Housing and Urban Development (HUD), Community Service Block Grants and other WIB-identified programs will be brought into the system. Finally, Temporary Assistance for Needy Families (TANF) and Food Stamps will have developed working arrangements for aligning similar services to joint customers.

Consistent with the state's economic and workforce development goals, partner contributions to systems and services costs will be approached from an alliance-based development perspective. Through dialogues between and among state agencies and LWIBs, the primary message will be one of shared responsibility and accountability. The message will emphasize contributing the best of what each partner has to offer to benefit system customers. Alliance-based system development focuses first on

shared responsibility and various commitment levels to system goals and objectives, and defines each partner's decision-making authority within that system. It's only after this that discussions about joint accountability in terms of financial contributions are conducted.

The forum for defining roles and responsibilities is the CareerCenter. Major policy parameters and the content of systems (administration) and services financial contributions to be made will be decided at this level. Local MOUs will serve as the forum for defining specific financial contributions. MOUs will define how each partner will provide Core, Intensive and Training services; essentially, the term "presence" will be defined according to electronic linkages, collocation of staff, and cross training. Systems budgets will be developed that define overall costs and how they'll be paid for. In-kind contributions are encouraged but they will not be acceptable substitutes for cash infusions.

Other resource allocation issues will be addressed and resolved as each new partner is added to the system. Examples include defining Wagner-Peyser basic core services as job matching (i.e., making referrals based on comparing employer specifications in job orders to applicant skills) to avoid duplication of labor exchange services; aligning WP funds to ensure universal access to core and intensive services; aligning training policies and subsidies from TAA, WIA Title I and BRS to maximize resources and streamline service delivery.

There are three primary tools for coordinating and facilitating systems delivery of common services, and providing access to partner and community programs. Each tool will be developed jointly and be freely available to all systems partners. First is common intake. All demographic and service-use information obtained from system's users will be collected based on informed consent and be freely available to all partners on a relational basis. Second is common scheduling. An important component of the state's automated system, common scheduling will enable partners to provide activity and scheduling information on a self-directed and mediated basis, and by telling partners what services are available, when and how to access them. The third tool is case management. Information pertaining to providing services to joint customers around goals and aligning services to attain them will also be made available on a relational basis.

Taken together, the three tools promote seamless pathways and access to partner program services, eliminate unnecessary duplication of services, provide customers with a friendly interface, and provide economies of scale that reduces overall implementation costs.

3. Leveraging other systems and private resources

More than the financial contributions of each partner, it's the alliance-based systems development approach that will attract involvement from other federal, state and private resources. The alliance builds credibility as a shared system, with each contributor having commensurate decision-making authority. Programs belong to an alliance, and are not the private domain of any one partner.

Leveraging other resources will be a byproduct of such a system. Maine's employer-based Community Agreements are an example. Developed collaboratively between state and local providers and local Chambers, Community Agreements are the vehicles for building demand side performance expectations into the workforce development system. They communicate employer expectations about the products and services they want, how they want them, and how they will be evaluated. Development of a Community Agreement is being piloted in York County and will be rolled out statewide during PY 2000. Successful Community Agreements will attract additional resources because of their reputations as being responsive to employer needs. Public and private entities will have market-based incentives to want to contribute to the workforce development system.

4. How needs of individuals within target groups are met

Satisfying individual needs is no longer viewed from a program-specific framework. Approach to services has evolved into a framework that emphasizes market-based principles that focus first on expectations of customers and then determining if their needs are met. What products and services do people want, how do they want them delivered, and how well did the system do at satisfying their expectations? Market-based programs also apply to employers, so the question for Maine is not how individuals within target groups are served, but rather how to satisfy the needs of the employer and applicant customer communities.

Organizations delivering programs within the CareerCenter system are using a document that operationalizes these market-based principles for employers and applicants. The document includes CareerCenter vision and mission statements, it defines five core values to support them, and there are operational standards and measurements for each value. The document is called PRISM for "Professionalism, Responsiveness, Inclusiveness, Simplicity and Measurable Quality." (A copy of the document is included as Appendix C). The document is the approach for building market-based programs and delivering services that are continuously improved through customer feedback.

These core values serve as the context for discussing CareerCenter issues, i.e., for transforming the array of fragmented programs into a coordinated system for delivering information and services. Discussions center on these principles when building CareerCenter program designs and solving CareerCenter problems. For example, what is the most effective way to structure a customer intake system?

Instead of each program entity advocating for its specific way of doing business, the issue is approached from a customer's perspective. The discussion quickly reverts to common data elements that can be shared on a relational basis. The answer is immediately focused on a system that is the most professional, inclusive, responsive, simple and subject to customer feedback. It becomes a systems issue rather than each program advocating for its own way of doing things. The document is the foundational approach for managing this organizational change and building a new system culture called CareerCenter.

The four One-Stop principles support market-based approaches and contribute to satisfying individual needs. Building programs for universal access satisfies people's needs by offering more access points. Putting principles of customer choice in operation means offering products and services in multiple venues using alternative methods. Like a retail environment, people can talk to staff when they want to, without being forced to go through staff to get what they can obtain for themselves. Customers can self-register, orient themselves, do their own career assessments and chose training based on their expectations. Program integration advances the cause of satisfied customers by eliminating duplication and streamlining services. Programs are simpler to navigate. Accountability is not limited to program outcomes. It's the CareerCenter system that's responsible for customer satisfaction. It transcends specific program measurements.

Of course, well-tuned systems that are responsive to individual needs will have program designs in place that effectively link available resources to individual needs. Techniques include target group-specific staff such as employer account representatives, Disabled Veterans Outreach Programs (DVOPs), youth; offering workshops based on group affiliation; effective community networks and referral linkages; and multiple-language packages as examples.

5. State criteria for local boards to use in determining priority of limited funds

Maine is adopting the position that funds are limited and the statutory and regulatory standards for providing services on a priority basis apply. To this end, local plans will comply with the following standards:

- The priority system will promote maximum customer access and inclusiveness by recognizing TANF and WtW funds as available resources to supplement WIA title I money. Linking TANF and WtW dollars with WIA Title I funds allows access by income-eligible customers who aren't welfare recipients. Maine service providers already leverage TANF dollars by contributing training dollars to welfare Employment Development Plans (EDPs) while looking to the welfare system to pay for all income support needs. Local boards will be expected to continue this practice, to be codified in MOUs, if necessary.
- Local areas shall serve Level 2 and 3 customers according to three classifications: significant segments, barriers to employment, and program-specific eligibility requirements.

- ✓ Within each local area, providers must serve people by age, race and sex according to their incidence in their labor markets. WIBs will be given a range within which to operate with corrective action required if they are exceeded.
- ✓ Within significant segment classifications, customers must face one or more of the following barriers to employment: literacy skills below the 8th grade, non-marketable education and work histories, lack of transferable occupational skills, physical or emotional conditions, pregnancy, homelessness, and poor legal histories.
- ✓ People will be enrolled according to target group status when funding streams dictate, such as youth, veterans, dislocated workers, etc.

6. Determining the needs of employers in local areas and statewide and streamlining Worker Opportunity Tax Credit

As described earlier, the PRISM document and local Community Agreements will be the foundation to ensure that employer expectations of the workforce development system are met. Traditional job training programs focus on supply side approaches. In other words, they focus on job seeker/worker assistance as the primary strategy for workforce development. New paradigms value employer contributions to workforce development, embracing them as significant partners and customers in this agenda. Like other states, Maine is taking significant steps to respond effectively to demand side expectations. Maine industry requires a retooled workforce, one that is equipped with the skills of a knowledge-based economy. And to remain viable, Maine communities need high-wage, high-skill employment supported by a culture of lifelong learning and skill development. The private sector determines where the jobs are, how much they pay, their entry-level requirements, their benefits, and their longevity and career progression. Workforce development is economic development.

For these reasons, assistance to employers is important when structuring and configuring program designs. Employer Assistance, as defined by MDOL, is more comprehensive than traditional employer services provided through Job Training Partnership Act, Wagner-Peyser and Vocational Rehabilitation. Employer Assistance:

- broadly identifies employer needs;
- packages/coordinates workforce development resources to meet those needs;
- provides DOL services, where appropriate, as part of the workforce development package; and,
- refers non-workforce related issues to appropriate agencies including, for example, Economic Development, Environmental Protection, International Trade Assistance and the Finance Authority of Maine.

Maine's demand side strategies connect the workforce development system to employers, expanding the system to include ongoing skill development and career

progression for all workers. Infusion of demand side strategies into Maine's One-Stop delivery system is the crux of Maine's approach for integrated employer assistance. At a minimum, employer assistance must be seamless, integrated, linked to the chambers of commerce and the economic development community and able to provide single-point access to workforce development information, resources and programs.

Maine's employer assistance strategy is threefold:

- integration of employer assistance activities in One-Stop CareerCenters;
- Incumbent Worker Planning Grant activities; and,
- Community Agreements for Workforce Investment.

Employer Assistance Integration

In PY'98, local CareerCenters were charged with designing seamless, integrated access to employer assistance; eliminating duplication of contact by program specialists, and providing "no wrong door" access to the menu of employer services through one contact with the DOL system. They were asked to coordinate/integrate employer contacts for labor exchange, job development, OJT, apprenticeship, rehabilitation, and state expansion/retention initiatives. This work is well underway.

In 1999, Maine received a \$50,000 Incumbent Worker Planning Grant from the USDOL. A threefold strategy for resource development was adopted to bridge the gap between Maine's employer assistance vision and reality:

- development of Customized Workplace Needs Surveys to *identify* specific education and training needs of Maine companies on regional, local, and/or industry bases;
- development of a Workforce Assessment Certification Course to promote statewide capacity to *assess* employer training needs, particularly those of small businesses lacking dedicated human resource staff; and,
- development of the employer portion of America's Learning Exchange (ALX), to promote training provider registration and employer *access* to workforce education providers.

Progress reports for these three goals are submitted monthly to USDOL.

As part of Maine's employer assistance initiative, MDOL has partnered with the Maine State Chamber of Commerce to launch *Community Agreements for Local Workforce Investment*. These multi-stakeholder agreements will provide Maine employers with direct involvement in sustainable workforce development initiatives at the local level. Agreements for Workforce Investment will complement the CareerCenter strategy, forging community partnerships to grow Maine's workforce through local action.

Types of services are classified according to recruitment, job development, outplacement, business expansion, retention, training; navigation of system information and services using employer assistance plans; and marketing, including outreach. Specific products and services within each category can be delivered electronically, on-site or at the CareerCenters themselves, and are consistent with supply side Levels 1, 2 and 3 services.

Long-term and specific program design issues include organizing single points of contact for employers, coordinating systems job development efforts for supply side customers, and reengineering the distribution and flow of work so that clerical tasks are automated to free staff time for quality consultation activities.

Employer services, like those for job applicants, will be organized according to Core Intensive and Specialized Services and be provided using self-directed and mediated approaches. Some of these services employers can access themselves, while others are more conducive to group activities or specifically customized to business needs.

By the fall of 1999, a new job matching system was implemented that provided automated job order listings and applicant matches. The job matching system has the capacity to include up to 17 search criteria when making job matches, either by employers, staff or job registrants. The system is provided on a self-directed or mediated basis, and can be done through the Internet, by a phone call to a CareerCenter, or be facilitated through on-site visits by CareerCenter professionals.

Finally, CareerCenters offer self-directed and mediated Worker Opportunity Tax Credit (WOTC) conditional certifications. A long-term goal is to make this automated system available through networks so that TANF, Corrections and all veterans programs have access through the state's Intranet. WOTC-certified applicants are identified on screens next to their names or profiles when they meet one of the 17 match criteria.

7. Reemployment services provided to Worker Profiling and Preemployment Services claimants

Maine has a streamlined process for serving profiled customers. The Unemployment Insurance letter refers customers to one CareerCenter location. They are received and encouraged to take part in CareerCenter programs as systems customers rather than the participants of any one program. While they have minimum core requirements such as job search and career decision-making, customers are encouraged to avail themselves to all CareerCenter services.

Non-compliance with referrals to CareerCenters by UI, failure to take part in minimum services, or refusing bona fide job orders are reported using standard communication protocols.

Important long-term systems issues include structuring services to serve more claimants and reducing overall duration of unemployment. Part of the issue entails seamless transitions between CallCenter information gathering and CareerCenter

registrations. A second part will focus on building quality programs so that people will want to use them. Finally, the network of employers needs to expand to provide greater job development opportunities to the supply side customers.

8. Wagner-Peyser support to people with disabilities

CareerCenter staff funded with Wagner-Peyser money work with other CareerCenter staff to coordinate, integrate and streamline services to benefit common customers. Specific activities occurring throughout the system involve the following:

- conducting integrated orientations for people on a universal access basis;
- sharing common information at intake;
- developing staff skills that support customer use of adaptive equipment;
- establishing single-points of contact with employers;
- conducting customized job development for the Division of Vocations Rehabilitation and the Division of Blind and Visually Impaired customers;
- advocating to employers that they take advantage of services that support job coaches and job accommodations when conducting customized job development on behalf of people with disabilities; and ,
- conducting cross information and training sessions for joint staff.

9. How Wagner-Peyser funds will be used to serve veterans and ensure priority of service

See paragraph under 10 below.

10. How will W-P funds be used to serve veterans and ensure priority of service and what role will Disabled Veteran's Outreach Program (DVOPs) and Local Veteran's Employment Representatives (LVERs) have at the CareerCenters and how will the State ensure adherence to the requirements for veterans staff?

Like all other customers, veterans will be served in a market context, but CareerCenters will employ priority procedures to support One-Stop principles. Priority programs are not contradictions in One-Stop environments. They support the principles by the following:

- Streamlining services through the One-Stop delivery system. Veterans will have access to One-Stop shopping for their labor market needs. Better services will be available because they will share upgraded and minimum service standards between and among participating organizations. Veterans will have a simpler time in navigating the system because it will develop clear pathways to and from other parts of the system.
- Veterans will benefit from the principles of supply side customer choice and universal access. Veterans will have equal access to the system through the Internet. The customer can decide the extent of his/her involvement. Referrals from core services can be customer-driven, or mediated using needs-based

arrangements. Veterans, too, will have their choice of Individual Training Accounts provided they are eligible.

- Program integration supports quality services to veterans by building systems within a collaborative environment, one that benefits everyone and doesn't put program operators in a position of competing with one another. Principles of case management will be employed by DVOP/LVER staff to provide an approach for linking workforce development services with veterans' needs.
- Customer satisfaction is the foundation for accountability. Without customer satisfaction, placements and process measures are meaningless. Outcome measure like rates of entered employment are important, but only if they are a shared systems measure. Maine will work to streamline these where possible. Core process measures such as number of veterans referred to training are important to capture within a case management approach, but not outside of a customer's expectations. It's all right, for example, if no veteran is referred to counseling if s/he does not want the service.
- CareerCenter priority services for veterans include the following:
 - ✓ Dedicated staff
 - ✓ Job scouts
 - ✓ Case management
 - ✓ Advocacy
 - ✓ Customized job development
 - ✓ Veterans are listed first on employer job matching screens
 - ✓ Customized follow up

11. Services to the agricultural community.

Services to migrant and seasonal farm workers (MSFWs) and businesses that employ them are organized within the MDOL and CareerCenter systems. The primary approach for linking farm workers to available services is the state's Monitor Advocate. The advocate's position performs the following functions:

- monitors compliance of equity of treatment through quarterly report and complaint logs and through on-site reviews;
- conducts site visits where MSFWs are working and living to explain benefits of registering with CareerCenters; and
- coordinates activities with other agencies to ensure that MSFWs receive the fullest range possible of direct and supportive services, such as ensuring that the 402 grantee has full access to system registrants.

MSFWs registering with CareerCenters can receive referrals to jobs in other states and get access to special programs that help with transportation to the next job. CareerCenter at Portland has a toll-free line with bilingual services to answer

questions and concerns of the MSFW population. Additionally, investigation and resolution of complaints against employers are funneled through CareerCenters to the Monitor Advocate if not resolved locally. Furthermore, farm workers have direct access to the 402 grantee (Training and Development Corporation) that helps workers and their families achieve economic independence through non-agricultural or stabilized agricultural employment. It can also provide emergency supportive services such as transportation, food assistance, housing and personal counseling.

The test of equitable services to farm workers is applied using five equity indicators (job referrals, any needed service, referred to supportive service, counseling, and job development contacts). Comparisons of these services between farm and non-farm workers are done to determine equitability. Active outreach has increased the number of farm worker registrations over the past few years.

CareerCenters will continue to help agricultural employers obtain workers to harvest their crops. Offices will write job orders and refer interested applicants. When workers can't be found, employers will turn to the H-2A program operated from MDOL's Bureau of Labor Standards. Job orders are entered into America's Job Bank and the Interstate Clearance System.

12. Wagner-Peyser's contributions to the three-tiered CareerCenter system

The underlying notion of One-Stop is integration of programs and services providing a seamless system of services for customers at the local level, while assuring consistency of services among labor markets across Maine. The labor exchange system plays a critical role in CareerCenter service delivery as the primary job finding source, especially for unemployment insurance (UI) claimants. The system provides quality information to the public about jobs, the dynamics of labor markets, available training and education opportunities, and links to other public and private service agencies. For these reasons, Maine sees the labor exchange system as part of the foundation to its employment and training delivery system.

Labor exchange services contribute to the workforce development system in the following ways:

- Significant financial contributions to core and intensive services that enable all customers - employers, job seekers and educators - to access universally the information needed to successfully navigate the labor market of the 21st century.
- Strong business connections between supply and demand side customers - the connections are manifested in the job matching and labor market information systems.
- Contributing to smooth functioning labor markets through its job matching and information capacity supports economic development goals. For example, CareerCenters will be the universal entry-point - whether a high school student looks into career options, or looks for a first job, or a high school dropout looks to find a way back into the education and training system for a second chance, a

dislocated worker looks to change careers, a public assistance recipient tries to enter the labor market, or anyone else who seeks employment.

- Labor exchange services contribute to the system by administering a number of statutorily mandated programs for targeted populations including veterans, migrant and seasonal farm workers and individuals affected adversely by trade agreements.

Specific program design elements consist of tiered delivery comprised of three flexible and adaptive service strategies that are consistent with and support overall CareerCenter systems development.

- Self-directed access to products and services are available and are being expanded as systems development continues. Customers can access products and services using Internet connections or by visiting a CareerCenter.
- Facilitated self-help is done through the Information Centers within each CareerCenter. This includes core and intensive services as labeled by WIA §134.
- Staff-assisted services are provided one-on-one and in workshops.

Typical labor exchange services that contribute to CareerCenter products include common intake, job matching, general and employer-specific assessments, labor market information, job search assistance, specialized recruitment, case management, and customized job development.

Maine State employees will provide labor exchange services within the CareerCenters. Self-directed and functionally supervised work teams may include non-state employees and state employees can contribute to providing WIA title I services. Collective bargaining agreements and human resource development merit principles will not be adversely impacted by this integrated approach.

13. Statewide dislocated worker rapid response activities under WIA §133(a)(2)

Maine provides reemployment services to dislocated workers through a combination of state and local approaches. The Bureau of Employment Services (BES) houses the functions typically assigned to a dislocated worker unit, but implementation is a shared responsibility.

In consultation and negotiation with Local Workforce Investment Boards, BES is responsible for developing basic components of statewide and local rapid response activities. They include providing resources to deliver rapid response activities at the local level, developing budgets, structuring the Rapid Response process, coordinating the development of National Reserve Account grant applications, negotiating alliance-based contracts that support Rapid Response capacity, and providing policy direction for integrating TAA and WIA dislocated worker programs.

Maine has built an extremely effective communication system for identifying and responding to potential and actual dislocations. Credible rumors and WARN notices trigger visits to businesses by local rapid response staff, who gather information about the nature and size of the layoff, contact people, workers names and timeframes.

From this first interview, State rapid response staff determines the mix of appropriate responses. Businesses are informed of layoff aversion possibilities such as employee buyouts, upgrading of skills where appropriate and linking needs of the employer with state and local economic development programs and services. 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 to the governor's office for similar reasons. Finally, the information is used to develop a customized set of services from Rapid Response orientations, workshops, and training to job development.

MDOL has developed important alliances since the inception of rapid response services. One is with the state Maine State Chamber of Commerce. It operates the Business Visitation Program, which gathers data about employer needs around training, retraining and economic development. Another partnership is with Maine AFL-CIO, which markets programs to affected union officials and their workers, helps conduct workshops and manages jointly with MDOL/BES the statewide Peer Support Worker program. These relationships add so much to the workforce development system, the most important of which are credibility and quality services.

Furthering the State's goal of developing capacity of the CareerCenter system, state-funded rapid response efforts will be implemented in consultation with local LWIBs and CLEOs. The state provides policy direction, functional oversight and staff development and training. Local rapid response staff are supervised locally on a daily basis and make initial and follow up contacts with employers, provide referral services to economic development agencies, document visits and communicate them to all appropriate local and state agencies. Finally, staff conduct reemployment orientations and workshops, and facilitate transition into training and job development.

14. State strategy for providing comprehensive services to youth

During the implementation of this five year plan, State and local stakeholders will work to build a comprehensive infrastructure and program design to provide quality youth services through the CareerCenter network.

The CareerCenters will provide core services including: eligibility determination; selection; objective assessment and the development of an individual service strategies. These service strategies will be directed toward helping youth achieve academic and employment success through comprehensive services oriented to each youth's individual needs. Clearly, coordinating with existing youth programs is

necessary to offer the comprehensive service that will be needed to meet the varied needs of this population and the system design requirements of the Act.

Many local and state partnerships are currently in place and one of the first steps is for local boards to identify available services and the needs of the different youth populations who are eligible for service. This will provide insight into areas where more coordination is needed to avoid duplication and maximize state and federal resources. It will also provide insight where gaps exist and allow for the development of services to fill these gaps and create a linked network of youth services.

The Maine Department of Labor will assist local boards by engaging all state agencies that provide services or funding to youth programs in a dialogue with LWIBs. In addition, the national Job Corps program (Maine has two locations) needs to be involved in any local or statewide discussions and system development. It is important that as many stakeholders as possible get involved with these initial discussions so that LWIBs can build the partnerships and policies necessary to meet the needs of all youth.

15. Youth program designs

Maine intends to meet the Act's provisions regarding youth programs by building and maintaining strong linkages with youth serving agencies and partnerships. The State supports the integration of youth planning and program operations in the local CareerCenters. At the local level, LWIBs will establish youth councils that will serve as subcommittees of the LWIBs. LWIBs might also consider having multiple youth committees that focus on specific counties or CareerCenters in order to ensure that youth are getting the local representation desired and in order to ensure that local needs are addressed. Youth Councils will play an integral role in youth planning and program development. Youth council membership will reflect representation of local partners and stakeholders including local school systems, school based youth service programs, community based youth service providers, business, higher education and state agencies providing youth services.

The youth program will include all the requirements outlined in WIA §129. As stated previously in this plan, core services such as eligibility determination, selection, assessment and service plan development will be done by CareerCenter staff. All youth entering the system will receive an objective assessment. Assessments will follow WIA guidelines including a review of academic and occupational skills, interest, aptitudes as well as developmental and supportive service needs. Assessments will provide some of the core information and data to complete employment plans that identify employment and educational goals and the services needed to reach the identified goals. This information will be shared with appropriate partners to encourage consistent and accurate information that will help foster a continuum of services rather than short-term interventions.

Referrals will take place based on individual service strategies to approved local service providers. CareerCenter staff will track progress toward stated goals and work

with partners to make any adjustments necessary. Applicants not selected for enrollment will be provided information on the full range of services available through the CareerCenters as well as through local youth service providers and programs.

Maine youth programs will incorporate the following design features:

Preparation for post secondary educational opportunities

Post secondary educational opportunities will be encouraged for customers who have the interest and aptitudes to pursue these opportunities. Assistance with tutoring and study skills will be offered as well as on-campus summer activities to encourage youth to go on to post secondary education. Maine will encourage post secondary educational institutions especially Maine's Technical Colleges to participate on the youth councils and in the program design discussions and operations.

Strong linkages between academic and occupational learning

Programs for both in- and out-of-school youth will be expected to integrate components of work-based learning with school-based learning. This can be done by connecting students with employers and work or by creating community service activities that link the academic and occupational skills.

Preparation for unsubsidized employment opportunities and effective linkages with intermediaries with strong employer connections

Preparation for unsubsidized employment is the primary focus of the youth programs. This focus begins with the objective assessment and will be the ultimate goal of the individual service plans. Academic, pre-employment and work maturity services will all focus on unsubsidized employment as the outcome. The CareerCenters have strong employer connections and will insure that occupational training components are in occupations and industries that have demand and growth potential. Also CareerCenters will be responsible for placement at the end of participation in program activities.

Alternative secondary school service

Through continued strong linkages with the Department of Education and local schools systems placement in alternative school programs will be a key for youth who have not responded to traditional school settings. In Maine there are many different settings for alternative education and the quality and flexibility of local school systems varies greatly from area to area. WIA youth activities will need to work with local systems that offer the best chance for success for each youth participant.

Summer employment opportunities; paid and unpaid work experiences

Summer employment activities are expected to be one part of a larger program and no longer a stand-alone service. Summer employment will be directly linked to academic and occupational learning. Because many youth are first introduced to jobs through this component it will continue to emphasize work maturity and pre-employment skills. In addition to summer components youth will be provided work experiences that are either paid or unpaid, in the private, public or non-profit sectors. Regardless

of the type of work experience all will be planned and structured learning experiences. They will be designed to help youth understand the need and relevance of academic skills, gain occupational skills, and know how to find employment and advance.

Occupational skills training

Any occupational skills training or on the job training will be reserved for older youth who have completed the necessary requirements for a high school diploma or equivalent. It is envisioned that most of the funding for this activity will be provided by the adult funding stream but the state acknowledges the rights of the LWIBs to determine the level of youth funding that will be reserved for this activity.

Leadership development opportunities

Youth programs will include leadership development opportunities as part of the menu of activities. Mentoring opportunities with adults will be sought to provide consistent support and counsel. LWIBs will be encouraged to include Citizenship and life skill activities in the program menu for all enrolled youth.

Comprehensive guidance and counseling

CareerCenter employment counselors will provide ongoing case management for all youth participants. Youth will be referred to professional guidance and counseling on an as needed basis. Personal problems, drug or alcohol abuse and other problems that will effect success must be addressed as one of the first steps in the comprehensive plan. Partnerships with local providers of such services will be developed in each local area.

Supportive Services

Supportive services that are necessary for youth to participate and complete program activities successfully will be available through the CareerCenters.

Follow-up services

All youth enrollees will receive appropriate follow-up services for at least 12 months following completion of planned activities by CareerCenter staff. Follow-up services can include additional supportive services or other training or leadership activities needed to insure continued success.

C. System Infrastructure

1. How the locally operated Individual Training Account system is managed by the State. How the State ensures quality and integrity of performance data.

To enable the participant to make a responsible and informed choice about where best to receive training, Maine's workforce investment system will utilize three mechanisms mandated by WIA:

- Individual Training Accounts (ITAs);
- a statewide list of eligible providers of training services; and,
- consumer information regarding eligible providers.

Individual training accounts place training resources in the hands of the consumer. Rather than being directed to a provider of training services by an agency, the consumers will be able to select high quality training on their own. The list of eligible providers of training services will be compiled by the LWIBs and the Department of Labor acting on behalf of the State LWIB. The LWIBs will seek out vendors of high quality training with relevant criteria. The State will verify the quality of vendors on the local lists and compile them into a statewide list. Consumer information about eligible providers of training services will be made available to all training seekers through the One-Stop CareerCenters. Additionally, the list of eligible providers of training services will be maintained on the Department of Labor's website.

Through its monitoring and oversight activities, the State Department of Labor in conjunction with the LWIBs will ensure the quality and integrity of the performance data. This will be completed via desk reviews and on-site monitoring visits with eligible providers.

2. How the State will improve its technical and staff capacity to provide services to customers and improve entered employment outcomes and how the state will encourage employers to enter their own job orders on the Internet.

Staff capacity to adapt, grow and evolve according to changing needs of customers is an important issue to Maine's CareerCenter system. First and foremost, significant investments have been made in creating a CareerCenter culture whose values are translated into everyday activity as a way of doing business. CareerCenters are more than physical locations, they are a way of doing business. The core business is satisfying customer needs for products around labor market information and services. Several cross-information and staff development and training initiatives have taken place that build and support staff capacity to be successful in this endeavor. For additional information, please see sections III B 2, C 1 and IV A 2.

Initiating Internet-based job orders is accomplished through America's Job Bank at this time. Maine is using national marketing materials to make this system widely known to employers. AJB job orders, and those entered through the Maine system are linked and made available to job seekers world-wide.

3. How the State will improve its employment statistics system

The Division of Labor Market Information Services, (DLMIS), is the designated agency to administer the Employment Statistics program in Maine. Several key initiatives to improve employment statistics will be undertaken by the Division.

a. Long-term projections: produce long-term State-level industry and occupational employment projections.

Statewide industry employment projections will be produced using the base year 1998 and the projected year 2008. This data will be processed through the MicroMatrix projections system to develop occupational employment projections

to 2008 using the staffing patterns from the Occupational Employment Statistics (OES) Program surveys. The statewide projections were completed in March 2000. All projections will be in accordance with U.S. Bureau of Labor Statistics specifications and will be Internet-ready.

In addition, local area projections will be developed for three MSA's (Bangor, Lewiston, and Portland), and one PMSA (Portsmouth-Rochester NH). Local area projections for the balance of state areas (Northeastern and Southwestern Maine) will be explored and developed if feasible.

b. Short-term Forecasts: produce and review short-term state-level industry projections and develop occupational employment forecasts.

Short-term industrial and occupational employment forecasts will be developed utilizing the short-term industry forecasting system developed by the Short-term Forecasting Consortium. The forecasts will use Q4-1999 as the base measure, and will project out two years to Q4-2001. While these short-term forecasts will initially be developed on a statewide basis, forecasts for substate short-term industry employment will be tested.

c. ALMIS Database: continue to populate the ALMIS database with State data

America's Labor Market Information System (ALMIS) database, implemented and maintained as the Maine Employment Information Guide (MEIG), provides multiple levels of access options to display, organize, and analyze a wide variety of information stored in the national standardized database. The database will be enhanced to Version 2.0, maintained, and further populated with statewide and, where appropriate, sub-state data. To the extent possible, the data will be populated with at least the most recent two years, multiple time periods will be reported when available. Industry projections will be populated at the two-digit Standard Industrial Classification (SIC) level and occupational projections will be provided beyond the Bureau of Labor Standards (BLS) Collapsed Occupational level. Every effort will be made to continue populating the database beyond these requirements in order to maximize its usefulness locally. Input of data into the database will be improved to allow acceptance of files as produced by various programs, e.g., Integrated Postsecondary Educational Data System (IPEDS), and other enhancements to the Maine Employment Information Guide will be pursued following feedback from the LMI Advisory Workgroup referred to in item (6).

d. Expand access to labor market information to all customers.

The Maine Employment Information Guide and the Employer Database (InfoUSA) will be made fully functional in all CareerCenters during PY 1999. Procedures will be established for updating these databases on a preset schedule. Actions also will be taken to ensure that both databases will be set up uniformly on all desktops used by CareerCenter customers and staff.

The Internet inquiry module for the Maine Employment Information Guide will be tested, edited and put into operation. This will enable more job seekers, employers and others to have access to labor market and occupational information. In addition, a voice-activated method of interfacing with the Maine Employment Information Guide will be selected and implemented. This will be coordinated with the Department's Bureau of Rehabilitation Services which has membership on the LMI Advisory Workgroup.

A complete overhaul of the LMI Internet website will be completed and updated with additional labor market information including links to related Internet sites. The LMI website will continue to allow users to e-mail their LMI questions which will be responded to within one business day.

e. Delivery of information to assist in targeted job search, including identification of high growth industries and occupations.

America's Career Information Network (ACINet) LMI database will be populated, including state data found in the Career Resource Library and the State Profile sections. Specific information regarding high growth industries and occupations will be identified, and will be disseminated in CareerCenters, workshops, job fairs, and other appropriate methods events through the use of pamphlets. These will include, but not be limited to *Hot Jobs in Maine*, *Careers in Maine for College Graduates*, and *100 Highest Paying Jobs in Maine*. CareerCenter staff will be given training in the use of both electronic and printed data. Analysis of local labor supply and demand will be made from the OES Program, CareerCenter applicant files, and vocational and post-secondary school graduate data captured by the IPEDS program maintained through the Maine Department of Education. Some of the foregoing data will be incorporate into the Maine Employment Information Guide.

f. Increase outreach of labor market information

The Labor Market Information Services Division will continue its outreach to deliver high quality employment statistics information to customers - job seekers, employers, students, and other users - both within and outside of CareerCenters. This process has been and will continue to be enhanced and guided by the Labor Market Information Advisory Workgroup whose members represent a cross-section of field operations at the local customer level and represent all of the Department's service deliverers. The Workgroup will continue to provide guidance and insight on developing LMI products and how they should be presented in order to best meet the information needs of CareerCenter customers.

This process will also be effective in identifying and providing more localized LMI to the state and Local Workforce Investment Boards under WIA. The Division will build upon its experience during PY '99 of conducting semiannual job vacancy surveys as part of a separate contract between ETA and the service deliverer for the Portland CareerCenter.

g. Wage Records: develop and use wage records for market analysis and program evaluation

The Division of LMIS has extensive experience in wage record analysis both in conducting studies of its uses and in actual program evaluation. During PY '99, wage records will be used to evaluate the Target Opportunities Program (services to transition low income people into sustainable jobs) for a service provider in the central coastal area. Wage record follow-up services will be offered and pursued for other program deliverers within the CareerCenter family.

V. Performance Management

A. How the State worked with local boards to determine the performance level for each core indicator and customer satisfaction indicator

WIA enactment allows Maine to define a shift in the way it delivers services and does business. This means that historical data can act as a reference point but not as a baseline for the determination of performance measures. However, using historical data, the state entered into discussions with local areas to determine performance measurements which made sense given the information available.

In addition, each core indicator was reviewed at the state level to research what information is currently collected and retrievable within the existing system. In addition the state looked at what data partners in the CareerCenters might be able to provide or supplement using their own information or performance measurement system. These data systems will be integrated over the course of the plan implementation in order to complete the overall performance picture.

Each local area had goals assigned per indicator for all indicators. The goal amounts were negotiated and calculated based on historical data, market conditions and other economic, demographic and geographic factors. The required indicators are included in Appendix E.

B. Data to be collected from the CareerCenters and the use of UI wage records

Examples of the data collected from CareerCenters and the UI system include earnings, enrollments, terminations, entered employments, entered employment rates, wages at placement, social security numbers, employer ID numbers and PIN numbers.

In order to reduce the demands on staff and to effect a seamless service delivery to customers wherever possible, data which is collected, i.e., SSN/EIN and PINs, will be manipulated through existing databases (UI systems, education databases, etc) in order to provide the information required to report numbers. For example, if a customer comes into CareerCenter and accesses services through self-service but then asks to be included in additional services, their SSN and PIN, already resident in the system should be expected to provide whatever information is necessary to effectively "qualify" them for the additional service or program. The staff should not be expected to ask, nor the customer endure a new series of questions to discover or determine eligibility, previous employment, current or past wages, etc. Instead this information can be collected through the "crosswalk" of linked databases in a manner seamless to the customer and staff. This is the data necessary for federal reporting of numbers served.

Information necessary for product and service delivery improvements, (continuous improvement) will be negotiated between the state and the LWIBs and is yet to be determined, but will be derived from each areas contribution to the overall goals.

C. The customer satisfaction measurement system and how it will be used for continuous improvement

Customer satisfaction standards have been developed which reflect the mission and values already in place for Maine's CareerCenters. These standards are explained and distributed to local areas in the PRISM document, previously described.

For each value a set of measures has already been developed which allows each Center to measure its performance against values which have been adopted by the current partners in the system. These values engender customer satisfaction measures which will be used at the outset for gauging customer satisfaction. Further, the measures will be reviewed in light of the overall goals of the system as previously indicated, so that the system responds to market and customer preferences while meeting goals consistent with local market demand and local area goals.

For example, to measure if the standard of professionalism is met, CareerCenters test to see that 90% of customers report that they are treated courteously and respectfully. In addition, 100% of customer comment cards indicate that customers entering the CareerCenter receive useful information or a service. In order to effect continuous improvement, these measurements would be reviewed periodically to see if a higher percentage should be set or if a new measure should be added.

The complete list of the current customer satisfaction measures is included in Appendix C as part of the PRISM document.

D. Describe the actions of the Governor and MJC to ensure collaboration with key partners and continuous improvement

The MJC will use the Memorandum of Understanding process as proposed under WIA as the primary vehicle for ensuring collaboration with key partners and continuous improvement. Under WIA, a Memorandum of Understanding (MOU) is the operational document to implement One-Stop. The State of Maine has defined three types of MOUs in the State Plan.

The first type of Memorandum of Understanding will be developed at the state level as an umbrella agreement between the State organizations representing the required and optional partners as well as others as appropriate. As referenced in earlier sections of the Plan, the MDOL will take the responsibility for initiating these MOU discussions which started with a "Partner Day" in early 2000 to provide an orientation to WIA and to the concept of MOUs in general. Given the time frames and resources, the Plan phases in the state level MOUs over the first three years of the WIA 5 year plan. The State will focus on the 9 programs currently resident in the CareerCenters as well as the Unemployment Compensation programs, the Adult Education, and the Carl Perkins funded educational institutions and entities in the first year of the Plan. By the end of third year, MOUs will be in place for all required and optional partners under WIA. These umbrella MOUs will identify what services are available through the respective agencies, how those services can either be provided directly through the CareerCenters or how they will be accessible

at the CareerCenters and how the costs for service delivery would be funded. These MOUs, as developed, will be reviewed by the State Workforce Investment Board (the Maine Jobs Council) for consistency with the State Plan and then distributed to the Local Workforce Investment Boards to assist them in the development of the local MOUs.

The second Memorandum of Understanding will be negotiated between the investing partners of a CareerCenter and the One-Stop Operator on behalf of the Local Workforce Investment Board. This MOU will be negotiated annually. At a minimum, it will articulate the following:

- services to be provided through the One-Stop delivery system;
- how the costs of such services and operating costs for the One-Stop will be funded;
- what systems will be used to ensure appropriate One-Stop tracking and reporting (including customer satisfaction, core, intensive & training services as well as individual program performance);
- methods for referring individuals between investing partners;
- duration of the MOU and procedures for amending the memorandum;
- the individual program's performance and how it relates to the One-Stop mission;
- the individual program services and how they support the State's goals; and,
- description of the partner's working relationship with the Operator, the Operator's relationship to the LWIB as it relates to the partners and programs accountability under the local plan.

The State Plan will include a model MOU as a template for the LWIBs and request that the format be used statewide although the particulars can be modified, deleted or expanded depending on the specific local area need. The LWIB orientation that the State will host once the LWIBs are in place will provide training on (a) negotiating the MOUs as well as (b) using the MOU template.

The third Memorandum of Understanding will be negotiated between the investing partners of a CareerCenter, the One-Stop Operator and the external partners on behalf of the LWIB. External partners will be considered "connecting" partners rather than "investing" partners. A connecting partner may be a required, optional or other partner under WIA. A connecting partner has services that add value to the CareerCenter service mix. However, the service need not be provided directly in the CareerCenter or through the investing partners, nor do the connecting partners necessarily directly contribute to the One-Stop operating costs. This MOU will be negotiated annually. At a minimum, it will articulate the following:

- services to be provided through the One-Stop delivery system, if relevant;
- services to be linked to the One-Stop delivery system;
- how the costs of such services will be funded;
- what systems will be used to ensure appropriate One-Stop tracking and reporting (including customer satisfaction, core, intensive & training services as well as individual program performance);
- methods for referring individuals between investing partners and connecting partners;
- duration of the MOU and procedures for amending the memorandum;

- the individual program's performance and how it relates to the One-Stop mission;
- the individual program services and how they supports the State's goals; and,
- description of the connecting partner's working relationship with the investing partners, the Operator, and the Operator's relationship to the LWIB as it relates to the connecting partners and programs accountability under the local plan.

A draft Memorandum of Understanding framework that was distributed by US DOL is attached for your reference as Appendix F. This framework will be customized for use in Maine.

E. How the State and local boards evaluate performance and what sanctions and technical assistance the will State take if performance falls below expectations

The State and LWIBs will use the 17 WIA Title I performance standards as a starting point to evaluate WIA Title I performance. The State will also use the customer satisfaction standards articulated in the PRISM document, starting in Year One with two customer satisfaction standards related to Core Services (Level 1) and expanding in the next four years to incorporate the standards relevant to Intensive (Level 2) and training (Level 3) services. These standards will be applied consistently statewide in all CareerCenters.

The State will work with the LWIBs to develop and incorporate performance standards for the investing and connecting partners and these additional standards will be articulated, in addition to the State standards referenced above, through the MOUs.

The State will view Year One performance as the base line for WIA performance data. During the first year, a sanctions policy will be developed in conjunction with the incentives policy (referenced in section IV.A.2) and be the mechanism for evaluating performance. Incentives will be tied to exemplary performance and sanctions identified for failure to perform (for years two through five).

As a part of this incentives and sanctions policy, the State will outline its technical assistance policy. That technical assistance policy will include the manner and frequency of reporting, the corrective action required and the options for addressing the corrective action necessary.

VI. Assurances

- A. The State of Maine assures that it will establish, in accordance with Section 184 of the Workforce Investment Act, fiscal control and fund accounting procedures that may be necessary to ensure the proper disbursement of, and accounting for, funds paid to the state through the allotments made under Sections 127 and 132 of the Act. (§112(b)(11).)
- B. The State of Maine assures that the Governor shall, every two years, certify to the Secretary, that
 - 1. The State has implemented the uniform administrative requirements referred to in WIA §184(a)(3)).
 - 2. The State has annually monitored local areas to ensure compliance with the uniform administrative requirements as required under WIA §184(a)(4); and
 - 3. The State has taken appropriate action to secure compliance pursuant to WIA §184(a)(5) (§184(a)(6)).
- C. The State of Maine assures that the adult and youth funds received under the Workforce Investment Act will be distributed equitably throughout the state, and that no local areas will suffer significant shifts in funding from year to year during the period covered by this plan. (§112(b)(12)(B)).
- D. The State of Maine assures that veterans will be afforded employment and training activities authorized in Section 134 of the Workforce Investment Act, to the extent practicable. (§112(b)(17)(b)).
- E. The State of Maine assures that the Governor shall, once every two years, certify one local board for each local area in the state. (§117(c)(2)).
- F. The State of Maine assures that it will comply with the confidentiality requirements of WIA §136(f)(3)).
- G. The State of Maine assures that no funds received under the Workforce Investment Act will be used to assist, promote, or deter union organizing. (§181)(b)(7)).
- H. The State of Maine assures that it will comply with the nondiscrimination provisions of Section 188, including an assurance that a Methods of Administration has been developed and implemented.
- I. The State of Maine assures that it will collect and maintain the data necessary to show compliance with the nondiscrimination provisions of Section 188.
- J. The State of Maine assures that it will comply with the grant procedures prescribed by the Secretary (pursuant to the authority at WIA §189(c)) which are necessary to enter into grant agreements for the allocation and payment of funds under the Act. The procedures and agreements will be provided to the State by the ETA Office of Grants and Contract

Management and will specify the required terms and conditions and assurances and certifications, including, but not limited to, the following:

GENERAL ADMINISTRATIVE REQUIREMENTS:

- 29 CFR Part 97 -- Uniform Administrative Guidelines for State and Local Governments (as amended by the Act)
- 29 CFR Part 96 -- Single Audit Act (as amended by OMB Circular A-133)
- OMB Circular A-87 -- Cost Principles (as amended by the Act)

ASSURANCES AND CERTIFICATIONS:

- SF 424 B -- Assurances for Nonconstruction Programs
- 29 CFR Part 31, 32 -- Nondiscrimination and Equal Opportunity Assurance (and regulation)
- CFR Part 93 -- Certification regarding Lobbying (and regulation)
- 29 CFR Part 98 -- Drug Free Workplace and Debarment and Suspension Certifications (and regulation)

SPECIAL CLAUSES AND PROVISIONS:

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

- K. The State of Maine certifies that the Wagner-Peyser Act Plan, which is part of this document, has been certified by the State Employment Security Administrator.
- L. The State of Maine certifies that veterans' services provided with Wagner-Peyser Act funds will be in compliance with 38 U.S.C. Chapter 41 and 20 CFR part 1001.
- M. The State of Maine certifies that Wagner-Peyser Act-funded labor exchange activities will be provided in compliance with federal laws and regulations for staffing.
- N. The State of Maine certifies that Workforce Investment Act Section 167 Grantees, Advocacy Groups as described in the Wagner-Peyser Act (e.g., veterans, migrant and seasonal farmworkers, people with disabilities, UI claimants), the State monitor advocate, agricultural organizations, and employers were given the opportunity to comment on the Wagner-Peyser Act grant document for agricultural services and local office affirmative action plans and that affirmative action plans have been included for designated offices.
- O. The State of Maine assures that it will comply with the annual Migrant and Seasonal Farmworker significant office requirements in accordance with 20 CFR part 653.

- P. The State of Maine assures that this Plan has been developed in consultation with Local Elected Officials, Local Workforce Investment Boards, the Business Community, Labor Organizations and other partners.
- Q. The State of Maine assures that it will comply with Section 504 of the Rehabilitation Act of 1973 (29 USC 794) and the American's with Disabilities Act of 1990 (42 USC 12101 et seq).
- R. The State of Maine assures that funds will be spent in accordance with the Workforce Investment Act and the Wagner-Peyser Act Legislation, Regulations, written Department of Labor Guidance, and all other applicable Federal and State laws.

VII. Program Administration Designees and Plan Signature

This page will be attached in the State Plan when it is submitted by the Governor to the US DOL.

APPENDICES

Appendix A - Occupational Projections

Appendix B - Maine Local Workforce Investment Boards

Appendix C - PRISM Document

Appendix D - Policy for Determining Eligible Training Providers Under the WIA

Appendix E - Performance Indicators

Appendix F - Draft Memorandum of Understanding

Appendix G - WIA Glossary

Appendix A

Job Openings and New Jobs

The following three tables contain the top 40 occupations in Maine according to each of the measures identified in the preceding paragraph. Obviously, these lists are primarily illustrative, since the universe of occupational employment in the State contains over 600 OES occupational clusters.

The demand data represented by these tables must be contrasted with the supply of workers by instructional program classification leaving the variety of training institutions found in Maine. Again, DLMIS and its *Maine Economic Data Inventory* (MEDI) program provides a valuable tool to research this aspect of establishing a list of demand occupations. The MEDI program contains annual data on the supply of graduates from Maine's secondary vocational-technical centers and regions, the Technical Colleges, 2- and 4-year colleges and universities, and private proprietary institutions.

On a case-by-case basis, a better picture of skill imbalances in Maine's occupational work force can be determined through the MEDI program.

Table 1
Job Openings Each Year, 1996-2006

Occupation	Openings due to Growth	Openings due to Replacement	Total Annual Openings	Average Earnings
Cashiers	171	681	852	6.60
Retail Salespersons	154	551	705	8.08
Waiters and Waitresses	100	546	646	6.03
General Managers and Top Executives	190	340	530	25.03
Food Preparation Workers	113	327	440	6.91
Combined Food Preparation & Service Workers	87	313	400	6.48
Registered Nurses	243	146	389	17.63
Nursing Aides, Orderlies and Attendants	222	141	363	7.73
First-Line Supervisors, Sales Workers	137	191	328	14.35
Counter Attendants-Coffee Shop or Cafeteria	40	283	323	6.03
Home Health Aides	260	50	310	8.47
Teachers-Elementary	44	244	288	32,620
Janitors	56	218	274	8.21
General Office Clerks	31	232	263	8.87
First-Line Supervisors, Clerical Workers	111	148	259	13.98
Truck Drivers-Heavy or Tractor Trailer	87	138	225	11.74
Child Care Workers	149	57	206	7.70
Secretaries	0	202	202	9.97
Teachers-Secondary	20	175	195	31,750
Carpenters	47	146	193	11.42
Auto Mechanics	55	134	189	11.09
Maintenance Repairers, General Utility	73	113	186	10.94
Food Service and Lodging Managers	96	89	185	11.89

Occupation	Openings due to Growth	Openings due to Replacement	Total Annual Openings	Average Earnings
Managers				
Maids and Room Cleaners	68	116	184	7.15
Truck Drivers-Light	90	94	184	10.21
Bookkeeping and Accounting Clerks	0	175	175	10.02
Telemarketers, Vendors, Door-to-Door Sales Workers	100	69	169	7.90
Hand Packers and Packagers	64	101	165	7.79
Receptionists and Information Clerks	88	75	163	8.54
Restaurant Cooks	66	93	159	8.11
Accountants and Auditors	74	82	156	17.81
Bank Tellers	0	133	133	7.95
Laborers-Landscaping & Groundskeeping	49	77	126	8.17
Stock Clerks-Stockroom, Warehouse, Storage Yard	71	52	123	9.48
Licensed Practical Nurses	53	69	122	11.92
Sales Representatives (Except Scientific or Retail)	39	82	121	16.79
Human Services Workers	92	26	118	8.94
Counter & Rental Clerks	45	73	118	6.79
Fast Food Cooks	53	62	115	6.50
Stock Clerks-Sales Floor	0	109	109	7.25
Guards and Watch Guards	61	46	107	8.80
Painters & Paperhangers	31	75	106	12.20

Table 2
New Jobs, 1996-2006

Occupation	1996 Employment	2006 Employment	Jobs Gained	Average Earnings
Home Health Aides	3,669	6,271	2,602	8.47
Registered Nurses	10,559	12,993	2,434	17.63
Nursing Aides, Orderlies & Attendants	10,441	12,663	2,222	7.73
General Managers & Top Executives	15,973	17,875	1,902	25.03
Cashiers	15,623	17,331	1,708	6.60
Retail Salespersons	17,385	18,921	1,536	8.08
Child Care Workers	5,173	6,664	1,491	7.70
First Line Supervisors-Sales and Related Workers	11,948	13,313	1,365	14.35
Food Preparation Workers	6,411	7,540	1,129	6.91
First Line Supervisors-Clerical Workers	6,359	7,472	1,113	13.98
Waiters & Waitresses	10,709	11,708	999	6.03
Telemarketers, Vendors, Door-to-Door Sales Workers	2,551	3,547	996	7.90
Food Service & Lodging Managers	4,199	5,160	961	11.89
Human Services Workers	1,423	2,343	920	8.94
Truck Drivers-Light	6,727	7,629	902	10.21
Receptionists and Information Clerks	4,061	4,945	884	8.54
Combined Food Service & Preparation Workers	6,139	7,013	874	6.48
Truck Drivers-Heavy or Tractor Trailer	9,832	10,703	871	11.74
Systems Analysts	1,136	1,970	834	22.30
Accountants & Auditors	3,995	4,735	740	17.81
Maintenance Repairers, General Utility	5,547	6,272	725	10.94
Stock Clerks-Stockroom, Warehouse, Storage Yard	3,531	4,237	706	9.48

Occupation	1996 Employment	2006 Employment	Jobs Gained	Average Earnings
Maids & Room Cleaners	6,458	7,134	676	7.15
Restaurant Cooks	3,927	4,585	658	8.11
Hand Packers & Packagers	3,778	4,413	635	7.79
Adjustment Clerks-Merchandise & Billing	860	1,490	630	10.22
Personal & Home Care Aides	783	1,411	628	7.41
Computer Support Specialists	762	1,387	625	14.35
Guards & Watch Guards	2,210	2,817	607	8.80
Social Workers (Except Medical & Psychiatric)	2,210	2,809	599	13.79
Janitors	10,717	11,274	557	8.21
Auto Mechanics	5,147	5,700	553	11.09
Fast Food Cooks	2,586	3,117	531	6.50
Licensed Practical Nurses	3,252	3,779	527	11.92
Instructors & Coaches-Sports & Physical Training	2,153	2,663	510	9.84
Instructors-Nonvocational Education	1,825	2,331	506	11.28
Medical Assistants	718	1,213	495	9.67
Residential Counselors	1,310	1,804	494	8.20
Social Workers-Medical and Psychiatric	1,225	1,712	487	16.17
Laborers-Landscaping & Groundskeeping	3,420	3,904	485	8.17

Table 3
Fastest Growing Jobs, 1996-2006

Occupation	1996 Employment	2006 Employment	Percentage Increase	Average Earnings
Desktop Publishing Specialists	120	220	83.33	10.83
Computer Support Specialists	762	1,387	82.02	14.35
Personal & Home Care Aides	783	1,411	80.20	7.41
Computer Engineers	270	475	75.93	25.14
Database Administrators	178	310	74.16	19.14
Systems Analysts	1,136	1,970	73.42	22.30
Adjustment Clerks-Merchandise & Billing	860	1,490	73.26	10.22
Home Health Aides	3,669	6,271	70.92	8.47
Surgical Technologists	338	577	70.71	11.72
Medical Assistants	718	1,213	68.94	9.67
Physical Therapists	573	951	65.97	21.77
Human Services Workers	1,423	2,343	64.65	8.94
Respiratory Therapists	345	518	50.14	15.38
Physical Therapy Assistants & Aides	314	471	50.00	10.91
Bill & Account Collectors	776	1,139	46.78	10.88
Physician Assistants	411	579	40.88	28.07
Cardiology Technologists	109	153	40.37	15.14
Dental Hygienists	845	1,184	40.12	17.86
Social Workers-Medical & Psychiatric	1,225	1,712	39.76	16.17
Telemarketers, Vendors, Door-to-Door Sales Workers	2,551	3,547	39.04	7.90
Emergency Medical Technicians	989	1,372	38.73	9.95
Securities Sales Representatives	596	824	38.26	29.59
Residential Counselors	1,310	1,804	37.71	8.20
Occupational Therapists	257	352	36.96	19.37
Medical Records Technicians	370	503	35.95	10.48
Religious Activities & Education Directors	370	494	33.51	12.33

Occupation	1996 Employment	2006 Employment	Percentage Increase	Average Earnings
Data Processing Equipment Repairers	279	366	31.18	13.93
Dental Assistants	685	898	31.09	10.21
Paving & Surfacing Equipment Operators	403	526	30.52	9.32
Engineering, Mathematical & Science Managers	740	963	30.14	32.99
Geologists, Geophysicists & Oceanographers	168	218	29.76	27.17
Psychiatric Aides	527	680	29.03	10.50
Child Care Workers	5,173	6,664	28.82	7.70
Health Services Managers	1,083	1,394	28.72	21.89
Farm & Home Management Advisors	227	290	27.75	17.95
Instructors-Nonvocational Education	1,825	2,331	27.73	11.28
Guards & Watch Guards	2,210	2,817	27.47	8.80
Veterinary Assistants	176	224	27.27	8.27
Medical Secretaries	1,434	1,824	27.20	9.94
Social Workers (Except Medical or Psychiatric)	2,210	2,809	27.10	13.79

Appendix B

MAINE LOCAL WORKFORCE INVESTMENT BOARDS

The State MJC has a responsibility to provide the Chief Local Elected Officials with criteria by which to select members for the Local Workforce Investment Boards.

The Workforce Investment Act provides minimum requirements that the state must observe prior to adding its own criteria.

Each local area within the State is required to have a Workforce Investment Board. The Local Board members are appointed by the chief local elected official. The Local Board is certified every two years by the Governor. The Governor is also responsible for establishing the criteria for use by the chief elected official in appointing the Local Board members.

I. Composition of the Local Board

A. Mandatory Members of the Local Board

1. A Local Workforce Investment Board must be made up of at least a majority of private sector representatives and shall include representatives from employers in the region with key industry clusters or economic sectors, both critical and emerging, and an appropriate mix of small, medium and large firms adequately representing, to the extent possible, urban, suburban and rural interests.
2. At least two representatives of local educational entities.
3. At least two representatives of labor organizations.
4. At least two representatives of community-based organizations.
5. At least two representatives of economic development agencies.
6. At least one representative of the general public.
7. Representatives of each of the one-stop mandated partners who are investors. Investors will have representation on Local Boards as a mandated partner. The investor shall sign a memorandum of understanding that details the investment the organization/program will make in the system.

Optional Members of the Local Board

Other individuals or representatives of entities as the chief elected official in the local area may determine to be appropriate.

B. Chairperson

The Local Board will elect a Chairperson for the Board from among the representatives of the business sector.

C. Authority of Board Members

Members of the Board must be individuals with optimum policy making authority within the organizations, agencies, or entities they represent.

D. General Membership Provisions

1. Business representatives should be an appropriate mix of small (25 or fewer employees), medium (26 to 100 employees) and large employers (101 or more employees) that reflect the local labor market.
2. Individuals serving on the Local Board who subsequently retire from or no longer hold the position that made them eligible board members may not continue to serve on the Local Board as a representative of that segment.
3. Members should be appointed for staggered terms with standard term limits established in the by-laws.
4. Vacancies resulting from resignations or removal of mandatory members must be filled within 90 days.
5. Up to 45% of Local Board members may come from existing Private Industry Councils.

II. Local Board Appointment Process

A. Nominations

The chief local elected official must contact the appropriate entities in the local area for nominations to appoint members and fill vacancies on the Local Board from business, local educational entities and labor representatives. All nominations must be in writing on an agency letterhead to the chief elected official from the appropriate group(s). Vacancies subsequent to the establishment of the Local Board must be filled in the same manner as the original appointments.

1. Business representatives must be selected from among individuals nominated by local business organizations and business trade associations. However, potential nominees need not be members of said organizations or trade associations to be considered for board appointment. Regardless, successful nominees must include business executives with optimum policy making or hiring authority; and represent businesses with employment opportunities that reflect the local area.
2. Local educational nominees must be selected from regional or local entities representing educational agencies, vocational education, adult education and literacy activities or post-secondary institutions (including representatives of community colleges, where such entities exist).
3. Labor representatives must be selected from among individuals nominated by state, regional or local central labor councils.

B. Selection

In appointing other mandated members, the chief local elected official is encouraged to consult with the appropriate groups in the local area for possible individuals to serve including:

1. Representatives of community-based organizations including individuals with disabilities and veterans where such organizations exist.
2. Representatives of local economic development agencies, including private sector economic development entities which can demonstrate a significant connection with Maine's workforce development system.
3. Representatives of each of the CareerCenter investors as defined by their managing organization including chief executives, operating officers, or executives with optimum policy making or hiring authority.

C. *Local Board Certification*

1. Local Level Responsibilities

- a. *Chief Elected Official Agreements* are required and must specify the respective roles of the individual chief elected official in regards to:
 - i. the appointment of the members of the Local Board from the individuals nominated or recommended to the chief elected official;
 - ii. carrying out any other responsibilities assigned to the chief elected official under Title I of the Workforce Investment Act of 1998.
- b. The chief elected official must demonstrate that the nominations and the individuals selected for the private sector representation reasonably represent the industrial and demographic composition of the local labor market.
- c. The chief elected official must demonstrate that the nominations equitably represent the respective counties within a local area.
- d. The official letter of nomination from the agency/organization nominating the individual must be kept on file at the local level.
- e. The chief elected official must submit a Local Board membership list which includes the names of the individuals initially appointed as members of the Local Board, their title, company or agency name, address, E-mail address, telephone, and fax numbers, nominating entity (where applicable), appointment/term expiration date, and sector representation.
- f. The chief elected official must notify the Department of Labor within 10 days of the first meeting of the certified Local Board of the results of the election for the chairperson of the Board from among the business representatives. Any subsequent changes in the Chairperson designation should be forwarded in writing to the Department of Labor within 10 days of the change.
- g. The chief elected official or their designee must submit to the Department of Labor, on an annual basis, an updated and current Local Board membership list. The list must be submitted between January 1 and January 15 of each calendar year. It must include the names of the individuals appointed as members of the Local Board, their title, company or agency name, address, telephone, E-mail and fax numbers, appointment/term expiration date, and sector representation. The list must clearly indicate the name of the elected Board Chairperson.

2. Governor's Responsibility

- a. The Maine Jobs Council will certify, on behalf of the Governor, all Local Boards upon determination that the composition of the Board and the appointment of the individuals to the Board are consistent with the criteria established by the Governor and in Section 117 of the Workforce Investment Act of 1998. Criteria must be made in accordance with state law and regulations. Subsequent certifications of the Board are required once every 2 years by the Council on behalf of the Governor.
- b. The Governor will notify the chief elected official within 30 days after the submission of the listing of the Local Board members and supporting documents of the certification or denial of the proposed Board. The Local Board must meet, within 30 days after the Governor's notification of certification to the chief elected official to elect a Chairperson.
- c. If after a reasonable effort, the chief elected official is unable to make appointments for any reason, the Governor will appoint the members of the Local Board from individuals nominated as described above.
- d. For the second and subsequent certifications of the Local Board, in addition to compliance with composition requirements, the Maine Jobs Council on behalf of the Governor will consider the extent to which the Local Board has ensured that workforce investment activities carried out in the local area have enabled the local area to meet the local performance measures in the certification process.
- e. If a Local Board fails to achieve certification, the chief elected official will be required to reappoint and submit a membership listing following the procedures outlined above.

III. Functions of the Local Board

A. *Responsibilities of the Local Board*

1. Substantive Responsibilities

- a. The Local Board in partnership with the chief elected official shall develop and submit a comprehensive 5 year local plan consistent with the State plan to the Governor.
- b. The Local Board, with the agreement of the chief elected official shall designate or certify operators (consistent with criteria established by the MJC) and may terminate for cause the eligibility of operators.
- c. The Local Board shall identify eligible providers of youth activities in order to award grants or contracts on a competitive basis, based on the recommendations of the Youth Council.
- d. The Local Board shall identify eligible providers of training services for adults and dislocated workers.
- e. The Local Board shall identify eligible providers of intensive services for adults and dislocated workers and award contracts for intensive services.

- f. The Local Board, in partnership with the chief elected official, shall conduct oversight with respect to local programs of youth, adult, and dislocated worker activities authorized under the Workforce Investment Act and the delivery system.
 - g. The Local Board, in partnership with the chief elected official, will negotiate and reach agreement with the Maine Jobs Council on behalf of the Governor on local performance measures.
 - h. The Local Board, will negotiate and reach agreement with the operator, investors and connecting partners on local performance measures and service provision. This will be achieved by Memoranda of Understanding among the parties.
 - i. The Local Board shall assist the Maine Department of Labor in developing a statewide employment statistics system.
 - j. The Local Board shall coordinate the workforce investment activities authorized under the Workforce Investment Act with local economic development strategies.
 - k. The Local Board shall promote the participation of private sector employers in the statewide workforce investment system. It will ensure the private sector participation through the connecting, brokering, and coaching activities, through intermediaries, the operator or through other organizations, to assist employers in meeting hiring needs.
2. Process Responsibilities
- a. The Local Board should enter into an agreement with the chief elected official clearly detailing the partnership between the two entities for the governance and oversight of activities under the Workforce Investment Act.
 - b. The Local Board in cooperation with the chief elected official for the local area will establish a Nominations Committee to coordinate the appointments to the Youth Council and the Operations Committee, as subgroups of the Local Board.
 - c. The Local Board in conjunction with the Chief Local Elected Official and the Grant Recipient shall ensure the development of a budget for the purpose of carrying out the duties of the Local Board.
 - d. The Local Board may employ staff and/or utilize other options such as, expanding the duties of the Operations Committee, for carrying out these responsibilities.
 - e. The Local Board may solicit and accept grants and donations from sources other than Federal funds made available under the Workforce Investment Act.

B. Local Board Restrictions

- 1. The Local Board may not provide core services or intensive services or be designated or certified as an operator.
- 2. The Local Board may not provide training services unless granted a waiver by the Governor due to an insufficient number of eligible providers of training services to meet the local area demand.
- 3. The Local Board may not mandate curricula for schools.

4. A Local Board Member may not vote on a matter under consideration by the Board regarding provision of services by the member or the entity the member represents; matters that would provide direct financial benefit to the member, his/her immediate family; or a business with which the member or his/her immediate family is associated or any other activities that would be in conflict with the conflict of interest prohibitions outlined in the State Plan. Conflict or conflict of interest does not include an action having a de minimis economic impact or which affects to the same degree a class consisting of the general public or a subclass consisting of an industry, occupation, or other group which includes the Local Board member or a member of his immediate family, or a business with which he or a member of his immediate family is associated.

C. *Local Board Meetings*

1. Sunshine Provision

The Local Board shall make available to the public, on a regular basis through open meetings, information regarding the activities of the Local Board, including information regarding the local plan prior to submission of the plan, and regarding membership, the designation and certification of operators consistent with the State plan, and the award of grants or contracts to eligible providers of youth activities, and on request, minutes of formal meetings of the Local Board.

- a. In order to comply with the Sunshine Provisions, each Local Board and any subcommittee, authorized to take official action on behalf of the Local Board must do the following:
 - i. Take official action and engage in deliberations only at meetings open to the public. "Official action" includes making recommendations, establishing policy, making decisions, and/or voting on matters of Local Board business. "Deliberations" are discussions of Local Board business necessary in order to reach decisions.
 - ii. Give public notice of the Local Boards first regular meeting of each calendar or fiscal year not less than three days before the meeting, and also at that time give public notice of the anticipated schedule of the Local Board's remaining regular meetings through the year. The Local Board must also give public notice at least 24 hours in advance of any special meeting or rescheduled regular meeting. No public notice need be given of an emergency meeting called to deal with a real or potential emergency involving a clear and present danger to life or property. "Public notice" means both:
 - 1) the publication of the place, date and time of a meeting in a newspaper of general circulation published in the political subdivisions where the meeting will be held, or in some other newspaper which has a paid circulation equal to that of any newspaper so published; and
 - 2) the prominent posting of a notice of the place, date and time of a meeting at the principal office of a Local Board or at the building where the meeting will be held. The notice must be delivered to a newspaper in sufficient time to allow it to be published not less than three days before a

meeting. If a meeting is begun and then recessed or reconvened, the "public notice" means only the prominent posting of a notice of the place, date and time of the recessed or reconvened meeting at the principal office of a Local Board or at the public building where the meeting will be held. In the case of either a meeting or a recessed or reconvened meeting, a Local Board also must, upon request, supply copies of a public meeting notice to any interested newspaper, radio or television station, and to any interested parties provide the Local Board with a stamped, self-addressed envelope prior to the meeting.

- iii. Insure that votes of Local Board members be publicly cast and, in the case of roll call votes, recorded.
 - iv. Keep written minutes of all public meetings, including date, time and place of the meeting, members present, the substance of all official actions, a record of roll call votes, and the names of any citizens who appeared and gave testimony.
- b. Executive meetings may be held as closed sessions. An executive meeting may be held during or after an open meeting, or may be announced for a future time. If an executive session is not announced for a specific time, Local Board members must be notified 24 hours in advance of the date, time, location and purpose of the executive session. The reason for holding an executive session must be announced at the open meeting either immediately prior or subsequent to the executive session. A Local Board may hold a closed executive meeting to discuss:
- i. The employment, termination, terms and conditions of employment, evaluation, promotion or disciplining of past, present or prospective Local Board employees (provided that any such employee may request that discussion of such matters pertaining to him or her be held at a public meeting);
 - ii. Collective bargaining, labor relations or arbitration;
 - iii. The purchase or lease of real property up to the time an option or agreement to purchase or lease is obtained;
 - iv. Either present or anticipated litigation (discussion with Local Board attorneys);
 - v. Local Board business which is lawfully privileged or confidential, including the conduct of an investigation of violations of the Workforce Investment Act.
- c. Official action on any matter discussed at an executive session must be taken at an open meeting.

Local Board Subcommittees

The Chairperson of the Local Board may establish additional committees in addition to those listed below, at his/her discretion.

Nominations Committee

At the first meeting of the Local Board, the membership shall elect a Chairperson. The Chairperson shall establish a Nominations Committee from Board membership, whose sole purpose is to assist the Chair in soliciting Local Board members to serve on an Operations Committee and a Youth Council.

Operations Committee

The purpose of the Operations Committee shall include but not be limited to; the local planning requirements, designation of operator(s), identification of eligible providers, program oversight, negotiation of performance measures and coordination of workforce and economic development strategies. The Chair of the Local Board shall propose to the Local Board the vested authority of the Operations Committee subject to the articulated functions described later in this section. Whereas the Local Board shall meet no less than annually, the Operations Committee shall meet no less than quarterly.

A. The Operations Committee must be made up of:

1. At least one representative of a local educational entity.
2. At least one representative of a labor organization.
3. At least one representative of a community-based organization.
4. At least one representatives of an economic development agency.
5. At least three investor partners, one of whom shall be a Department of Labor employee.
6. Up to two individuals or representatives of entities as the chief elected official in the local area may determine to be appropriate.
7. At least a simple majority of this committee shall be private sector representatives as articulated earlier in this document.
8. The chairperson for this committee shall come from among the representatives of the business sector.

B. *Operations Committee Membership Notification*

1. The Local Board in cooperation with the chief elected official shall provide an Operations Committee Membership List. This List must be submitted to the Department of Labor within 30 days of establishment of committee. Operations Committee re-certifications after the first 2 years, must be submitted to the Department of Labor no later than 60 days after the Local Board is Certified/Re-certified by the Governor.

2. The Local Board in cooperation with the chief elected official shall submit, on an annual basis, an updated and current Operations Committee membership list in conjunction with the submission of the Local Board membership list between January 1 and January 15 of each calendar year.
- C. *Substantive Responsibilities of the Operations Committee, subject to Local Board approval, may include the following:*
1. Develop and submit a comprehensive 5 year local plan consistent with the State plan to the Local Board.
 2. Designate or certify operators (consistent with criteria established by the MJC) and may terminate for cause the eligibility of operators.
 3. Identify eligible providers of youth activities by awarding grants or contracts on a competitive basis, based on the recommendations of the Youth Council.
 4. Identify eligible providers of training services for adults and dislocated workers.
 5. Identify eligible providers of intensive services for adults and dislocated workers and award contracts for intensive services.
 6. Conduct oversight with respect to local programs of youth, adult, and dislocated worker activities authorized under the Workforce Investment Act and the delivery system.
 7. Negotiate and reach agreement with the Maine Jobs Council on behalf of the Governor on local performance measures.
 8. Negotiate and reach agreement with the operator, investors and connecting partners on local performance measures and service provision. This will be achieved by Memoranda of Understanding among the parties.
 9. Assist the Maine Department of Labor in developing a statewide employment statistics system. The Local Board, will negotiate and reach agreement with the operator, investors and connecting partners on local performance measures and service provision. This will be achieved by Memoranda of Understanding among the parties.
 10. Coordinate the workforce investment activities authorized under the Workforce Investment Act with local economic development strategies.
 11. Promote the participation of private sector employers in the statewide workforce investment system. It will ensure the private sector participation through the connecting, brokering, and coaching activities, through intermediaries, the operator or through other organizations, to assist employers in meeting hiring needs.

D. Youth Council

As a subgroup within each Local Board, a Youth Council must be appointed by the Local Board, in cooperation with the chief elected official for the local area. Members of the Youth Council who are not members of the Local Board shall be voting members of the Youth Council and nonvoting members of the board. A Local Board may consider the

creation of youth committees to foster local alignment with CareerCenters. Should youth committees be created, they will receive policy direction from the Youth Council.

1. *Membership*

a. Mandatory members

- i. Members of the Local Board with special interest or expertise in youth policy.
- ii. Representatives of youth service agencies, including juvenile justice and local law enforcement agencies.
- iii. Representatives of local public housing authorities.
- iv. Parents of eligible youth seeking assistance under Title I of the Workforce Investment Act.
- v. Individuals, including former participants, and representatives of organizations, that have experience relating to youth activities.
- vi. Representatives of the Job Corps, as appropriate to local area.

b. Optional members

- c. Individuals as the chairperson of the Local Board, in cooperation with the chief elected official, determines to be appropriate.

E. *Appointment Process*

The Local Board in cooperation with the chief elected official appoint members of the Youth Council. Vacancies subsequent to the establishment of the Youth Council shall be filled in the same manner as the original appointments.

F. *Youth Council Membership Notification*

1. The Local Board in cooperation with the chief elected official shall provide a Youth Council Membership List. The Youth Council Membership List must be submitted for the Initial Youth Council by August 31, 2000 to the Department of Labor. Youth Council recertifications after the first 2 years, must be submitted to the Department of Labor no later than 60 days after the Local Board is Certified/Recertified by the Governor.
2. The Local Board in cooperation with the chief elected official shall submit, on an annual basis, an updated and current Youth Council membership list in conjunction with the submission of the Local Board membership list between January 1 and January 15 of each calendar year.

G. *Duties of the Youth Council*

1. The Youth Council shall develop the portions of the local plan relating to eligible youth, as determined by the chairperson of the Local Board.
2. The Youth Council shall recommend eligible providers of youth activities to the Local Board to be awarded grants or contracts on a competitive basis to carry out the youth activities.

3. The Youth Council shall conduct oversight with respect to the eligible providers of youth activities in the local area.
4. The Youth Council shall coordinate youth activities in the local area.

The Youth Council shall perform other duties determined to be appropriate by the Chairperson of the Local Board.

Appendix C

PRISM DOCUMENT

Mission, Values & Standards

MISSION

Mission is the foundation; it is what the business is. Mission answers the questions: Who are we? What are we about? What is our essential function?

CareerCenter Mission:

CareerCenters connect and deliver employment, training and education services through a coherent network of resources.

VALUES

Values are our important beliefs and transform the way we work. They guide our actions and our decision-making. They help everyone to pull in the same direction. Our values are a **PRISM**, through which our collective “light” – the way in which we deliver service to our customers – is transformed and reflected outward across the spectrum of programs and services we offer.

CareerCenter Values:

In our work with our customers, our communities and each other, we value and demonstrate

Professionalism *We are knowledgeable, competent and courteous. Facilities are welcoming, attractive and comfortable.*

Responsiveness *We listen to each customer and respond to his or her specific needs.*

Inclusiveness *We work in partnership to make services available to everyone.*

Simplicity *Services are easy to understand and easy to use.*

Measurable Quality *We measure results to continuously improve our services.*

STANDARDS

Standards are statements of our performance measurement; that is, how we measure our success in accomplishing our mission and values. Measurements are descriptions of qualitative and quantitative targets. We use a variety of methods to measure our success in achieving those targets.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: PROFESSIONALISM

STANDARD

- A. Everyone entering the CareerCenter is treated courteously and respectfully.
- Customers at front desk always come first.
 - Customers calling on phone are consistently greeted pleasantly, questions answered promptly and when follow-up is necessary, it happens quickly.
 - All staff have responsibility in creating a welcoming environment for all customers who are using the range of CareerCenter services.

MEASUREMENT

1. Customer feedback measures show that at least 90% of customers report that they are treated courteously and respectfully by CareerCenter staff.
2. Customer feedback measures show that 100 % of customers entering or calling CareerCenters receive a useful service or information.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: PROFESSIONALISM

STANDARD

B. CareerCenter staff are knowledgeable about available products and services

MEASUREMENT

1. Each CareerCenter will have in place a system to ensure that all staff are knowledgeable about products and services to the degree necessary for accurate referral.
2. Customer feedback measures show that at least 90% of customers report that they are referred to the person/service most appropriate for their needs.
3. Customer feedback measures show that at least 90% of customers report that they receive clear and accurate information about Level I (Core) CareerCenter services.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: PROFESSIONALISM

STANDARD	MEASUREMENT
C. Customers will have access to staff who are knowledgeable about Level II (Intensive) and Level III (Training) services	<ol style="list-style-type: none">1. Customer feedback measures show that 100% of customers report that they are provided with accurate contact names and telephone numbers, and a convenient telephone for contacting off-site "point persons", when necessary.2. Customer feedback measures show that at least 90% of customers report that they receive a follow-up contact within one working day, if point person is not immediately available.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: PROFESSIONALISM

STANDARD

D. Facilities are welcoming,
attractive, comfortable and safe.

MEASUREMENT

1. Customer feedback measures show that at least 90% of customers perceive CareerCenters as having understandable and easy to read signage, and that CareerCenters are accessible, clean, uncluttered and safe.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: RESPONSIVENESS

STANDARD

MEASUREMENT

A. Customers are asked whether they received the services they needed.

1. 100% of CareerCenter customers are given the opportunity to say whether their needs were repounded to.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: RESPONSIVENESS

STANDARD

B. Telephone interactions are responsive to both internal and external customers

MEASUREMENT

1. Internal operational measures developed to support the Standard show that:

- Telephones are answered within four rings at least 80% of the time.
- Messages are returned within one working day via telephone or mail for those who do not have telephones.
- Voice mail messages reflect where and when staff can be reached with alternatives when staff are unavailable.
- Receptionists, or others who provide telephone coverage, know whether staff are in the building or know who to refer the caller to for assistance
- Customers who are put on hold will be responded to within one minute 95% of the time.
- Customers will not be transferred more than one time without reviewing alternatives with the caller.
- Regular callers are encouraged to use direct extensions.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: RESPONSIVENESS

STANDARD

MEASUREMENT

- C. Customers are greeted, assisted and guided immediately
1. Customer feedback measures show that at least 90% of customers report that they were greeted, assisted and guided immediately.
- Walk-in customers are acknowledged within 10 seconds.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: RESPONSIVENESS

STANDARD

MEASUREMENT

- D. Customer complaints are responded to in a timely manner**
1. Complaints by telephone and in person are acknowledged immediately.
 2. Customer feedback measures show that at least 90% of customers report that any complaints are responded to within 5 working days.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: INCLUSIVENESS

STANDARD	MEASUREMENT
A. Alliances with CareerCenter partners are continuously strengthened.	<ol style="list-style-type: none">1. As measured by review of management practices, self-assessment of center work group and staff meeting outcomes:<ul style="list-style-type: none">• Local core groups with representation from all partners meet according to a schedule stipulated by that group, to develop policies, procedures and practices that strengthen service delivery.• Cross Informing meetings are held on a regular basis, with frequency determined and specified by the local core group.• Successes are regularly celebrated together.• Staff meetings are conducted for staff from all partners together, according to the needs of the local CareerCenter.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: INCLUSIVENESS

STANDARD

B. CareerCenter staff regularly seek input and feedback from the larger community through business and community group alliances, to better meet customer needs.

MEASUREMENT

1. Review of each center's management practices shows a business/community outreach plan in place, with assigned accountabilities; plan is updated quarterly based on staff analysis of results:
 - Each CareerCenter maintains consolidated CareerCenter membership and active participation with the local Chamber(s) of Commerce, with designated representatives.
 - Each CareerCenter maintains active involvement with local community service organizations
 - Customer/employer advisory groups, dialogues and/or focus groups are established and used to solicit customer needs, experiences and input on program design issues; the groups meet according to a locally agreed upon schedule
 - A database is used for employer contacts and community service organizations, and is available to all CareerCenter staff.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: INCLUSIVENESS

STANDARD	MEASUREMENT
C. Customers are actively involved in CareerCenter program and service design.	1. As measured by review of management practices and self-assessment; information from customers is evaluated and used in program design and service delivery.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: SIMPLICITY

STANDARD

A. Upon entering the CareerCenter, customers have clear visual, tactile and audio cues to help them navigate.

MEASUREMENT

1. As measured by staff self-assessment/inspection, customer feedback/surveys, checklists and random sampling by visits to centers:
 - Greeter/reception desk is evident and clearly marked, easily accessible and staffed by knowledgeable professionals
 - Signage for information and directions is visible, clear, accurate and accessible.
 - Information sheets and packets are labeled and placed in convenient, easy to reach locations, and are also available in diverse media formats.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: SIMPLICITY

STANDARD

B. CareerCenter materials and services are easy to understand and use.

MEASUREMENT

1. As measured by staff self-assessment and customer feedback:
 - Alternative formats for core materials are available in all centers and include print, audio, Braille, video and personal assistance.
 - Customer surveys and staff reviews indicate that all printed material is written in clear language that is easy to read.
 - Information and materials are available for customer use.
 - Staff assistance is readily available for customers who request it.
 - Customer communications are free from acronyms and jargon

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: SIMPLICITY

STANDARD

C. Customer service guides CareerCenter processes.

MEASUREMENT

1. As measured and verified by customer follow-up surveys:
 - CareerCenter staff explain services and functions to customers in plain language.
 - Core services and information are available to all at no cost.
 - Referral to other services is efficient and timely for customers.
 - CareerCenter services and eligibility requirements are clearly defined.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: SIMPLICITY

STANDARD	MEASUREMENT
D. Initial intake/application process is simple	1. As measured by staff self-assessment and customer feedback; the collection of basic customer demographic information is streamlined, not duplicative and shared from Level I (Core) to Level II (Intensive) and III (Training) services, with all CareerCenter partners.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: MEASURABLE QUALITY

STANDARD	MEASUREMENT
A. Comprehensive, consistently applied customer feedback tools are used.	<ol style="list-style-type: none">1. Review of quality measurement practices shows the following processes are used to collect customer feedback:<ul style="list-style-type: none">• All CareerCenters will have a common set of data inputs that will help assess the quality of shared services.• Comment cards are made available to 100% of customers using CareerCenter services and information and customers are encouraged to fill out the cards.

CAREERCENTER CUSTOMER SATISFACTION STANDARDS

Value: MEASURABLE QUALITY

STANDARD	MEASUREMENT
B. Feedback is used for continuous improvement.	<ol style="list-style-type: none">1. Review of management practices on an annual basis indicates:<ul style="list-style-type: none">• Customer surveys indicate increasing levels of customer satisfaction as measured against initial customer satisfaction benchmarks.• Each CareerCenter uses a workgroup comprised of representatives of all CareerCenter programs that regularly reviews, evaluates, reports on customer feedback and recommends action on a quarterly basis.• On a quarterly basis, each CareerCenter logs and posts feedback and reports actions taken• Annual staff/unit performance reviews will include how effectively PRISM Values & Standards are incorporated into CareerCenter interactions.

Appendix D

State of Maine Policy for Determining Eligible Providers of Training Services Under The Workforce Investment Act

The Workforce Investment Act of 1998 (WIA) mandates a "vouchering system" that requires the Local Workforce Investment Boards (LWIB) through their service providers to provide eligible customers with vouchers that they can take to the educational institution of their choice in order to obtain needed training. The WIA also mandates that LWIBs in conjunction with the State provide the customer with a list of eligible providers of training that allows the customer to make an informed decision from qualified training entities.

To enable the participant to make a responsible and informed choice about where best to receive training, WIA uses three mechanisms:

- Individual Training Accounts (ITAs);
- A statewide list of eligible providers of training services; and
- Consumer information regarding eligible providers.

Individual Training Accounts (ITAs) place training resources directly in the hands of the customer. Rather than being directed to a training provider by an agency, the customer will be able to select high quality training on their own.

The ITA is an account established by a CareerCenter operator on behalf of an eligible individual. ITAs are funded with adult and dislocated worker funds authorized under Title I of WIA. Customers may use ITAs in exchange for training services for skills in demand occupations as defined by the LWIB from training providers on an approved list of eligible training providers. The list of eligible providers will be compiled by the LWIB and the Maine Department of Labor (DOL). The LWIBs will seek out vendors for training with relevant curricula to compile the local list. DOL will verify the quality of the vendors on the local lists and compile them into a statewide list. Consumer information about eligible training providers will be made available to all training seekers through the one-stop system CareerCenters.

Who qualifies as a training provider?

The intent of the Workforce Investment Act is to allow the job seeker that qualifies for training services through WIA to have freedom of choice in selecting any qualified training provider. The Act also intends for the job seekers to make their decisions based on actual performance criteria. Therefore, the eligible provider list will incorporate performance data with each provider listed to enable the customer to make informed decisions.

In order to provide an eligible provider list to all customers who qualify for training services, the State of Maine shall implement an Eligible Provider Certification System in accordance with the requirements of the Workforce Investment Act. Section 122 of the

Workforce Investment Act requires the Governor to establish policy to provide an eligible provider certification system. The Governor's policy addresses the following areas:

- Initial Eligibility procedures for providers of training services that are not automatically qualified in WIA §122(a)(2)(A) and (B);
- A procedure for use by local Workforce Investment Boards (LWIB) in the state in determining the subsequent eligibility of a provider to continue to receive funds made available to eligible providers of training services described in WIA §134(d)(4) in the local area and to be eligible to receive funds made available under WIA §133(b) for the provision of training services; and,
- A process for providers of training services to appeal when:
 1. a denial of eligibility by the local board or the designated State agency under WIA §122(b),(c) or (e);
 2. a termination of eligibility or other action by the board or agency under §122(f); or,
 3. a denial of eligibility by a one-stop operator under subsection §122(h).

Initial Eligibility

The Act extends automatic initial eligibility to a provider that is either:

- a post-secondary educational institution that is (1) eligible to receive Federal funds under title IV of the Higher Education Act of 1965 and (2) provides a program that leads to an associate degree, baccalaureate degree or certificate; or,
- an entity that carries out programs under the Act commonly known as the national Apprenticeship Act.

These entities will include universities, colleges, community colleges, some proprietary schools and apprenticeship programs registered with the Bureau of Apprenticeship Training within the U.S. Department of Labor.

This policy further describes initial eligibility procedures for:

- other public and private providers of a program of training services;
- a post-secondary educational institution wishing to receive training funds for a program not described in WIA §122(a)(2)(A); and,
- an apprenticeship program wishing to receive training funds for a program not registered with the Bureau of Apprenticeship Training.

The initial eligibility procedures must include instructions on how to submit applications to LWIBs, the contents of the application, performance information and program cost information and any additional appropriate requirements that the Governor may wish to require. The local WIBs will be responsible for notifying training entities in their area of the opportunity to apply for status as approved eligible providers. This solicitation may be done through a combination of direct mailing, newspaper notices and other appropriate means. The LWIB will be responsible for ensuring that the providers have access to the format and forms for making application and to a list of demand occupations for its area. The demand occupation list is vital as WIA requires training

funds to be used to train people for demand occupations. The demand occupation list will be compiled by the LWIB and will consist of a combination of demand occupations from projection models and occupations targeted by the LWIB as desired growth occupations for the area.

In the State of Maine, the Local Workforce Investment Boards will provide to the Maine Department of Labor a list of providers submitting an application that are determined automatically qualified for initial eligibility and providers determined to be initially eligible consistent with this policy. This list will also contain performance and program cost information on providers determined to meet initial eligibility according to this policy.

What type of information is required by the State on the initial provider application?

An appropriate portion of the following information is required from the provider for initial certification. Providers should furnish as much as possible, give justification for missing or incomplete data and describe how they will collect missing data so that it will be available for re-certification purposes.

- ❖ Applicant Information
 - ♦ Institution Name and Mailing Address
 - ♦ Contact Name
 - ♦ Telephone Number
 - ♦ Fax Number (if available)
 - ♦ E-Mail Address (if available)
 - ♦ Web Site Address (if available)
 - ♦ Documentation of financial stability, i.e. audits, financial statements, etc.
- ❖ Program Description
 - ♦ Program Name
 - ♦ Prerequisites
 - ♦ Training Location(s)
 - ♦ Program Length - training hours
 - ♦ Minimum hiring qualifications for the training instructors
 - ♦ Program Synopsis
- ❖ Program Costs
 - ♦ This figure should include a breakout of all costs (tuition, fees, insurances, etc.) and should be accurate as possible.
 - ♦ A brief description of the cost should include what is covered by the cost and what is not covered.

❖ **Statistical Program Information**

- ♦ Program completion rates for all individuals participating in the applicable program conducted by the provider.
- ♦ The percentage of all individuals participating in the applicable program who obtain unsubsidized employment, which may also include information specifying the percentage of the individuals who obtain unsubsidized employment in an occupation related to the program conducted; and
- ♦ The wages at placement in employment of all individuals participating in the applicable program.

If the DOL (after consultation with a local board) determines that a provider or an individual providing information on behalf of the provider intentionally supplies inaccurate information, the Department shall terminate the eligibility of the provider to receive funds for training services for a period of not less than two years.

What if the provider does not have the required performance data?

The LWIB with approval from the DOL can waive the requirement for performance data on the initial application upon a showing of good cause. Good cause would include that the training program is new and data on past performance is not possible or that only part of the requested data is available. If the performance data is not available, the provider must provide written justification for the missing data. In addition, the provider must indicate how it will track and record the data necessary for re-certification. The LWIB will document and retain their reasoning for waiving the performance data requirement.

How does an applicant know if its training program has been approved?

Upon receipt of application, the LWIB will provide a notice of acceptance or rejection to an applying school/entity within 30 calendar days of the receipt of the completed initial eligibility determination application. If a training program or school/entity is denied, the denial notice will be mailed to the attention of the contact person identified on the application, will clearly identify the program that was denied (if applicable) and the specific reason for the denial. The denial notice shall also clearly state that the entity has the right to appeal to the LWIB within fourteen calendar days of the date the denial notice is received.

The Department of Labor, upon the receipt of the LWIB eligible provider list and after appropriate evaluation of such list, may also issue determinations to any provider that the State removes from the LWIB eligible provider list. The DOL shall follow the same guidelines outlined for the LWIB training school/program denial process with the exception that the LWIB will also be forwarded a copy of the denial notification. If the State does not send a denial notice within thirty days after the submission of the LWIB eligible provider list, the training program is automatically approved and will be published in the State approved eligible provider list.

What appeal rights do the applicants have?

As stated in the above section, an applicant can have a training program denied inclusion in the statewide eligible provider list by either the LWIB or the BES. The Department of Labor also has the right to remove the provider from the list if it is determined that the applicant knowingly supplied inaccurate information. The applicant has appeal rights to both of these denials.

The applicant has fourteen days from the mailing of a notice containing the denial of a training program in which to file an appeal to the originator of the notice (LWIB or DOL). The request for appeal must clearly state that the provider wants to appeal the denial and must clearly identify the training program being denied. The request for appeal must be submitted in writing and signed by an appropriate official authorized to sign on behalf of the institution.

The party issuing the denial (LWIB or DOL) will review the request for appeal and based on this review may reverse their original decision if an administrative error was made or if additional information submitted by the provider changes the basis on which the original decision was issued. This initial process will be referred to as an administrative review and must be completed within twenty-one days of the receipt of the request for appeal.

If the LWIB reverses a prior decision, the LWIB will forward the request with a copy of the appeal file to the DOL for inclusion on the statewide list and will also notify the entity in writing that they have reversed their original decision and have forwarded the request to the DOL. If the Department of Labor reverses its decision, the DOL will notify both the LWIB and the provider of the reversal and will follow the appropriate procedures to include the provider into the statewide eligible list.

If after the review process, the LWIB or DOL does not reverse their original decision, they must forward the appeal to the Department of Labor's Office of Administrative Hearings (OAH). This must be done within twenty-one days of the receipt of the letter requesting the appeal. The Office of Administrative Hearings will conduct a hearing at which the entity and the party denying the training request (LWIB or DOL) will be allowed to present their case. The OAH will issue an independent decision based on the information gathered at the hearing. A written decision will be issued to the entity and other interested parties.

If the OAH reverses the denial, the LWIB and/or DOL will comply with the decision in a prompt and efficient manner to include the provider on the statewide list of eligible providers. If the OAH upholds the decision, the entity will have the right to reapply for eligibility after one year of exclusion. The decision by the Office of Administrative Hearings will be final.

How often do providers of training services need to be certified?

Eligible providers must be certified on an annual basis. The primary reason for re-certification is to verify that the provider is still offering the training service, to ensure that the information on the training and provider is accurate, and to collect updated performance data. Eligible providers will be certified for up to a 12 month period only. The State will assign expiration dates for each certification.

Forty-five days prior to the expiration date, the LWIB will provide the Department of Labor with updates to the approved eligible provider list. In order to accomplish this the LWIB must establish a re-certification process for providers in order to gather this information. Failure to apply for re-certification will result in the expiration of the current certification and removal from the statewide approved eligible provider list.

The LWIB and the Department of Labor acting as the State agent have the right to deny re-certification. The appeal process will be the same as those for the certification process.

Subsequent Eligibility

All providers of a program of training service, whether covered or exempt from the Initial Eligibility Process, are subject to Subsequent Eligibility. The procedures for subsequent eligibility determination will include the performance and program cost information described above as well as a requirement to annually meet performance levels established by this policy as required by the Act. The provider of a program of training service shall submit information to the LWIB. The LWIB shall submit to the DOL a list of eligible providers, the performance information submitted by the provider and the LWIB's determination of eligibility of the provider. A LWIB may require higher levels of performance than the performance required by this policy.

In order to be determined to be subsequently eligible to receive WIA funds, a provider must submit to the LWIB verifiable program-specific performance information consisting of:

- all data required under the initial certification, plus
- information on program participants funded through WIA that includes
 1. the percent of participants that completed the applicable program who are placed in unsubsidized employment;
 2. the retention rates in unsubsidized employment 6 months after the first day of the employment;
 3. the wages received 6 months after the first day of employment; and,
 4. where appropriate the rates of licensure or certification, attainment of academic degrees or equivalents, or attainment of other measures of skills of the graduates of the applicable programs; and,
- other locally required data may be requested, but LWIBs should weigh the value of the data against the collection of such data, since they may be responsible for the cost of collecting such additional data. (See WIA §122(d)(3))

The LWIB and DOL may accept program-specific performance information consistent with the requirements for eligibility under Title IV of the Higher Education Act of 1965 from the provider for purposes of enabling the provider to fulfill the applicable requirements of this subsection if the information is substantially similar to the information otherwise required.

The LWIBs in making the determinations of subsequent eligibility must also take into account

- the specific economic, geographic, and demographic factors in the local areas in which providers seeking eligibility are located; and,
- the characteristics of the populations served by providers seeking eligibility, including the demonstrated difficulties in serving such populations, where applicable.

Upon receipt of the LWIB's list for subsequent eligibility, the DOL reviews the performance levels of training providers for meeting the standards set out in this policy. The DOL has 30 days after the date of the submission to remove a provider from the Statewide eligible list. The DOL will compile a single list of eligible providers from all local areas in the State and disseminate the list and the performance information and program cost information to the One-Stop CareerCenters within the state.

Individuals eligible to receive training services under WIA §134(d)(4) shall have the opportunity to select any of the eligible providers, from any of the local areas in the state.

On-the-Job Training or Customized Training

Providers of on-the-job training or customized training are not subject to this policy of the certification system. However, CareerCenter operators in a local area are responsible for collecting performance information from on-the-job training and customized training providers as the Governor may require. The CareerCenter operators must determine whether the providers meet the performance criteria established by the Governor and disseminate information identifying providers that meet the criteria as eligible providers and the performance information through the CareerCenter system.

The term customized training means training (a) that is designed to meet the special requirements of an employer (including a group of employers), (b) is conducted with a commitment by the employer to employ individuals upon successful completion of training, and (c) for which the employer pays for not less than 50% of the cost of the training.

Selection of Eligible Youth Activities Providers

A LWIB identifies eligible providers of youth activities by awarding grants or contracts on a competitive basis, based on recommendations of the board (acting as youth council) and on the criteria contained in the State plan. Providers of youth activities are not subject to the Training Provider Certification System and are not eligible to provide training through the receipt of Individual Training Accounts. Eligible Youth Activities Providers are subject to the Governor's Standard for core indicator of performance established for youth programs in the Act.

Appendix E

Performance Indicators

Measure	Definition
Entered Employment Rate (<i>Entry into Unsubsidized Employment Rate</i>) Section 136 (b)(2)(A)(i)(I) (Adults, dislocated workers, youth)	The rate will be defined for participants unemployed at the time of enrollment. Numerator will be the number of these enrolled participants that are shown to have paid employment in the quarter following enrollment or service completion. Denominator will be all enrolled participants who were active during the reporting period (received services or continuing from a prior period) but who are no longer receiving services other than post-employment services.
Average Earnings Change in Six Months (<i>Earnings Received in Unsubsidized Employment 6 Months After Entry Into Employment</i>) Section 136(b)(2)(A)(i)(III) (Adults, dislocated workers, youth, and incumbent workers)	Wage record earnings for participant in the two quarters following employment (not counting quarter in which employment was recorded) less 50% of the wage record earnings for the four quarters prior to enrollment (not counting the quarter of enrollment). Post-employment income can be with the same or other employer in which the placement was first noted.
Six Month Retention Rate (<i>Retention in unsubsidized employment six months after entry into employment</i>) Section 136(b)(2)(A)(i)(II) (Adults, dislocated workers, youth and incumbent workers)	Total number of participants who have employment and who appear in the wage records, and wage records information for the second quarter thereafter (6 month rate). For example, individuals completing training and placed immediately in the first quarter of the program year, would be recorded as employed in the second quarter. Fourth quarter records would be queried to determine retention.
Educational Credential/Occupational Skills Credential Rate (Training Services ONLY) (<i>Section 136 (b)(2)(A)(i)(IV)</i>) (Adults, Dislocated Workers, youth and incumbent workers)	For (1) adults entering employment after training and (2) eligible youth 19 through 21 entering employment, post-secondary education or advanced training after training, the percent who attained a State recognized credential related to educational skill attainment (diploma, degree or certificate) or attainment of an occupational skill (license or certification) recognized by the State or a nationally recognized industry body.
Skill Attainment Rate (<i>Attainment of basic skills and, as appropriate, work readiness or occupational skills</i>) Section 136(b)(2)(A)(ii)(I)	Number of youth who attained a higher level of proficiency with regard to basic skills, and as appropriate, work readiness skills or occupational skills divided by the number of youth receiving services or training for whom attaining basic skills and, as appropriate, work readiness skills or occupational skills goals were to be achieved during the reporting period. Goals are based on individual assessments using widely acceptable and recognized measurement/assessment techniques.
Diplomas and Equivalent Attainment Rate (<i>Attainment of secondary school diplomas and their recognized equivalents</i>) Section 136(b)(2)(A)(ii)(II)	Number of youth who attained a secondary school diploma or equivalent divided by the number of youth for whom attaining a diploma or certificate was a goal to be achieved during the reporting period. (This goal appropriate for older youth 16-18 years old.)

Measure	Definition
Placement Rate (<i>Placement and retention in postsecondary education or advanced training or placement and retention in military service, employment, or qualified apprenticeships</i>) Section 136(b)(2)(A)(ii)(III)	Of those who are receiving follow-up services and for whom placement and retention is a goal, the percent with retention status of 30 days, 90 days, 180 days and one year from beginning follow-up.
Customer Satisfaction (<i>Customer satisfaction of employers and participants with services received from the workforce investment activities.</i>) Section 136 (b)(2)(B)	Customer satisfaction index to be developed for different customers - both participants and employers. The index will be a single score created by combining the scores from several survey questions that address different dimensions of the customer experience.

Continuous Improvement Timetable

APPLICABLE PROGRAM GROUP	MEASURE	INDICATOR	PRIOR YEAR PERFORMANCE	PERFORMANCE GOALS		
				YEAR 1	YEAR 2	YEAR 3
ADULT	Entered Employment Rate (<i>Entry into Unsubsidized Employment Rate</i>) Section 136(b)(2)(A)(i)(I)					
	Average Earnings Change in Six Months (<i>Earnings Received in Unsubsidized Employment 6 Months After Entry into Employment</i>) Section 136(b)(2)(A)(i)(III)					
	Six Month Retention Rate (<i>Retention in unsubsidized employment six months after entry into employment</i>) Section 136(b)(2)(A)(i)(III)					
	Educational Credential/Occupational Skills Credential Rate (Training Services ONLY) Section 136(b)(2)(A)(i)(IV)					
DISLOCATED WORKERS	Entered Employment Rate (<i>Entry into Unsubsidized Employment Rate</i>) Section 136(b)(2)(A)(i)(I)					
	Average Earnings Change in 6 Months (<i>Earning Received in Unsubsidized Employment 6 Months After Entry Into Employment</i>) Section 136(b)(2)(A)(i)(III)					
	Six Month Retention Rate (<i>Retention in unsubsidized employment six months after entry into employment</i>) Section 136(b)(2)(A)(i)(II)					
	Educational Credential/Occupational Skills Credential Rate (Training Services ONLY) Section 136(b)(2)(A)(i)(IV)					
YOUTH AGES 19 TO 22	Entered Employment Rate (<i>Entry into Unsubsidized Employment Rate</i>) Section 136(b)(2)(A)(i)(I)					
	Average Earnings Change in 6 Months (<i>Earning Received in Unsubsidized Employment 6 Months After Entry Into Employment</i>) Section 136(b)(2)(A)(i)(III)					
	Six Month Retention Rate (<i>Retention in unsubsidized employment six months after entry into employment</i>) Section 136(b)(2)(A)(i)(II)					
	Educational Credential/Occupational Skills Credential Rate (Training Services ONLY) Section 136(b)(2)(A)(i)(IV)					

APPLICABLE PROGRAM GROUP	MEASURE	INDICATOR	PRIOR YEAR PERFORMANCE	PERFORMANCE GOALS		
				YEAR 1	YEAR 2	YEAR 3
	Educational Credential/Occupational Skills Credential Rate (Training Services ONLY) Section 136(b)(2)(A)(i)(IV)					
YOUTH AGES 14 TO 18	Skilled Attainment Rate (Attainment of basic skills and, as appropriate, work readiness or occupational skills) Section 136(b)(2)(A)(iii)(I)					
	Diplomas and Equivalent Attainment Rate (Attainment of secondary school diplomas and their recognized equivalents) Section 136(b)(2)(A)(ii)(II)					
	Placement Rate (Placement and retention in postsecondary education or advanced training or placement and retention in military service, employment or qualified apprenticeships) Section 136(b)(2)(A)(ii)(III)					
PARTICIPANT	Customer Satisfaction (Customer satisfaction of employers and participants with services received from the workforce investment activities.) Section 136(b)(2)(B)					
EMPLOYER	Customer Satisfaction (Customer satisfaction of employers and participants with services received from the workforce investment activities.) Section 136(b)(2)(B)					

Appendix F

Sample Memorandum of Understanding

PURPOSE:

This Memorandum of Understanding (MOU) is entered into between the _____ Regional Workforce Development Board, Inc. and _____ (partner agency) for _____ One-Stop Center(s).

The purpose of this MOU is to establish an agreement between the above mentioned entities concerning their respective roles and responsibilities for implementation of the provisions of Title I of the Workforce Investment Act of 1998 §121(c)(2).

This agreement is to coordinate resources to prevent duplication and ensure the effective and efficient delivery of workforce services in _____ county(ies). In addition, this agreement will establish joint processes and procedures that will enable partners to integrate the current service delivery system resulting in a seamless and comprehensive array of education, human service, job training, and other workforce development services to _____ county (ies).

Parties to this document shall coordinate and perform the activities and services described herein within the scope of legislative requirements governing the parties' respective programs, services, and agencies.

INTRODUCTION:

The _____ One-Stop CareerCenter(s), the _____ Regional Workforce Development Board, and _____ (partner-agency) enters into this agreement to ensure that the following principles of the Workforce Investment Act of 1998 are implemented.

Universal Eligibility – All customers, including those with special needs and barriers to employment, will have access to a core set of services at each One-Stop CareerCenter, designed to provide information to make career and labor market decisions. Core, intensive, training, and support services will be made available on-site and through multiple off-site locations.

One-Stop Approach – All customers may explore work preparation and career development services and have access to information on a range of employment, training, and adult and occupational education programs. Services will be made available through the one-stop centers, through multiple off-site locations, or through an electronic system convenient to the customer.

Individual Choice – Customers will have access to a multitude of career, skill, employment, and training information to obtain the services and skills they need to enhance their employment opportunities, based on their individual needs.

Greater State and Local Flexibility – With the integration of services through a one-stop delivery system, the state and local entities will have the flexibility to implement an innovative and comprehensive workforce investment system.

Greater Role for Elected Officials - State and local one-stop partners have the flexibility to tailor delivery systems to meet the particular needs of individual communities.

Greater Accountability – State, localities and training providers will be accountable for their performance. The design and management of the one-stop centers and the delivery of services must be responsive to meeting the needs of the customer. Customer satisfaction will be a key measure of accountability.

PERIOD OF PERFORMANCE

This agreement shall commence on the date it is executed _____ (date) and terminate on _____ (date), unless otherwise terminated by agreement of all parties.

The establishment of a network of One-Stop CareerCenters is designed to accomplish the following:

- To eliminate unwarranted duplication of services, reduce administrative costs, and enhance participation and performance of customers served through the system.
- To establish guidelines for creating and maintaining a cooperative working relationship, to facilitate joint planning and evaluation of services, and to develop more efficient management of limited financial and human resources.
- To build a workforce development system that will dramatically upgrade Floridian's workplace skills, economically benefiting the workforce, employers, and the state.

PARTNERSHIP:

The partner through continued cooperation will demonstrate partnership and participation in the one-stop system that has been developed in _____ county (ies).
Descriptions of participation are included with this MOU as attachments as follows:

- Attachment A: Cost Sharing/Resource Sharing
Each partner must contribute a fair share of the operating costs based on the use of the One-Stop delivery system by individuals attributable to the partner's program. There are a number of methods that may be used for allocating costs among partners that are consistent with this principle and the OMB circulars. The regulation identifies a number of methodologies, including cost pooling, indirect cost allocation, and activity based cost allocation plans that may be used.

This attachment will delineate what resources the partner will make available to the system. This attachment will include costs associated with items such as personnel, rent, equipment, utilities, janitorial, etc. Information is supplied in such a way as to make it possible to determine the proportionate costs to be shared by each partner.

- Attachment B: Scope of Work

This attachment will describe the type of core, intensive, support, and training services that will be provided by the partner and how those services will be integrated into the one-stop system. A common application or pre-application formats and procedures, acceptable to all funding sources will be developed.

The intake process shall include a referral process to direct applicants to other one-stop partners for the receipt of needed services. This description will include information regarding staffing patterns, hours, supervision, and specific services that will enhance the one-stop system.

- Attachment C: Release of Information Form

A universal release of information form is attached to this agreement for use within the one-stop system. All partners, in an effort to reduce the duplication to our customers, will use this information form.

- Attachment D: Amending/Modifying MOU

1. The MOU can be modified by mutual agreement of partners and the _____ Workforce Development Board. Any such modification will be preceded by written notice of intent to modify and the purpose of such modification.
2. Any party to the MOU can request a modification to the agreement by making such request in writing to the Board. If such a request affects any other party to the agreement, the Board will follow notification procedures specified in the #1 above for notifying the other parties in the event the modification request is to be approved.
3. The MOU can be modified at any time to add additional one-stop partners who will sign the agreement in its current form at the time they are being added. All parties to the MOU will be notified in writing of additional parties joining the agreement.

- Attachment E: Dispute/Grievance Resolution

Should any disputes or grievances require resolution; the steps outlined in this attachment should be followed.

GENERAL PROVISIONS

It is the intent of _____ to participate in the One-Stop CareerCenter(s) as a (Center Partner/Affiliate Partner). In so doing _____ agrees to the following:

For Center Partners:

1. Jobs and Benefits, One-Stop operators, and other employment and training providers will co-locate on a full-time/part time basis in at least one physical site in each substate region as space leasing obligations allow.
2. All partners will participate in an integrated management consortium that will direct the operations of the center(s).
3. Partners will share in the operational costs of the center(s) in a prorated manner to be negotiated with the one-stop operator.
4. Functions or separateness mandated by state statute or public law will not be violated or abridged in the pursuit of co-location of center partners.
5. All partners will participate in the development of _____ One-Stop CareerCenter procedures, policies, and operational agreement.
6. A one-stop delivery system will be available to our customers for self-service or assisted service with access to the range of labor market and career development services. Both electronic access and personal service delivery choices also will be a part of our services.
7. All partners will participate in an integrated intake, referral, and client tracking system operating through the one-stop delivery system and subject to confidentiality constraints.
8. Technology and client information with other system partners will be jointly shared, subject to confidentiality constraints and other program limitations.
9. A joint planning process will be developed and will require participation by all one-stop partners and the one-stop operator. This process will assist the partners in identifying the needs of the local workforce and the business community, and help set priorities for services based on those needs.
10. All partners will participate in a process of program review and continuous improvement to offer the best possible services and seize opportunities for further integration.
11. To assure that services are responsive to the needs of the community, partners will survey system customers to obtain feedback on customer satisfaction.
12. All partners will be responsible for compliance with existing laws and regulations.
13. All partners will jointly negotiate processes for client flow, assessment/case management, job development, referrals and placements, staff capacity building, space requirements, standards of operations, and resolution of disputes with other system partners.

For Affiliate Partners:

1. All partners will participate in the development of _____ One-Stop CareerCenter procedures, policies, and operational agreement.
2. A one-stop delivery system will be available to our customers for self-service or assisted service with access to the range of labor market and career development services.
3. All partners will participate in an integrated intake, referral, and client tracking system operating through the one-stop delivery system and subject to confidentiality constraints.

4. Technology and client information with other system partners will be jointly shared, subject to confidentiality constraints and other program limitations.
5. A joint planning process will be developed and will require participation by all one-stop partners and the one-stop operator. This process will assist the partners in identifying the needs of the local workforce and the business community, and help set priorities for services based on those needs.
6. All partners will participate in a process of program review and continuous improvement to offer the best possible services and seize opportunities for further integration.
7. To assure that services are responsive to the needs of the community, partners will survey customer's feedback on customer satisfaction.
8. All partners will be responsible for compliance with existing laws and regulations.
9. All partners will jointly negotiate processes for client assessment, case management, job development, referrals and placements, staff capacity building, and resolution of disputes with other system partners.
10. All partners will share the costs of information access and exchange for their organizations' participation in the one-stop system.

CERTIFICATION:

By signing this agreement, all parties agree that the provisions contained herein are subject to all applicable, Federal, State and local laws, regulations and/or guidelines relating to nondiscrimination, equal opportunity, displacement, privacy rights of participants, and maintenance of records and other confidential information relating to one-stop customers.

By signatures affixed below, the parties specify their agreement:

_____ Chief Elected Official or Designee	_____ Date
_____ One-Stop Operator or Designee	_____ Date
_____ Center Partner/Affiliate Partner Designee	_____ Date
_____ Regional Workforce Development Board Designee	_____ Date

Appendix G
WIA GLOSSARY

Adult – Younger Adult means an individual who is 14 through 17, and Older Adult means an individual who is 18 or older.

Adult Education and Literacy providers use grant funds to establish or operate one or more programs that provide services or instruction in one or more of the following categories: (1) adult education and literacy services, including workplace literacy services, (2) family literacy services, and (3) English literacy programs.

Area Vocational Education School is a specialized public secondary school used exclusively or principally for the provision of vocational and technical education to individuals who are available for study in preparation for entering the labor market.

Aroostook Community Action Program (ACAP) is the JTPA service provider for Aroostook County under contract to the 12-County SDA.

Basic Skills Deficient means an individual with English reading, writing, or computing skills at or below the 8th grade level on a generally accepted standardized test, or a comparable score on a criterion-referenced test.

Bureau of Employment Services (BES) – The unit within MDOL responsible for statewide policy guidance and oversight for JTPA, statewide management and implementation of labor exchange (Maine Job Bank), and development of employer services program designs. BES is the lead agency for WIA and implementing One-Stop CareerCenters.

Bureau of Rehabilitation Services (BRS) - The unit within MDOL responsible for statewide management and implementation of employment, training and related services to people with severe disabilities. It includes the Division of Vocational Rehabilitation (DVR) and the Division of the Blind and Visually Impaired (DBVI).

Case Management means the provision of a customer-centered approach in the delivery of Level 2 Intensive and Level 3 Training Services.

Coastal Economic Development (CED) is the JTPA service provider for Sagadahoc, Knox, Lincoln and Waldo counties under contract to the 12-County SDA.

Community Based Organization means a private, non-profit organization that is representative of a community or a significant segment of a community and that has demonstrated expertise and effectiveness in the field of workforce investment.

Core Services are employment and training activities provided free to everyone on a universal basis, and include job matching, labor market information, job getting, access to the Internet and basic career counseling. Core services are also referred to as WIA Level 1 services.

Customer Choice is a market-based term indicating that customers should receive products and services according to methods that best suit their needs.

Customized Training is occupational skills training that is 1) designed to meet the special requirements of an employer (including a group of employers); 2) conducted with a commitment by the employer to employ an individual on successful completion of the training; 3) for which the employer pays for not less than 50 percent of the cost of the training.

Direct Delivery is the term referring to the four counties of Kennebec, Somerset, Washington and York that are delivered directly by MDOL under contract from the 12-County SDA.

Dislocated Worker means (in general) an individual who has been terminated or laid off, or who has received a notice of termination or layoff.

Displaced Homemaker is an individual who has been providing unpaid services to family members in the home and who 1) has been dependent on the income of another family member but is no longer supported by that income; and 2) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

Economic Development Agencies are local planning and zoning commissions or boards, community development agencies, and other local agencies and institutions responsible for regulating, promoting, or assisting in local economic development.

Eligible Provider is a general term encompassing entities providing WIB-approved core, intensive and training services for adults and dislocated workers, and services to youth.

Eligible Youth, in general, means an individual who 1) is between 14 and 21 years of age; 2) is low-income; and 3) who has one or more barriers to employment (i.e., deficient in basic literacy skills, a school dropout, homeless - a runaway - or a foster child, pregnant or a parent, an offender, or an individual who requires additional assistance to complete an educational program, or to secure and hold employment.)

Employment and Training Activity means any core, intensive or training service provided to adults and dislocated workers.

Grandfathering is the process of carrying over boards, operators and service providers from JTPA.

Grant Recipient is a chief local elected official – or his/her designee - who is liable for use of WIA funds within a local area. Using a designee does not relieve a local elected official of liability. In Maine, a local elected official is a county commissioner.

Individual Training Accounts (ITAs) – Financial vouchers issued to eligible participants of training services.

Individual with A Disability (In general) means an individual with any disability (as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102)).

Intensive Services – Also referred to as WIA Level 2 services, these are employment and training activities geared to eligible adults who either can't find and retain a job using core services, or have acquired and retained employment but whose earning do not provide a livable wage.

Investing Partner is a One-Stop partner who makes a financial contribution to WIA systems and program operating costs.

Job Corps – A national youth program operated in two Maine locations (Bangor, Caribou) by Training Development Corporation.

JTPA is the Job Training Partnership Act, the federal legislation for employment and training activities that is being replaced by WIA.

Labor Market Area means an economically integrated geographic area within which individuals can reside and find employment within a reasonable distance, or can readily change employment without changing their place of residence.

Literacy means an individual's ability to read, write and speak in English, and compute and solve problems at levels of proficiency necessary to function on the job, and in the family and in society.

Local Area is a geographical configuration within which WIA services are provided.

Local Area Designation – The selection of local areas within a state.

Local Board The body responsible for setting WIA policy within a local area. Examples of major policy considerations include developing a local plan, designating One-Stop operators, identifying youth, adult and dislocated worker service training providers, and negotiating local performance standards with the state.

Local Performance Measure means the core indicators established by WIA, a customer satisfaction measure, and any additional measures required by the state or agreed upon by a local board.

Local Plan is a five-year plan developed by local boards for local areas.

Local Educational Agency is a board of education or other legally constituted local school authority having administrative control and direction of free public elementary or secondary education through grade 12 in a county, township, or other school district located within a state. This term includes a state educational agency so long as it also directly operates and maintains facilities for providing free public education for the children it claims in its application. Children claimed by a state educational agency must actually be attending state-operated facilities, and the agency may not, through a tuition arrangement, contract, or by other means, pay another entity to operate and maintain facilities for those children.

Maine Job Bank – The job matching system that links employer job orders with job applicant skills and abilities. It links with America's Job Bank (AJB) which does the same thing.

Memorandum of Understanding (MOU) The agreement between One-Stop partners and local boards that describes 1) services to be provided through the One-Stop system, 2) how systems and operating costs will be funded, 3) referral mechanisms between One-Stop operators and partners, and 4) duration, amendments and other issues agreed to by the partners.

National Programs are programs operated either directly or through contracts to various entities by the national DOL. They include Native American Programs (S166), Migrant, Seasonal and Farmworkers (S167), Veterans Workforce Investment Programs (S168), Youth Opportunity Grants (S169), Technical Assistance (S170), Demonstrations (S171), Evaluations (S172), and National Emergency Grants (S173).

Nontraditional Employment refers to occupations or fields of work for which individuals from one gender comprise less than 25 percent of the individuals employed in each such occupation or field of work.

Offender means any adult or juvenile who is or has been subject to any state of the criminal justice process, for whom services under WIA may be beneficial; or who requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction.

Older Individual is one who is age 55 or older.

One-Stop Delivery System – The organization of an entity or entities within a local area that comprise the board, One-Stop operator(s) and its organization of youth, adult and dislocated worker services.

One-Stop Operator refers to one or more entities certified under section 121(d) and designated by a local board with CLEO agreement that is responsible for overseeing a One-Stop center.

One-Stop Partner is any one of 16 Federal programs, such as WIA, Wagner-Peyser and Job Corps, listed in section 121(b). A partner can also include any private or public sector entity recruited by a local board.

On-the-job Training is training by an employer that is provided to a paid participant while engaged in productive work.

Out-of-school Youth means 1) an eligible youth who is a school dropout; or 2) an eligible youth who has received a secondary school diploma or its equivalent but is basic skills deficient, unemployed, or underemployed.

Participant means an individual who has been determined to be eligible to participate in and who is receiving services (except follow-up services) in a youth, adult or dislocated worker program.

Performance Standards/Indicators – WIA’s primary approach for defining accountability. The standards are defined in WIA and specific objectives are negotiated between the state and local boards.

Postsecondary Educational Institution means an institution of higher education, as defined in section 481 of the Higher Education Act of 1965 (20 U.S.C. 1088). An institution that 1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent; 2) is legally authorized within such state to provide a program of education beyond secondary education; 3) provides an educational program for which the institution awards a bachelor’s degree or provides not less than a 2-year program that is acceptable for full credit toward such a degree; 4) is a public or other nonprofit institution; 5) is accredited by a nationally recognized accrediting agency or association, or if not so accredited, is an institution that has been granted pre accreditation status by such agency or association that has been recognized by the Secretary for the granting of pre accreditation status, and the Secretary has determined that there is satisfactory assurance that the institution will meet the accreditation standards such as an agency or association within a reasonable time.

Private Industry Council (PIC) is the governing board of service delivery areas under JTPA.

Program Integration is a One-Stop principle that emphasizes delivering programs based on functions rather than labels, i.e., organizing programs and services according to core, intensive and training functions.

Public Assistance means Federal, State, or local government cash payments for which eligibility is determined by a needs or income test.

Rapid Response Activity is a service provided by the state, or by an entity designated by the state, in order to assist dislocated workers in obtaining reemployment.

School Dropout is an individual no longer attending any school and who has not received a secondary school diploma or its recognized equivalent.

Secretary means the Secretary of (the national) Department of Labor.

Service Delivery Area (SDA) is a geographical jurisdiction within which JTPA services are provided.

Service Provider is an entity that implements youth, adult or dislocated worker programs around core, intensive, training and youth-specific program services.

State Board is the entity established in WIA section 111, and is responsible for assisting the governor in developing a State Plan and continuous improvement of a statewide workforce investment system funded under WIA. Specific responsibilities include, among others, developing the state plan, commenting on performance measures adopted by the state Board of Vocational Education, recommending local area designations, and developing allocation formulas for in-state distribution.

State Plan – The document developed by the state board that describes state policies that guide WIA activities within local areas.

Supportive Services means services such as transportation, child care, dependent care, housing, and needs-related payments, that are necessary to enable an individual to participate in activities authorized under WIA.

Temporary Assistance to Needy Families (TANF) – The program for welfare recipients delivered by Department of Human Services.

Training Development Corporation – The organization that operates the Penobscot Consortium, a JTPA service delivery area, that includes Penobscot, Hancock and Piscataquis counties.

Training Provider is a WIA term meaning an eligible entity providing occupational skills training.

Training Resource Center – The operator of job training services for Cumberland County, a JTPA service delivery area.

Unemployed Individual is one without a job and who wants and is available for work.

Unit of General Local Government refers to any general-purpose political subdivision of a state that has the power to levy taxes and spend funds, as well as general corporate and police powers.

Vocational Education has the meaning given the term in section 521 of the Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2471).

Wagner-Peyser – The enabling legislation that authorizes labor exchange through the Maine Job Bank. It is sometimes referred to as Job Service.

Welfare-to-Work – The employment and training program for TANF recipients provided through the workforce development system.

Western Maine Community Action (WMCA) is the JTPA service provider for Androscoggin, Franklin and Oxford counties under contract to the 12-county SDA.

Workforce Development Centers Administrative Office (WDCAO) - The office performing the administrative entity responsibilities for the 12-County SDA.

Workforce Investment Act is the successor legislation to JTPA, the titles of which are: I) Adult, Dislocated Worker and Youth and workforce investment systems; II) Adult Education and Literacy; III) Wagner-Peyser Act; IV) Rehabilitation Act Amendments of 1998; V) General Provisions.

Workforce Investment Activity encompasses employment and training activities for adults and dislocated workers, and services provided to youth.

Youth Activity means an activity described in section 129 such as tutoring, secondary school services, summer youth employment, work experience, internships, job shadowing, occupational skills training, and supportive services.

Youth Council means a council established under section 117(h), the primary functions of which - in collaboration with the local board - are (A) developing relevant portions of the local plan, (B) recommending eligible providers of youth activities consistent with WIA, (C) providing oversight of local youth providers, and (D) coordinating youth services in local areas.

