



Training * Connecting * Developing Illinois' Workforce

State Technical Assistance Teams (STAT) Orientation

Workforce Innovation and Opportunity Act (WIOA)

December 8, 2016



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Today's Agenda

Agenda	Topics
Part 1	Purpose and structure of STATs
Part 2	Summary of Federal legislation Highlights from WIOA Final Rules
Part 3	Summary of Governor's Guidelines / MOU template General requirements of the MOU Infrastructure and shared system costs
Part 4	Comprehensive one-stop center certification
Part 5	Summary of Regional and Local Planning Guide Regional and Local Plan modifications
Wrap-up	Next steps and resources

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Purpose and Structure of STATs

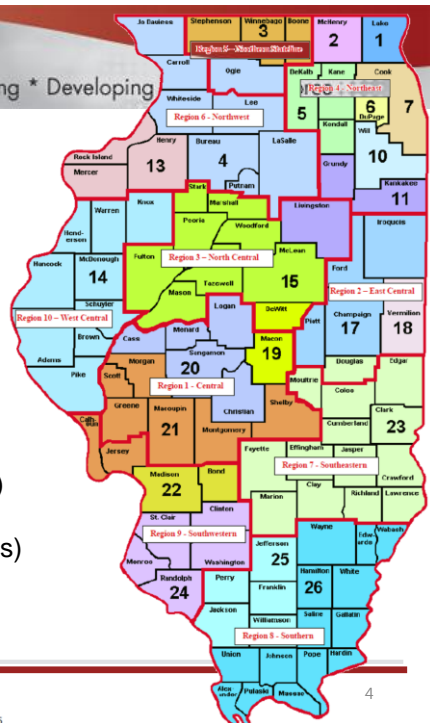
PART 1



Region and LWIA Map

10 Economic Development Regions (EDRs)

22 Local Workforce Innovation Areas (LWIAs)



State Technical Assistance Teams (STATs)

Three Primary Purposes:

1. Be a resource that Local Workforce Innovation Boards (LWIBs), chief elected officials (CEOs) and local partners can access to obtain technical assistance, information, clarification and support as they implement WIOA
 2. Provide hands-on assistance to resolve issues in local areas
 3. Raise major operational issues or needs among local areas to the Interagency Work Group (IWG) for resolution
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State Technical Assistance Teams (STATs)

STAT Structure:

1. One STAT per EDR
 2. Core partners represented on each STAT, with required partners as needed
 3. Statewide point of contact for each core partner
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State Technical Assistance Teams (STATs)

Core Partner Agency	Statewide Point of Contact for STATs
Commerce	John Barr, Mike Baker
Illinois Community College Board	Lavon Nelson
IDES	Janice Taylor Brown
DHS – Rehabilitation Services	Doug Morton

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State Technical Assistance Teams (STATs)

STAT Roles

1. Serve as an extension of the Interagency Work Group to provide technical assistance
 - Ensure regions and local areas comply with and align with Federal and State requirements, goals
 - Notify the IWG of significant issues that require clarification or resolution at the State level
 - Support State-level Teams in the 30-day remediation period for MOU negotiations

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State Technical Assistance Teams (STATs)

STAT Roles (cont.)

2. Act independently to provide training, information and support to their region
 - Know the authoritative sources of information
 - Promptly respond to requests for assistance
 - Document the assistance provided as a resource for other STATs
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State Technical Assistance Teams (STATs)

STAT Roles (cont.)

3. Collaborate as a team to make the integration of services a reality
 - Communicate on behalf of the entire team, not as individuals
 - Serve as a resource for each other within and across regions
 - Agree STAT work is a priority
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Examples of STAT Supports:

- Provide training
- Link local partners to resources
- Trouble-shoot technical issues
- Assur compliance with Federal and State guidance
- Support MOU remediation
- Field questions about local interpretations and application of State guidance

We will talk about HOW to provide those supports during the in-person training.

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Federal legislation and Final Rules

PART 2

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Some PY17 WIOA Implementation Activities

July 1, 2017: One-stop operators must be competitively selected and operating the center

July 1, 2017: Certification of comprehensive one-stop centers takes effect, along with the requirement to use a "proud partner of the American Job Center network" tagline on all activities, products and signage

July 1, 2017: Regional and Local Plan modifications and renegotiated MOUs take effect

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WIOA Core Partners



Title IB - Workforce Development Activities - Employment & Training
Services include Adult, Dislocated Worker and Youth programs



Title II - Adult Education and Family Literacy

Services include assessments, basic skills instruction, English language acquisition instruction, high school equivalency instruction, career awareness, workforce preparation, bridge programs and accelerated education and training programs



Title III - Employment Services under the Wagner-Peyser Act

Services include job placement assessment, individual re-employment plans, job search and placement using the State's labor exchange system, and employer outreach



Title IV - Vocational Rehabilitation Services

Assists individuals with significant in obtaining and retaining competitive, integrated employment and prepares individuals for employment through individualized planning processes

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WIOA Core Partners Additional Obligations

- Develop and submit a "Unified Plan" to the Secretaries of Labor and Education
 - Timely and in compliance with requirements, or funding for four core programs ceases
- Collectively held accountable for six "primary indicators of performance"
 - Sanctions for failure to meet the common primary indicators of performance

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Other Required Partners under WIOA

- Post-secondary Career and Technical Education under Perkins
- Unemployment Insurance
- Job Counseling, Training and Placement Services for Veterans
- Trade Readjustment Assistance (TRA)
- Trade Adjustment Assistance (TAA)
- Migrant and Seasonal Farmworkers
- National Farmworker Jobs Program (NFJP)
- Community Services Block Grant (CSBG)
- Senior Community Services Employment Program (SCSEP)
- TANF
- Second Chance
- HUD Employment and Training Activities
- Job Corps
- YouthBuild

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WIOA Required Partners Other Obligations

- Provide "access" to program services through local one-stop delivery systems and comprehensive one-stop centers
- Make "career services" authorized under each program accessible to WIOA participants at comprehensive one-stop centers

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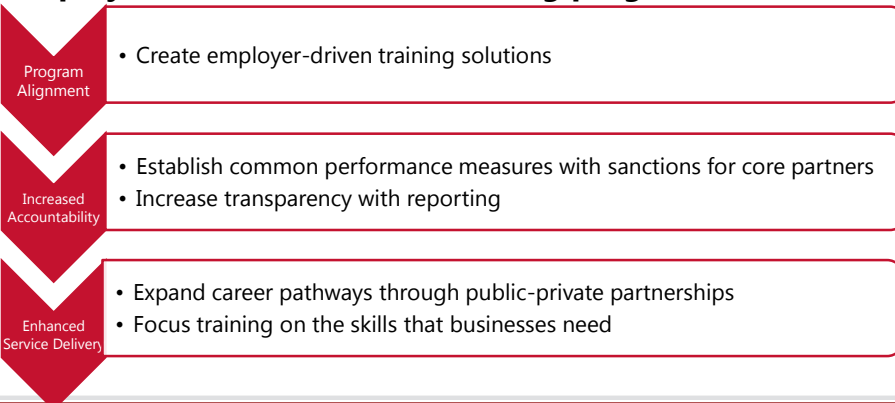
Other Obligations of ALL WIOA Partners

- Negotiate a memorandum of understanding (MOU) in each local area
- Use a portion of program funds to maintain the one-stop delivery system
- Contribute a defined share of "infrastructure" costs to operate the comprehensive one-stop center

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WIOA Principles

Prioritizes collaboration and alignment between employment, education and training programs



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Highlights of WIOA Final Rules

- **Career services – What are they?**
 - There are 23 career services that must be made available to individuals in the “adult” and “dislocated worker” programs served by required partners
 - (11) **Basic** – available to anyone who accesses the one-stop
 - Examples: eligibility determination, TANF applications, assessment
 - (11) **Individualized** – tailored to each participant
 - Examples: individual employment plan, career planning, ESL
 - (1) **Follow-up** – as appropriate for 12 mo.
 - Example: counseling for participants placed into a job
 - Each required partner determines which of the 23 career services are applicable to their programs and must be made available at one-stops

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Highlights of WIOA Final Rules

- **Career services – Final Rule highlights**

- Career services must be made available in every comprehensive one-stop center
- Core and required partners can provide career services:
 1. In person,
 2. Through cross-trained staff, or
 3. Via “direct linkage” technology
- TANF must provide individuals the opportunity to initiate an application for TANF assistance at a one-stop center

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Highlights of WIOA Final Rules

- **Infrastructure costs – What are they?**

- WIOA Section 121(h)(4) defines infrastructure costs:

“... the non-personnel costs that are necessary for the general operation of the one-stop center, including the rental costs of facilities, the costs of utilities and maintenance, equipment (including assessment-related products and assistive technology for individuals with disabilities), and technology to facilitate access to the one-stop center, including the center’s planning and outreach activities.”

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Highlights of WIOA Final Rules

• Infrastructure costs – Final Rule highlights

- Expanded role of the Governor in establishing infrastructure cost budgets if the local required partners do not agree
- Three possible types of partner contributions under the local funding mechanism: cash, non-cash and third-party in-kind
- Two possible types of partner contributions under the State funding mechanism: cash and third-party in-kind

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Highlights of WIOA Final Rules

• One-stop operators

- Local Workforce Innovation Boards (LWIBs) must demonstrate they are taking steps to prepare for the competitive selection of one-stop operators by January 16, 2017 (90 days from the Final Rule)
- One-stop operators must be competitively procured at least once every four years
- The one-stop operator role, including in referrals between required partners, must be clearly defined in RFPs and MOUs

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Highlights of WIOA Final Rules

- **One-stop operator role** (§ 678.620)
 - Coordinate service delivery of required one-stop partners and service providers; e.g.:
 - Coordinate service providers across the one-stop delivery system
 - Be the primary provider of services within the center
 - Provide some services within the center
 - Coordinate service delivery in a multi-center area

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Highlights of WIOA Final Rules

- **One-stop operator role** (cont.)
 - Final rules prohibit one-stop operators from some activities to prevent a conflict of interest
 - Cannot convene system stakeholders in the development of a local plan
 - Cannot be responsible for overseeing itself
 - Cannot manage or significantly participate in the competitive selection of one-stop operators
 - Cannot select or terminate one-stop operators, career services or youth providers
 - Cannot develop a budget for local board activities

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Governor's Guidelines, MOUs and infrastructure costs

PART 3

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PART 3:

Governor's Guidelines

Purpose:

- Fulfill a WIOA requirement for the Governor to issue guidelines for negotiating cost sharing and service delivery
 - Optimize service quality and value for customers and core partner return on investment
 - Establish ground rules for MOU negotiations and cost sharing
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Governor's Guidelines

Content of the Guidelines:

- Negotiation of local MOUs
- Negotiation of infrastructure costs of comprehensive one-stop centers
- Negotiation of other shared costs of the local service delivery system
- Timelines for negotiation
- Reporting of negotiation outcomes
- Appeals process for costs determined under State funding mechanism (used as a last resort, only)
- Timeline
- MOU template with local service matrices and budget
- Glossary
- Other resources

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Governor's Guidelines

Context:

- First issued December 2015 under WIOA draft rules
- Supplemental Guidance to the Governor's Guidelines issued with "Revision 1" in March 2016 when DOL/DOE delayed the effective date of infrastructure funding requirements
 - Provided an alternative timeline for MOU negotiations and deadlines for Program Year 2016 (PY16) / State Fiscal Year 2017 (SFY17) only
 - Provided additional guidance regarding negotiations of shared costs for PY16/SFY17 only
 - Provided an MOU template, local service matrices and standard budget spreadsheet

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Governor's Guidelines - Revision 2

Next steps:

- To be issued in December 2016 to reflect Final Rules
- Examples:
 - Rewrote the regulations on infrastructure costs
 - Added new language about three possible types of partner contributions under the local funding mechanism: cash, non-cash and third-party in-kind
 - Revised language about providing career services in comprehensive one-stop centers
- Other timeline adjustments and clarifications made
- Revised MOU template and budget spreadsheet

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General Requirements for MOUs

- Serve as a tool to achieve integration
- Reflect a shared vision and commitment of local workforce innovation boards (LWIBs)
- Document each required partner's commitments to service delivery
- Demonstrate negotiations were in good faith by individuals with authority to commit financial and programmatic resources

MOU negotiated every 3 years

Shared costs negotiated annually

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General Requirements for MOUs

Decisions reflected in the MOU:

1. Services available in local one-stop delivery system
2. Locations where services are provided
3. Each program partner's method of service delivery
4. Role of comprehensive one-stop center operators
5. Coordination of referrals
6. How local comprehensive one-stop center infrastructure costs and local system costs will be shared (annually)

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General Requirements for MOUs

WIOA definition of "Access:" Final Rules identify three methods through which required partners can provide access to services at comprehensive one-stop centers (§ 678.305):

1. Having program staff physically present at the one-stop;
2. Cross-training an individual from a different program who is physically present to provide programs and services; or
3. Making available a "direct linkage" at the one-stop center through technology – a direct connection within a "reasonable time" to a program staff member who can provide information or services to the customer.

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General Requirements for MOUs

Direct Linkage Technology Requirements: Additional clarifications in the Final Rules regarding direct linkage:

1. A direct linkage through program staff or technology must be made available *if* needed and demanded by the customer. (§ 678.305(d)(3)(i)-(ii))
2. Program staff can arrange to meet with a customer at a later date and time.
3. Providing a phone number, website or pamphlet is OK as long as it's not the *only* information offered to a customer. Direct linkage via technology to a program staff member must remain available to the customer at all times.

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General Requirements for MOUs

Additional Direct Linkage Requirements in Illinois:

1. Direct connection at the one-stop center via phone or web-based communication

By phone:

- A specific, dedicated phone number
- Phone coverage during normal business hours on all business days
- Voicemail or other capability enabling customers to leave a message if access to services via phone is unavailable at the time of contact

By video:

- High-speed Internet capability
- Dedicated, computer-based communication between multiple locations (e.g., Skype, Zoom)
- Communication via two-way, real-time video and audio transmission
- Back-up instructions or appointment scheduling if access to services via video is unavailable at the time of contact

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General Requirements for MOUs

Additional Direct Linkage Requirements in Illinois:

2. Reasonable period of time
 - Immediate, on-demand access as the norm
 - Contact initiated within 24 hours if service via direct linkage was unavailable at the time of initial contact from the customer
3. Program staff member who can provide information or services to the customer
 - Specifically identified required partner staff person(s) who are:
 - Trained and knowledgeable regarding the required partner's services and programs, and
 - For whom providing services via direct linkage is a formal part of his/her job

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Infrastructure and Shared System Costs

Infrastructure costs:

Non-personnel costs to operate the comprehensive one-stop center

- Facilities costs (e.g., leases)
- Technology (e.g., telecom)
- Marketing (e.g., signage)

Shared local system costs:

Non-infrastructure costs essential for service delivery and shared services; e.g.,

- Intake, needs assessments
- Local board functions
- Joint staff training
- Business services
- Other costs agreed upon by local required partners

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Infrastructure Costs

Local funding mechanism *when partners agree*

- More flexibility
- No new statutory caps on partner contributions
- Increased flexibility to decide on cost allocation methodology (FTE = preferred methodology)
- Cash, non-cash or third-party in-kind contributions allowed

Contribution	Example
Cash	Cash or interagency transfer between required partners
Non-cash	Expenditures incurred by a partner on behalf of the one-stop center and non-cash goods or services to be used in the center
Third-party in-kind	E.g., space, equipment, technology, non-personnel services or other contributions from a non-one-stop partner

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Infrastructure Costs

State funding mechanism as a last resort

- No flexibility
- Must be cash contributions (no non-cash or personnel)
- Statutory caps placed on partner contributions
- Limited funds available, in part because of the caps
- Funds only available for certified comprehensive one-stop centers (i.e., no certification = no state funding)
- Mandated partner acceptance of Governor's infrastructure cost budget

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Infrastructure Costs

Other highlights:

- Local agreement is the expectation
- Cost allocation based on FTEs is preferred and will be the basis the Governor uses to decide each partner's contribution under the State funding mechanism
 - Both onsite and offsite FTEs are counted toward a partner's contribution
 - FTEs are the only allowable basis for cost allocation under the State funding mechanism
- Other allocation methods are possible under the local funding mechanism (consistent with "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards")

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Shared Local System Costs

Guidelines:

- All required partners must share in these costs
- Specific costs to be shared are determined locally
- Cash, non-cash and third-party in-kind contributions are allowable
- Priority is for costs that promote integration, streamline service delivery or improve outcomes

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Shared Local System Costs (examples)

Costs to Support

Local Board Functions:

- Board staff salaries
- Board meeting costs
- Audit costs
- Strategic data gathering, analysis

Costs that Promote

Integration:

- Joint training
- Customer satisfaction surveys
- Business services
- Receptionists
- Resource room material

The list can include anything local core and required partners agree upon.

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MOU and Budget Negotiation Timelines

MOU

- 105-day period for negotiations
- Outcomes report due
- 30-day remediation period by State-level team if agreement not yet reached

Shared costs

- Annual budget included in the MOU
- (New budget every year into the MOU)
- Periodic reconciliation of *allocated costs* to *actual shared costs*

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MOU and Budget Negotiation Timelines

Annual Timeframe	Activity
January 1	Initiation of local negotiations on MOUs and cost sharing
April 15 each year an MOU is negotiated	Local MOU negotiations end Negotiation outcomes and draft budget reported
May 1	30-day remediation period begins for LWIAs not reaching agreement on infrastructure costs
May 31	LWIAs at impasse on infrastructure costs are referred to the Governor's Office
June 15	Governor makes final determination of each required partner's proportionate share of infrastructure costs under the State infrastructure funding mechanism
July 1	Signed MOU submitted every year an MOU is negotiated LWIAs at impasse for reasons other than infrastructure costs are reported to the respective Federal agencies

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Certification of Comprehensive One-Stop Centers

PART 4

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PART 4:



Training * Connecting * Developing Illinois' Workforce

Certification of comprehensive one-stop centers

Purpose:

- Fulfill a WIOA requirement for the State Workforce Board to consult with chief elected officials and local boards to establish objective criteria for use by local boards in certifying their comprehensive one-stop centers
- Each area must have one comprehensive one-stop center that provides on-demand access to career services, training services, employment services and all other required programs
- Helps ensure a minimum level of **quality and consistency** in one-stop centers throughout the state

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PART 4:



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Certification of comprehensive one-stop centers

Criteria must cover:

1. Effectiveness
2. Physical Accessibility
3. Programmatic Accessibility
4. Continuous Improvement

Content: (under development by IWIB Policy Work Group)

- Minimum criteria for local boards to evaluate and certify comprehensive one-stop centers
- Procedures to guide the evaluations
- Timelines for certification
- Reporting requirements
- Potential other tools under development (e.g., checklist)

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PART 4:

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Certification of comprehensive one-stop centers

- Only certified comprehensive one-stop centers can receive state funding under the state infrastructure funding mechanism, which only kicks in if local partners do not agree on an annual budget
- No certification = no state infrastructure funding

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Certification timeline

- IWIB Certification Policy Work Group working toward January 2017 issuance of the criteria and procedures
- Obtain certification by July 1, 2017
- Local board must certify the comprehensive one-stop center(s) at least once every three years
- Review certification criteria at least every two years as part of the process of updating Local Plans

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State of Illinois Regional and Local Planning Guide

PART 5

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PART 5:

Regional and Local Planning Guide

Purpose and Structure:

- Provide State of Illinois Governor's vision for workforce and WIOA implementation
- Provide instructions and timelines for public comment and submittal of regional and local plans
- Chapters 1-3: Outline required regional plan components
- Chapters 4-6: Outline required local plan components

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Regional and Local Plan - Modifications

- State-level review process developed by the Interagency Work Group, approved by the IWIB Executive Committee
- Reviews conducted in accordance with draft (and then final) regulations, Planning Guide and Governor's Guidelines
- "Review subgroup" reviewed all regional plans, local plans and MOUs (54 documents) in a standard review process
- Issued final reports September 30, 2016 identifying "required revisions for compliance" in PY16 and PY17

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Regional and Local Plan and MOU - Modifications

Because the Final Rules significantly changed service delivery and cost sharing under WIOA, the Regional and Local Planning Guide and the Governor's Guidelines were revised.

- The approach for any required revisions in PY16 / SFY17 focused on *compliance* issues that had to be fixed immediately and did not depend on the revised Planning Guide or Governor's Guidelines.
- If no required revisions were noted for PY16, then regional and local plans were *conditionally approved*.
- Any required revisions that did depend on the revised Planning Guide or Governor's Guidelines were deferred to PY17 / SFY17, which starts July 1, 2017.

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Regional and Local Plan and MOU - Modifications

- **Regional plans and local plans submitted this year are good for four years, per regulations**
 - “Required revisions” noted in the final reports must be submitted in a plan modification to take effect July 1, 2017
- **All MOUs must be renegotiated for PY17 / SFY17 under the revised Governor’s Guidelines and MOU template**
 - Once renegotiated and effective July 1, 2017, MOUs will be good for up to three years, per regulations

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Regional and Local Plan and MOU - Modifications

- **All regional plans require modifications** because of procedures for negotiating performance levels and other changes, which depends on further guidance.
- **All local plans required some modifications** related to performance, the procurement of one-stop operators and career services.
 - **Many local partners needed to be more specific in not just what will be done, but how. The how will demonstrate a commitment to integration.**
- **All MOUs require significant changes**, most of which depend on the revised Governor’s Guidelines that will be issued this month.
 - Only two MOUs were approved for PY16.
 - Two MOUs also were not approved but have since been corrected.

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Common Themes in MOU Required Revisions

- **Missing signatures**
- **Vision for the System** – A description of the vision must also include actions and timelines for implementing aspects of the vision not yet in place
- **MOU Development** – The next MOU must describe the process to negotiate the MOU and the process if consensus cannot be reached to comply with § 678.510 (c)(1)
- **Description of Comprehensive One-Stop Services** – All required partners listed as providing services in the comprehensive one-stop center should have completed descriptions and must be reflected in the Local Service Matrices
- **Procurement of One-Stop Operator** – The next MOU must describe the functions and scope of work on the one-stop operator and the one-stop operator's role in coordinating referrals to comply with § 678.500(b)(3)
- **Referral Process** – The next MOU must describe specific arrangements to assure that individuals with barriers to employment can access services to comply with § 678.500(b)(4)
- **Amendment Procedures** – The next MOU must describe the amendment procedures and process for negotiating annual shared costs
- **Data Sharing** – The next MOU must describe how core partners will share data and collaborate to assure all core partners achieve the primary indicators of performance, as well as assure confidentiality of personally identifiable information
- **Renewal Provisions** – A renewal process must be described for when substantial changes occur before the MOU expires, as required by § 678.500(b)(5) and (6)

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Tips for Submitting Revised Plans and MOUs

1. Respond to each item of required content in the revised Regional and Local Planning Guide and Governor's Guidelines
2. Review Final Rule citations provided in the final reports for plans and MOUs; specifically address the required content
3. Provide sufficient detail to demonstrate each required partner's commitment to integration in current and future activities
4. If specifics are not yet available, describe why; include as much detail as possible about the planned activities with projected timetables for each required partner's next steps

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STAT Responsibilities - MOUs and Plans

- Monitor specific progress points in MOU negotiations
 - Convene meeting of all partners
 - Assure timely discussion of annual budget
- Assure timely submission of reports/required documents
- Intervene when cost sharing negotiations get bogged down
- Support 30-day State-level remediation efforts to prevent local areas from impasse
- Monitor progress on local and regional plan submissions
- Respond to technical assistance (TA) requests
- Identify the need for and initiate TA for regions/local areas
- Notify the Interagency Work Group significant issues requiring State-level attention or action

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Questions?

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Next Steps

1. Governor's Guidelines – Revision 2 issued mid-December
2. Revised Regional and Local Planning Guide issued by the end of December
3. STAT in-person training **10 a.m. to 3 p.m. Tuesday, January 10**, at Heartland Community College
 - Training on STAT protocols and guidelines
 - Team building
 - Case studies and practice exercises

Register here: <http://icsps.illinoisstate.edu/machform/view.php?id=45832>

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Resources

<https://www.illinoisworknet.com/wioaimplementation>

WIOA Implementation Portal

“Working Groups” (password-protected)

“Documents & Updates” (public)

“Regional Planning Material” (public)

<https://apps.il-work-net.com/WIOAPolicy/Policy/Home>

WIOA ePolicy Manual

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