

WIOA Governance

Key Roles and Responsibilities

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| Roles and Responsibilities | Citations | Governor | State WDB | State Agency/ Official | Chief Elected Official (CEO) | Local WDB | Local Fiscal Agent | Required One- Stop Partners | One-Stop Operator |
|---|--|-----------------|------------------|-----------------------------------|---|------------------|-------------------------------|--|------------------------------|
| Develop, implement, and modify a 4-year state plan | § 676.105 (b) § 676.130 (c) § 676.135 (a) § 676.143 (b) § 676.145 § 679.130 (a) | X | C | C | | | | | |
| Develop and issue guidance regarding One-Stop infrastructure funding | § 678.705 | X | C | | C | C | | | |
| Review statewide policies, programs, and recommendations for the comprehensive and streamlined delivery of services | § 679.130 (b) | X | C | | | | | | |
| Identify barriers and means for removing them to better coordinate, align, and avoid duplication | § 679.130 (c)(1) | X | C | | | | | | |
| Develop strategies to support career pathways | § 679.130 (c)(2) | X | C | | | | | | |
| Develop strategies to provide outreach and improved access for individuals and employers | § 679.130 (c)(3) | X | C | | | | | | |
| Develop and expand strategies to meet the needs of employers, workers, and job seekers particularly through industry or sector partnerships | § 679.130 (c)(4) | X | C | | | | | | |
| Identify regions, including planning regions | § 679.130 (c)(5) | X | C | | X | X | | | |
| Provide assistance to local areas to develop and continuously improve the One-Stop delivery | § 679.130 (c)(6) | X | C | | | | | | |
| Develop strategies to support staff training | § 679.130 (c)(7) | X | C | | | | | | |
| Develop and update a comprehensive State performance and accountability measures | § 679.130 (d) | X | C | | | | | | |
| Identify and disseminate information on best practices | § 679.130 (e) | X | C | | | | | | |
| Develop and review statewide policies affecting the coordination of services | § 679.130 (f) | X | C | | | | | | |
| Develop strategies for technological improvements to facilitate access to, and improve the quality of services and activities | § 679.130 (g) | X | C | | | | | | |
| Develop strategies for aligning technology and data systems across one-stop partner programs | § 679.130 (h) | X | C | | | | | | |
| Develop allocation formulas for the distribution of funds for employment and training activities for adults and youth to local | § 679.130 (i) § 683.120 | X | C | | C | C | | | |
| Preparations of the Annual Reports | § 679.130 (j) | X | C | | | | | | |
| Develop a statewide workforce and labor market information system | § 679.130 (k) § 679.370 (c)(2) | X | C | | | X | | | |

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| Develop other policies as may promote statewide objectives and enhance performance | § 679.130 (l) | X | C | | | | | | |
| Develop a policy for designation of local areas | § 679.230 | X | C | | C | C | | | |
| Establishes criteria, information requirements, and procedures governing the eligibility of training providers and programs | § 680.430 (a) § 680.450 (c) | X | C | | | | | | |
| Sign a grant agreement, including a statement assuring compliance with the Wagner-Peyser Act and all applicable rules and regulations | § 652.400 (b) | X | | | | | | | |
| [May] designate a State agency (or appropriate State entity) to assist in carrying out the performance reporting requirements | § 677.175 (c) | X | | | | | | | |
| [May] apply additional performance indicators to local areas | § 677.205 (b) | X | | | | | | | |
| Reach agreement on local negotiated levels of performance based on a negotiations process before the start of a program year with the use of the objective statistical model | § 677.210 (c) § 677.220 (a)(1)(i) § 679.370 (j) | X | | | X | X | | | |
| Develop and disseminate the performance negotiations process | § 677.210 (d) | X | | | | | | | |
| [May] provide incentive grants, if so determined, to local areas for performance on the primary indicators of performance | § 677.215 (a) | X | | | | | | | |
| [May] use non-Federal funds to create incentives for the Local WDBs to implement pay-for performance contract strategies | § 677.215 (b) | X | | | | | | | |
| Provide or make a request for technical assistance to a local area that fails to meet the agreed upon adjusted levels of performance | § 677.220 (a) | X | | | | | | | |
| Take corrective actions if a local area fails to meet the adjusted levels of performance agreed to for the same primary indicators of performance for the same core program authorized under WIOA title I for a third consecutive program year | § 677.220 (b) | X | | | | | | | |
| Designate one or more State agencies to assist in overseeing Eligible Training Provider (ETP) performance and facilitating the production and dissemination of ETP performance reports | § 677.230 (e) | X | | | | | | | |
| Facilitate data matches between Eligible Training Provider (ETP) records and Unemployment Insurance (UI) wage data in order to produce the report | § 677.230 (e)(1) | X | | Designated Agency | | | | | |
| Create and disseminate the WIOA performance reports | § 677.230 (e)(2) | X | | Designated Agency | | | | | |
| Coordinate the dissemination of the performance reports with the ETP list and the information required to accompany the list | § 677.230 (e)(3) | X | | Designated Agency | | | | | |
| [May] determine TANF will not be a required partner | § 678.405(b) | X | | | | | | | |
| [May] approve the Local WDB to be the One-Stop Operator | § 678.600 (c)(6) § 679.410 (a) | X | | | X | | | | |
| [May] select a Local WDB as a One-Stop Operator through sole source procurement | § 678.610 (d) | X | | | X | | | | |

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| If applicable, approve the conflict of interest policies and procedures for a Local WDB to act as an One-Stop Operator | § 678.610 (d) | X | | | | | | | |
| If applicable, apply the State funding mechanism if a consensus agreement for local One-Stop partner contributions is not reached | § 678.730 - 738 | X | | | C | C | | X | |
| Establish the State WDB, appoint members, select a chairperson, and establish by-laws | § 679.110 (a), (c), and (d) | X | | | | | | | |
| [May] convey voting privileges to non-required members on the State WDB | § 679.110 (g) | X | | | | | | | |
| Assign local areas to a region | § 679.210 (a) | X | | | | | | | |
| Develop a policy and process for identifying regions | § 679.210 (b) | X | | | C | C | | | |
| Designate local areas | § 679.220 (b) | X | | | | | | | |
| Certify the Local WDB every 2 years | § 679.310 (a) § 679.350 | X | | | | | | | |
| Establish criteria for the CEO to select members of the Local WDB | § 679.320 (a) | X | | | | | | | |
| Determine whether or not a Local WDB may act as a provider of career services | § 679.410 (b) § 680.160 | X | | | X | | | | |
| Determine whether or not a Local WDB may receive a waiver to provide training services | § 679.410 (c) | X | | | | | | | |
| Establish and disseminate a policy for the submission of local and regional plans | § 679.500 (c) § 679.540 (b) | X | | | | | | | |
| Review regional and local plans | § 679.520 § 679.570 | X | | | | | | | |
| Establish procedures governing the modification of regional plans. | § 679.530 § 679.580 | X | | | | | | | |
| Request a waiver of statutory or regulatory requirements under WIOA or W-P | § 679.620 (b) | X | | | C | | | | |
| [May] establish policies and procedures for determining dislocated worker eligibility | § 680.130 (b) | X | | | | X | | | |
| Determine the eligibility of training providers and programs | § 680.430 (b) | X | | Designated Agency | | | | | |
| [May] Establish performance criteria work-based training providers must meet to receive funds | § 680.530 (b) | X | | | | | | | |
| [May] increase the reimbursement rate for OJT contracts | § 680.730 | X | | | | X | | | |
| Develop a State monitoring system and monitor Local WDBs and regions annually | § 683.400 (c)(2) | X | | | | | | | |
| Enter into good-faith negotiations | § 678.510 (a) | C Only if requested | C Only if requested | C Only if requested | X | X | | X | |
| Work collaboratively to establish and maintain the One-Stop delivery system, including joint funding | § 678.420 (b)(2) | | X | C | | X | | X | |
| Disclose any potential conflicts of interest arising from the relationships of the operators with particular training service providers or other service providers | § 678.600 (e)(1) | | X | | | X | | | X |

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| Ensure practices <i>ARE NOT</i> established that create disincentives to providing services to individuals with barriers to employment who may require longer- term career and training services | § 678.600 (e)(2) | | X | | | X | | | X |
| Comply with Federal regulations and procurement policies relating to the calculation and use of profits | § 678.600 (e)(3) | | X | | | X | | | X |
| Establish objective criteria and procedures for Local WDBs to use when certifying One-Stops | § 678.800 (a) | | X | | C | C | | | |
| Review and update the criteria for certifying One-Stops every 2 years as part of the review and modification of State plans | § 678.800 (a)(1) | | X | | C | C | | | |
| Ensure compliance with Sunshine Act provisions | § 679.140 § 679.390 | | X | | | X | | | |
| Carry out the roles of the Local WDB (Single-Area State) | § 679.310 (f) | | X | | | | | | |
| [May] impose limits on ITAs, such as limitations on the dollar amount and/or duration (must be described in the State or Local Plan, respectively) | § 680.310 (a) | | X | | | X | | | |
| Establish a policy defining "unable to compute or solve problems, or read, write, or speak English at a level necessary to function on the job, in the individual's family, or in society." | § 681.290 (a) | | X | | | X | | | |
| [May] provide guidance to State merit staff employees regarding Wagner-Peyser Act labor exchange services | § 652.216 § 678.630 | | | | | | | | X |
| Submit a State annual performance report | § 677.160 (a) | | | The State | | | | | |
| [May] establish additional indicators of performance | § 677.165 | | | The State | | | | | |
| Use quarterly wage record information in measuring a State's performance on the primary indicators of performance | § 677.175 (a)(1) | | | The State | | | | | |
| Make performance reports available to the public annually | § 677.205 (c) | | | The State | | | | | |
| Establish the threshold for failure to meet adjusted levels of performance for a local area | § 677.220 (a)(1) | | | The State | | | | | |
| [May] establish other service hours for a comprehensive One-Stop at other times to accommodate the schedules of individuals who work on regular business days | § 678.305 (c) | | | | | X | | | |
| Examine lease agreements and property holdings throughout the One-Stop delivery system in order to use property in an efficient and effective way | § 678.310 (c) | | | States | | C | | | |
| Approve other entities that carry out a workforce development program to serve as additional partners in the One-Stop delivery system | § 678.410 (a) | | | | X | X | | | |
| Enter into (and sign) an MOU | § 678.420 (c) § 678.500 | | | | C | X | | X | |

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| Provide representation on the State and Local WDBs as required and participate in board committees as needed | § 678.420 (e) | | | | | | | X | |
| Establish in the MOU how infrastructure costs and other shared costs of the One-Stops will be funded | § 678.510 (b) § 678.715 (c) | | | | | X | | X | |
| Report to the State WDB, Governor, and relevant State agency when MOU negotiations with One-Stop partners have reached an impasse | § 678.510 (c) | | | | | X | | | |
| Select the One-Stop operator through a competitive process at least once every 4 years | § 678.605 (a) § 679.370 (l)(4) | | | | | X | | | |
| If applicable, establish sufficient conflict of interest policies and procedures if the Local WDB will act as an One-Stop Operator | § 678.610 (d) | | | | | X | | | |
| Clearly articulate the role of the one-stop operator | § 678.620 (a) | | | | | X | | | |
| [May] establish additional roles of the One-Stop Operator | § 678.620 (a) | | | | | X | | | |
| Coordinate service delivery of required partners and service providers | § 678.620 (a) | | | | | | | | X |
| [May] coordinating service providers across the one-stop delivery system, be the primary provider of services within the center, provide some of the services within the center, or coordinate service delivery in a multi-center area | § 678.620 (a) | | | | | | | | X |
| Agree to amounts and methods of calculating amounts each One-Stop partner will contribute for One-Stop infrastructure funding, include the infrastructure funding terms in the MOU, and sign the MOU | § 678.715 (a) § 679.370 (k) | | | | X | X | | X | |
| [May] establish additional criteria, or set higher standards for service coordination, than those set by the State | § 678.800 (d) | | | | | X | | | |
| Review and update the One-Stop Certification criteria every 2 years as part of the local plan update process | § 678.800 (d) | | | | | X | | | |
| Certify the effectiveness, physical and programmatic accessibility, and continuous improvement of One-Stop center and the One-Stop systems at least once every 3 years | § 678.800 (d) § 679.370 (p), (q) | | | | | X | | | |
| Sit on the State WDB (two or more statewide collectively representing both cities and counties) | § 679.110 (b)(3)(iii)(A)(2) | | | | X | | | | |
| Appoint the Local WDB in accordance with State criteria | § 679.310 (a) § 679.350 | | | | X | | | | |
| Set policy for the portion of the statewide workforce development system within the local area and consistent with State policies | § 679.310 (b) | | | | C | X | | | |
| [May] enter into an agreement that describes the respective roles and responsibilities of the parties | § 679.310 (c) | | | | X | X | | | |
| Develop, implement, and modify a 4-year local plan | § 679.310 (d) § 679.370 (a) § 679.550 | | | | C | X | | | |

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| If the local area includes more than one unit of government, must specify CEO liability across individual jurisdictions in a written agreement and [may] also include a description of CEO responsibilities. | § 679.310 (e) § 683.719 (b)(2) | | | | X | | | | |
| Establish by-laws, consistent with State policy for Local WDB membership | § 679.310 (g) | | | | X | | | | |
| Select Local WDB members and establish a formal nomination and appointment process | § 679.320 (a), (g) | | | | X | | | | |
| Elect a chairperson from among the business representatives on the WDB | § 679.330 | | | | | X | | | |
| [May] establish standing committees | § 679.360 (a) | | | | | X | | | |
| If applicable, develop, submit, and modify a regional plan | § 679.370 (a) § 679.510 § 679.530 (b) | | | | | X | | | |
| Conduct workforce research and regional labor market analysis | § 679.370 (c) | | | | | X | | | |
| Convene local workforce development system stakeholders to assist in the development of the local plan and in identifying non-Federal expertise and resources to leverage support activities | § 679.370 (d) | | | | | X | | | |
| Promote business representation on the local WDB | § 679.370 (e)(1) | | | | | X | | | |
| Develop effective linkages with employers that increases employer utilization of the system | § 679.370 (e)(2) | | | | | X | | | |
| Ensure that workforce investment activities meet employers needs and support economic growth | § 679.370 (e)(3) | | | | | X | | | |
| Develop and implement strategies that meet employers and workers employment and skill needs | § 679.370 (e)(4) | | | | | X | | | |
| Lead efforts to develop and implement career pathways with representatives of secondary and postsecondary education programs | § 679.370 (f) | | | | | X | | | |
| Lead efforts to identify and promote proven and promising strategies and initiatives for meeting the needs of employers, workers and job seekers | § 679.370 (g) | | | | | X | | | |
| Use technology to facilitate connections among intake and case management information systems | § 679.370 (h)(1) | | | | | X | | | |
| Use technology to facilitate access to services provided through the One-Stop delivery system | § 679.370 (h)(2) | | | | | X | | | |
| Use technology to meet the needs of individuals with barriers to employment | § 679.370 (h)(3) | | | | | X | | | |
| Use technology to leverage resources and capacity within the local workforce development system | § 679.370 (h)(4) | | | | | X | | | |
| Conduct oversight of youth, adult, dislocated worker activities, and entire One-Stop delivery system in the local area | § 679.370 (i)(1) | | | | C | X | | | |
| Ensure the appropriate use and management of funds | § 679.370 (i)(2) | | | | C | X | | | |

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| Ensure the appropriate use, management, and investment of funds to maximize performance outcomes | § 679.370 (i)(3) | | | | C | X | | | |
| Select, and where appropriate terminate, providers | § 679.370 (l) | | | | | X | | | |
| Ensure there are sufficient numbers and types of providers of career services and training services | § 679.370 (m) | | | The State | | X | | | |
| Coordinate activities with education and training providers | § 679.370 (n) | | | | | X | | | |
| Review applications to provide adult education and literacy activities | § 679.370 (n)(1) | | | | | X | | | |
| Make recommendations to the eligible adult education and literacy agency to promote alignment with the local plan | § 679.370 (n)(2) | | | | | X | | | |
| Replicate and implement cooperative agreements to enhance the provision of education and training services | § 679.370 (n)(3) | | | | | X | | | |
| Develop a budget for the activities of the Local WDB | § 679.370 (o) | | | | C | X | | | |
| Assess, on an annual basis, the physical and programmatic accessibility of all One-Stops | § 679.370 (p) | | | | | X | | | |
| Develop a procedure for approving waivers for a Local WDB to provide training services | § 679.410 (c)(1) | | | The State | | | | | |
| [May] designate an entity to serve as a local fiscal agent and ensure this agent has clearly defined roles and responsibilities | § 679.420 (a) | | | | X | | | | |
| Receive Funds | § 679.420 (b)(1) | | | | | | X | | |
| Ensure sustained fiscal integrity and accountability | § 679.420 (b)(2) | | | | | | X | | |
| Respond to financial audits | § 679.420 (b)(3) | | | | | | X | | |
| Maintain proper accounting records and adequate documentation | § 679.420 (b)(4) | | | | | | X | | |
| Prepare financial reports | § 679.420 (b)(5) | | | | | | X | | |
| Provide technical assistance to subrecipients regarding fiscal issues | § 679.420 (b)(6) | | | | | | X | | |
| [May] procure contracts or obtain written agreements | § 679.420 (c)(1) | | | | | C | X | | |
| [May] conduct financial monitoring of service providers | § 679.420 (c)(2) | | | | | C | X | | |
| [May] ensure independent audit of all employment and training programs | § 679.420 (c)(3) | | | | | C | X | | |
| Identify the entity responsible for the disbursement of grant funds | § 679.560 (b)(14) | | | | X | | | | |
| Serve as the local grant recipient and is liable for WIOA grant funds allocated to the local area under WIOA secs. 128 and 133 | § 680.100 (b) § 683.710 (b)(1) | | | | X | | | | |
| Determine the appropriate mix of adult and dislocate worker services | § 680.140 (a) | | | | | X | | | |
| Determine when follow-up services must be provided to adults and dislocated workers | § 680.150 (c) | | | | | X | | | |
| [May] provide career services | § 680.160 | | | | | | | | X |

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| Determine documentation requirements for providing training services without first providing career services | § 680.220 (b) | | | | | X | | | |
| [May] require additional criteria and information from local training providers as criteria to become or remain eligible in that local area | § 680.430 (e)(1) | | | | | X | | | |
| Collect performance information and determine whether work-based training providers meet any established criteria | § 680.530 (c) | | | | | | | | X |
| Disseminate information identifying work-based training providers and programs that have met performance criteria | § 680.530 (d) | | | | | | | | X |
| Develop a policy for use of OJT contracts for eligible employed workers | § 680.710 | | | | | X | | | |
| Criteria for an employer to be eligible to receive local incumbent worker training | § 680.810 | | | | | X | | | |
| [May] establish limits on the provision of supportive services | § 680.920 | | | | | X | | | |
| [May] designate a standing youth committee | § 681.100 | | | | | X | | | |
| Carry out rapid response activities | § 682.310 (a) | | | The State | X | X | | | |
| With the Governor's approval, [may] transfer up to 100 percent of funds between adult and dislocated worker funding allocations | § 683.130 | | | | | X | | | |
| Submit quarterly financial reports | § 683.300 (c) | | | The State | | X | | | |
| When there is a change in the CEO(s), inform the new CEO(s), in a timely manner, of their responsibilities, liabilities and need to review and update any written agreements among the CEO(s). | § 683.710 (b)(3) | | | | | X | | | |
| | Lead: | 57 | 10 | 10 | 18 | 67 | 9 | 7 | 9 |
| | Coordinate: | 0 | 21 | 2 | 15 | 11 | 0 | 0 | 0 |

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