

## ATTACHMENT A

### ETA REGIONAL ADMINISTRATORS

January 2005

#### **REGION 1 – BOSTON/NEW YORK**

Douglas Small  
Regional Administrator  
U.S. Department of Labor/ETA  
JFK Federal Building  
Room E-350  
Boston, Massachusetts 02203  
(617) 788-0170  
FAX: 617-788-0101  
Small.Douglas@dol.gov

#### **REGION 3 – ATLANTA**

Helen Parker  
Regional Administrator  
U.S. Department of Labor/ETA  
Atlanta Federal Center Rm. 6M12  
61 Forsyth Street, S.W.  
Atlanta, Georgia 30303  
(404) 562-2092  
FAX: 404-562-2149  
parker.helen@dol.gov

#### **REGION 5 - CHICAGO/KANSAS CITY**

Byron Zuidema  
Regional Administrator  
U.S. Department of Labor/ETA  
230 S. Dearborn Street, Rm. 628  
Chicago, Illinois 60604  
(312) 596-5400  
FAX: 312-596-5401  
Zuidema.byron@dol.gov

#### **REGION 2 – PHILADELPHIA**

Lenita Jacobs-Simmons  
Regional Administrator  
U.S. Department of Labor/ETA  
The Curtis Center  
170 South Independence Mall West  
Suite 825 East  
Philadelphia, Pennsylvania 19106-3315  
(215) 861-5205  
FAX: 215-861-5260  
Jacobs-simmons.lenita@dol.gov

#### **REGION 4 - DALLAS/DENVER**

Joseph C. Juarez  
Regional Administrator  
U.S. Department of Labor/ETA  
Federal Building, Rm. 317  
525 Griffin Street  
Dallas, Texas 75202  
(214) 767-8263  
FAX: 214-767-5113  
Juarez.joseph@dol.gov

#### **REGION 6 -SANFANCISCO/SEATTLE**

Richard Trigg  
Regional Administrator  
U.S. Department of Labor/ETA  
71 Stevenson Street, Rm. 830  
San Francisco, California 94119-3767  
(415) 975-4610  
FAX: 415-975-4612  
trigg.richard@dol.gov

Name of WIA Title I Grant Recipient Agency:

**ATTACHMENT B  
PROGRAM ADMINISTRATION DESIGNEES AND PLAN SIGNATURES**

**Name of WIA Title I Grant Recipient Agency:**

Laura A. Fortman, Commissioner  
Maine Department of Labor  
Address: 19 Union Street  
State House Station 54  
Augusta, Maine 04333  
Telephone Number: 207-287-3787  
Facsimile Number: 207-287-5292  
E-mail Address: Laura.Fortman@maine.gov

**Name of State WIA Title I Administrative Agency (if different from the Grant Recipient):**

Larinda L. Meade, Director  
Bureau of Employment Services  
Address: 5 Beech Street  
State House Station 55  
Augusta, Maine 04333  
Telephone Number: 207-624-6390  
Facsimile Number: 207-624-6499  
E-mail Address: Larinda.Meade@maine.gov

**Name of WIA Title I Signatory Official:**

Laura A. Fortman, Commissioner  
Maine Department of Labor  
Address: 19 Union Street  
State House Station 54  
Augusta, Maine 04333  
Telephone Number: 207-287-3787  
Facsimile Number: 207-287-5292  
E-mail Address: Laura.Fortman@maine.gov

**Name of WIA Title I Liaison:**

Larinda L. Meade, Director  
Bureau of Employment Services  
Address: 5 Beech Street  
State House Station 55  
Augusta, Maine 04333  
Telephone Number: 207-624-6390

Facsimile Number: 207-624-6499  
E-mail Address: Larinda.Meade@maine.gov

**Name of Wagner-Peyser Act Grant Recipient/State Employment Security Agency:**

Larinda L. Meade, Director  
Bureau of Employment Services  
Address: 5 Beech Street  
State House Station 55  
Augusta, Maine 04333

Telephone Number: 207-624-6390  
Facsimile Number: 207-624-6499  
E-mail Address: Larinda.Meade@maine.gov

**Name and title of State Employment Security Administrator (Signatory Official):**

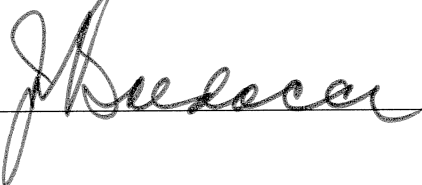
Laura A. Fortman, Commissioner  
Maine Department of Labor  
Address: 19 Union Street  
State House Station 54  
Augusta, Maine 04333

Telephone Number: 207-287-3787  
Facsimile Number: 207-287-5292  
E-mail Address: Laura.Fortman@maine.gov

As the Governor, I certify that for the State/Commonwealth of Maine, the agencies and officials designated above have been duly designated to represent the State/Commonwealth in the capacities indicated for the Workforce Investment Act, Title I, and Wagner-Peyser Act grant programs. Subsequent changes in the designation of officials will be provided to the U.S. Department of Labor as such changes occur.

I further certify that we will operate our Workforce Investment Act and Wagner-Peyser Act programs in accordance with this Plan and the assurances herein.

Typed Name of Governor: **John Elias Baldacci**

Signature of Governor  Date 5/27/05

**"Maine people are our single greatest natural resource. We must invest in our people to ensure that our state has the healthy, educated workforce it needs to build a healthy economy."**

*- Governor John Baldacci*

## Maine's Workforce Investment Act Strategic Plan – Modification

July 1, 2005 – June 30, 2007



## State Plan Table Contents

	Page
i Introduction – Executive Summary .....	1
ii Plan Development Process .....	3
I. State Vision .....	5
II. State Workforce Investment Priorities .....	7
III. State Governance Structure .....	18
A. Organization of state agencies in relation to Governor .....	18
B. State Workforce Investment Board (WIB) .....	19
C. Structure/Process for state agencies and state board to collaborate and communicate .....	24
IV. Economic and Labor Market Analysis .....	27
V. Overarching State Strategies .....	58
VI. Major State Policies and Requirements .....	69
VII. Integration of One-Stop Service Delivery .....	78
VIII. Administration and Oversight of Local Workforce Investment System .....	81
IX. Service Delivery .....	119
A. One-Stop Service Delivery Strategic.....	119
B. Workforce Information .....	126
C. Adults and Dislocated Workers .....	132
D. Rapid Response .....	161
E. Youth.....	171

F. Business Services.....	175
G. Innovative Service Delivery Strategies .....	180
H. Strategies for Faith-based and Community-based Organizations .....	184
X. State Administration .....	186
XI. Assurances .....	201

**Plan Appendices**

- I. Organizational Chart (State)
- II. Maine Jobs Council Organizational Structure Chart
- III. Seamless/Integrated Service Model (a-b-c)
- IV. Grievance Procedure
- V. ITA Policy and Guidelines
- VI. Education, Technology and Future of Maine’s Economy Conference  
Action Plan
- VII. Sample EAD Contract
- VIII. Faith-Based and CBO Outreach Plan
- IX. Enterprise Computing and Data Warehouse (a-b)
- X. WIA Performance Negotiations
- XI. Preparation for Reporting Common Measures

## Introduction

The document that constitutes the WIA Five-Year Strategic Plan called the "Maine Workforce Investment Act (WIA) Planning Guidelines" will expire on June 30, 2005. The Maine Department of Labor's (MDOL) Bureau of Employment Services (BES) (herein referred to as MDOL), in consultation the Maine Jobs Council (MJC), Local Workforce Investment Boards (LWIB), and internal and external MDOL partners has prepared a revision to the WIA Five-Year Strategic Plan in order to guide the system toward the delivery of workforce services through the next two years. The Workforce Investment Act Strategic Plan Modification covers the two-year period effective July 1, 2005 through June 30, 2007.

With the existing WIA plan expiration approaching, we welcome the opportunity to refocus our efforts toward the workforce system goals and objectives to be met in the next few years. A combination of a rapidly changing economic landscape, a newly elected Governor, and uncertainty about the future of WIA all contributed to early efforts to realign the workforce development agenda with needs for Maine workers and business. New ideas about Maine's workforce and economic development future began to take shape almost immediately following the election of Governor John E. Baldacci. In his inaugural address on January 8, 2003, Governor Baldacci unveiled a comprehensive Economic Development Strategy for Maine – a strategy that includes a strong workforce component. The Governor pledged to increase economic opportunity for the people of Maine as a top priority.

The trends in our state - changing demographics, slowed workforce growth, the aging of our workforce, rapid advancements in technology and globalization - all contribute to the opportunities and challenges that need to be tackled. This strategic plan supports building a more collaborative workforce investment system for the State of Maine.

Over the past several years, the collective efforts of labor, economic development, education and many other state, regional and local community based organizations have helped diminish the impact of a sluggish economic growth and instability. Our strategic direction is aligned with the national strategic direction, and is evidenced by:

Support for a strong statewide network of CareerCenters diligently focused on promoting a seamless and integrated comprehensive service delivery that includes required WIA partners and others committed to meeting business and workforce demands;

- Being a leader for demand-driven workforce systems reflected in our commitment to business and industry through the Governor's Training Initiative, Apprenticeship, multiple industry association partnerships, the Business Visitation Program and workforce development certification of CareerCenter staff;
- Developing several High Growth Initiatives to promote the economic strategies for Maine by focusing on sector approaches in the areas of tourism, marine-related trade, and radio frequency identification technologies (RFID).
- The four fundamental economic drivers of the Governor's economic strategy: (1) the creation of a fair and stable business environment to attract investment to Maine; (2) investment in people; (3) a clear focus on key sectors of the state's economy; and (4) building infrastructure.
- Increased business development/attraction and encouragement of entrepreneurship through higher education, so that specific skills may be taught and a culture of entrepreneurship created. The CareerCenters have become a gateway for many new self-employment training initiatives.
- Investing in resource-rich CareerCenter facilities that are professionally staffed, and responsive to every customers' needs by offering both choice and convenience to job seekers and employers;
- The development of strategic alliances that support Maine's emerging young workforce by curbing the out migration of the State's youth, and bolstering the "creative economy" initiative to promote entrepreneurship and education opportunities for all Maine people.
- The establishment of strong State, regional and community-based partnerships that bind together to serve thousands of Maine workers who traditionally are underrepresented in education and workforce programs. These groups include people with disabilities, women, and limited English speaking citizens.
- The development of a coordinated approach to Maine's goal of increasing the number of residents who have post-secondary degrees. Lifelong Learning Accounts, a dedicated Maine Training Fund, Worker Certification Programs are all coordinated initiatives toward this goal.



This Two-Year WIA Strategic Plan modification is intended to prepare Maine for pending federal workforce program reform and is crucial for several reasons:

1. To articulate updated goals, objectives, and strategies that meet the current and emerging needs of job seekers and businesses;
2. To coincide with a reconstituted Maine Jobs Council (MJC) and the Council's relationship to the Governor's Workforce Cabinet;
3. To further clarify the established roles and responsibilities among the MJC, four Local Workforce Boards and the MDOL program providers both within the CareerCenter system and the local community; and,
4. To position Maine to be responsive to the WIA Reauthorization proposals that will likely shape the workforce delivery system in the near future.

### **Plan Development Process**

The process for the WIA Strategic Plan Modification began in the early Fall of 2004 and continued through late March 2005. The planning process was designed to engage many of the key stakeholders who support an integrated statewide workforce system and who became directly involved in deciding the direction that the WIA Strategic Plan Modification would follow. We engaged in a process that encouraged leaders and policy makers at all levels to explicitly look for ways to align the key WIA goals and objectives with the economic and workforce vision for Maine. These discussions eventually lead to the development of the specific goals, objectives and strategies included in this plan.

To ensure that the WIA Strategic Plan Modification had broad based input and support, the MJC consulted with numerous stakeholders, including the Local Workforce Boards, and key WIA partners and collaborators.<sup>1</sup> The Plan modification process also solicited local level service provider input from the CareerCenter management team, the Maine Equal Justice Project, local Adult Education and several other community-

---

<sup>1</sup> The WIA Strategic Plan development team included the Bureau of Unemployment Compensation, Division of Labor Market Services, Bureau of Rehabilitation Services, Departments of Education and Economic and Community Development, Aroostook County Action Program, Coastal Economic Development Corporation, Western Maine Community Action, Training Resource Center and the Training and Development Corporation.

based organizations. Ultimately the Plan came to reflect the interests of a diverse group of stakeholders who sought to align the state's economic vision with the needs of the workforce and the business community.

In December 2004, and January 2005, numerous forums were held to engage all partners in the workforce agenda. Discussion focused on the opportunities and challenges facing the State's workforce and economic development systems to assist all workers with the opportunity to obtain good paying jobs and on the needs of businesses for having a skilled and productive workforce. Through these discussions, thoughtful consideration was given to the capacity of the state's CareerCenter System to respond effectively to challenges of providing services to workers and businesses.

In January 2005, the newly constituted MJC adopted the following six WIA Strategic Plan Modification goals for Program Years 2005 -2006:

1. Position **low-income individuals, unemployed and entry- level incumbent** workers to more effectively participate in the workforce and benefit from the economy.
2. Promote employment and skills training opportunities that provide *livable* wages, leading to worker **economic security**.
3. Build a stronger **demand-side involvement** through business and industry participation as partners, collaborators, advisors and investors in workforce hiring and training.
4. Provide system support for workforce development through **professional practices and capacity building** within the CareerCenters.
5. Provide a focus on **program alignment** between CareerCenter and community partners to **increase collaboration** through greater levels of **service integration**.
6. Insure that CareerCenters and community partners deliver relevant services that are **results driven** and include a high level of **accountability**.

- I. Describe the Governor's vision for a statewide workforce investment system. Provide a summary articulating the Governor's vision for utilizing the resources of the public workforce system in support of the State's economic development that address the issues and questions below. States are encouraged to attach more detailed documents to expand upon any aspect of the summary response if available. (§112(a) and (b)(4)(A-C).)

*"We must take Maine to the next economic level. We need good jobs with benefits, an educated work force, and stability for businesses, both large and small. I ran for Governor because I want my son Jack and your children to be able to find opportunity here in Maine. We need to move beyond Commissions and studies; it is time for action.*

*To achieve this vision, I believe we must build a strong foundation for our economic future. This foundation will have four cornerstones: investing in human capital; building a seamless infrastructure; investing in key sectors of Maine' economy; and creating a stable business environment."*

**Governor's Vision for Meeting Maine's Economic Needs**  
John Elias Baldacci, Governor, January 8, 2003

There are four key components to realizing this vision - the Workforce Cabinet, the Maine Jobs Council, the four Local Workforce Boards and the CareerCenter System. Each of these important entities has a specific role to play in supporting the state's broad economic and workforce development vision and mission.

The **Workforce Cabinet**, appointed by Governor Baldacci, is comprised of seven major state departments and agencies to provide a forum in which to convene businesses, economic development agencies, educational institutions, workforce development service providers, and other community leaders to collaboratively address and improve the broad range of workforce issues facing Maine and its communities. The Cabinet's charge is to promote state agency coordination, provide a catalyst for

action, and foster changes in responsiveness of economic development, education and workforce providers to the needs of businesses.

The **Maine Jobs Council** is formally charged by the Governor to oversee and guide statewide workforce investment activities. Through this WIA Strategic Plan modification, the Council has embraced the Governor's economic vision and the workforce development challenges to ensure we make the right investments in workers and business. The MJC is charged with ensuring that this vision is carried out through a strong, effective and integrated workforce services system.

Indeed, the central leadership role of the MJC is to both ensure that a comprehensive and inclusive system is in place to promote and support the workforce development activities proscribed under the WIA and to promote the economic vision for Maine. The Council acts as an advisor to the Governor on a variety of workforce policies and initiatives, and has a primary responsibility to convene and facilitate stakeholders to collaborate in the process. The Council believes that skilled workers are essential to economic growth, and Maine employers are essential partners, collaborators and advisors. The MJC works alongside Maine's four Workforce Investment Boards, to carry out a mission to **create a world-class workforce development system in Maine.**

The important role of Maine's four Local Workforce Boards is realized through their many contributions toward developing regional and community based partnerships that aid job seekers and business. The Local Boards primary mission is **to promote the CareerCenter services to business, and generate resources to fund a variety of industry sector initiatives that provide needed training funds for unemployed and underemployed workers.**

The MJC and Local Workforce Boards provide the leadership through the development of resources and policies that are necessary to carry out the provision of effective workforce services. To that end, our workforce "system" at its core is designed around service delivery points. Maine's CareerCenters are an integral part of the evolving workforce system. The mission of the CareerCenters is **to provide service to the job seeker and business in a manner that joins a variety of workforce partners and programs into a single delivery point.**

## II. State Workforce Investment Priorities

### A. Key Economic and Workforce Investment Priorities

As indicated previously, Governor Baldacci has set the course for a comprehensive **Economic Development Strategy for Maine** – a strategy that includes a strong workforce component. The Governor is committed to increasing economic opportunity for the people of Maine. The cornerstone of the strategy acknowledges that economic growth occurs through business retention, business expansion, business creation and business attraction. To achieve each, the Governor has stated that Maine’s economic strategy must embrace four fundamental economic drivers: (1) the creation of a fair and stable business environment to attract investment to Maine; (2) investment in people; (3) a clear focus on key sectors of the state’s economy; and (4) building infrastructure.

The key highlights of the Governor’s economic and workforce development strategy include:

- **A Stable Business Environment**

To stimulate the creation of a fair and stable business environment to attract and retain business the Governor has established short-term tax advantages associated with the creation of **Pine Tree Zones** throughout the State. The **Pine Tree Zone** initiative provides a significant competitive advantage to designated economic development areas where little or no development activity exists. Within the **Pine Tree Zones**, taxes are temporarily reduced or eliminated for businesses that expand or locate, and create new jobs in high unemployment areas.

#### Investment in People

One of the most important measures of economic development in Maine is the educational attainment of its workforce and the opportunities that arise from the growing economy. Maine has a strong and comprehensive University of Maine system and a new community college system that, together, provide an extensive array of educational opportunities to traditional and non-traditional students. Business and commercial entities can find educational institutions in every region of the state, and with the advancement of distance learning programs; workers and the general public now have wide-scale access to education.

- ***A Focus on Key Sectors of Maine's Economy***

The Governor outlined an economic strategy that has a clear focus on mature and emerging industries in the state. Among the mature industries, the strategy is to focus on forest products, marine related business, precision and niche manufacturing and tourism. The emerging industry sectors include, biotech and biomedical research, financial services and the growth of radio frequency identification technologies (RFID).

- ***Building Infrastructure***

Among the many options to support economic growth and workforce development the Governor's plan encourages stronger investment in infrastructure. The highlights of this plan include:

- A. Reliance on a local/regional approach to economic development, with state coordination and resources;
- B. Charge the ***One Maine*** Task Force to develop strategies and recommendations that provide regional assistance without duplication and increased coordination;
- C. Streamline business permitting, and provide one-stop shopping for businesses to access state, federal and non-profit services;
- D. In rural areas, develop transportation and telecommunications infrastructure;
- E. In urban areas, partner with economic development to manage sprawl; and
- F. Pre-permit and approve industrial sites across the state so that they are ready to go when needed.

**B. Given that a skilled workforce is a key to the economic success of every business, what is the Governor's vision for maximizing and leveraging the broad array of Federal and State resources available for workforce investment flowing through the State's cabinet agencies and/or education agencies in order to ensure a skilled workforce for the State's business and industry? (§112(a) and (b)(4)(A-C).)**

This WIA Strategic Plan Modification recognizes at least three significant developments that are supporting the Governor's vision to leverage and maximize the resources available to support workforce development. These initiatives include the formation of the Workforce Cabinet, formation of new

strategic alliances to curb the out-migration of the State's youth, (**REALIZE! Maine**), and the (**Creative Economy**) initiative to promote entrepreneurship and education.

1. **Workforce Cabinet**

In November 2003, Governor Baldacci formed a Workforce Cabinet, comprised of seven major state departments and agencies to provide a forum in which to convene businesses, economic development agencies, educational institutions, workforce development service providers, and other community leaders to collaboratively address and improve the broad range of workforce issues facing Maine and its communities.

2. **REALIZE! Maine**



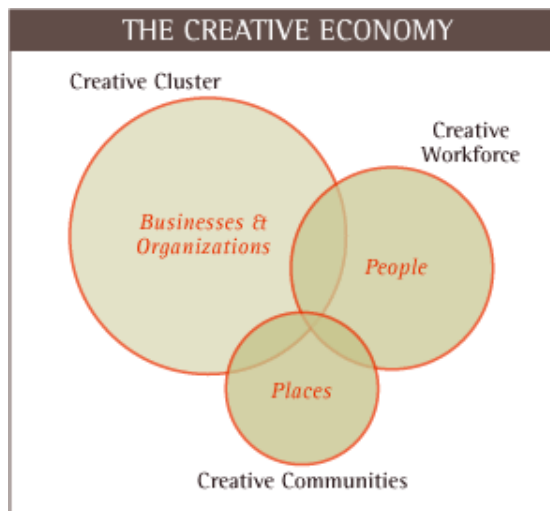
In May 2003, Governor Baldacci announced **REALIZE! Maine**, a statewide initiative dedicated to understanding the challenges of migration, realizing opportunities before us and creating sustainable solutions to make Maine a viable, preferred option for young adults. The Governor has raised concerns about the changes in Maine's demographics and pledged his commitment to pull together Maine's young adults to learn more about the conditions leading to migration of this population.

**REALIZE! Maine** is a direct result of his pledge.

**REALIZE! Maine** includes many opportunities to engage citizens most affected by migration — young adults, age 20-34, from a variety of backgrounds — in a dynamic conversation about the future of Maine. **REALIZE! Maine** is about understanding the challenges of migration, realizing opportunities before us, and creating sustainable solutions to make Maine a viable, preferred option for youth.

### 3. *Creative Economy Initiative*

In May 2004, the Governor launched the **Creative Economy** initiative with a two-day conference in Lewiston, Maine. The purpose of the **Creative Economy** is to help inform the general public and present the creative economy concept and case studies, develop strategies and policies to act on opportunities to use the creative economy approach in our community and economic development efforts, and to adapt current urban creative economy model findings to a rural state like Maine.



"The creative economy is a catalyst for the creation of new jobs in Maine communities. People who create jobs want to live in places that have a diverse cultural mix and an innovative and educated work force. Maine will be competitive economically if we continue to capitalize on the synergies between entrepreneurship, education, the arts, and quality of life."

Governor John Elias Baldacci

The anticipated outcomes of the **Creative Economy** include:

- Acknowledgement in the business and economic development community that the Creative Economy is a meaningful sector worthy of promoting;
- Development of collaborative strategies and policies for pursuing Creative Economy initiatives in Maine's economic development efforts and programs; and
- Creation of a working group that will move Maine's Creative Economy initiative forward in terms of funding, planning, education, and implementation.



**C. Given the continuously changing skill needs that business and industry have as a result of innovation and new technology, what is the Governor's vision for ensuring a continuum of education and training opportunities that support a skilled workforce? (§112(a) and (b)(4)(A-C).)**

One of the key features of the Governor's Economic Vision is the investment in Maine people, which will be accomplished with investments in the education and skill level of the state's workforce. The most important measure of economic development in Maine is the educational attainment of its people and the opportunities that arise from citizen participation in the economy of tomorrow. Educating Maine youth is the cornerstone of the plan for prosperity. Maine's *Learning Results* serve as the focal point for state and local efforts to improve student learning (Pre K-12), define professional development needs, update local curriculum and instructional practices, and assess student achievement. Creating an educational system that moves students from K-16 and beyond is "a plan in the making". The objective is to have 60% of our high school seniors go on to college by 2006, and 70% by 2010. In April 2005, the Governor called for improvements of the Maine Learning Results to ensure that, upon graduation, all Maine students are effectively prepared for college, work, and citizenship, which, today, are more compelling than in 1996 when the Learning Results were enacted.

Maine has a strong University of Maine system and a new Community College system that together provide an extensive array of educational opportunities to traditional and non-traditional students. Business and commercial entities have access to educational institutions in every region of the state. The plan calls for increasing access to one of the nation's already most advanced distance learning programs for workers and the general public.

Our university and community college will make it possible for Maine to meet the goal of having 30% of our workforce with a college degree. Beyond the raw 30% figure, statewide leadership is working to ensure that we focus our efforts in training and education on the areas that hold the greatest opportunity for growth. The state's education system has been charged with creating "Centers of Excellence" for the skills required for targeted industries. The Governor's Workforce Cabinet will play a key role in this effort to shape our training initiatives.

As previously stated, the Governor has channeled our workforce and economic development efforts toward both mature industries and emerging industries.

**a). Mature industries:**

**Forest Products Industry**

Maine's economic health, traditional landscape, and the welfare of many communities are tied to the viability of the forest products industry. However, it is a mature industry, facing intense competition from abroad. To make Maine's forest products industry the national leader it once was, the forest product industry has been focused on the research and development of new technologies. Moreover, emphasis has been on the commercialization of these new technologies, with special attention to wood composites, the increased development of value added wood products and the continued investigation of by-product technologies. In March 2005, the Department of Conservation, Maine Forest Service and the Maine Technology Institute issued a report that outlined the challenges and strategies that impact the future of state's forest economy; *The Maine Future Forest Economy Project* to:

“(Identify) what is needed to maintain Maine’s existing wood using industries, to identify growth opportunities in existing and potential new wood using industries, and to identify what Maine State Government and the industry itself could do to improve the prospects for Maine’s forest products industries.”

**Marine Related Activities**

One of the hallmarks of Maine’s landscape is our magnificent coastline and a strong history of a thriving fishing and boat-building industry that has suffered from the effects of regulation, conservation and the economy. The state can resume this position again by targeting and coordinating our marine-related research. With a top-ten marine research institute and a multi-million dollar Federal investment currently underway at the University of Maine; the state has the potential to be an international hub for coldwater marine research and a leader in the Northeast in fisheries science. Efforts are underway to expand the state’s research capability in marine science by forming a research coalition made up of Maine's leading research institutions.

### **Precision and Niche Manufacturing**

The state has a long and honorable manufacturing tradition. With the dramatic changes in Maine's manufacturing economy losing its traditional base – textile, shoe, paper – efforts to be creative and flexible in developing the manufacturing jobs of the future are underway. New research and the development of cutting-edge technology for specialized and niche manufacturing will require a highly skilled workforce.

### **Tourism**

This traditional industry is vital to Maine's economic future. Already, tourism accounts for 15% of Maine's gross state product - compared to 5% for the nation, and 6% for the rest of New England. Tourism leverages our magnificent natural resources in a way that, for the most part, is environmentally friendly. As an economic development strategy, the state will continue to work with local agencies to promote different areas of Maine; work with our higher education institutions to provide degree programs in hospitality; and expand our marketing efforts, utilizing "single image" branding to promote our state. In January 2005, the University of Maine System Board of Trustees approved a new program that will provide educational, research, and outreach assistance to Maine's multi-billion dollar tourism industry.

In March 2005, Governor Baldacci unveiled a new economic initiative aimed at developing and expanding a range of tourism opportunities in Maine's rural communities. The Maine Nature Tourism Initiative involves tax incentive legislation designed to encourage new investment in outdoor recreation businesses. Under the proposed legislation known as the Pine Tree Recreation Zone Act, both new hotel or resort proposals, as well as existing sporting camps, may qualify for a number of tax incentives that would enable them to create new jobs and pump new dollars into rural economies that are seeking to diversify.

**b). Emerging Industries:**

**Biotech and Biomedical Research**

The groundwork in this important area is in place. Maine is already home to several leading biotech and biomedical research organizations. The state is currently seeing the components of a medical instrumentation "cluster" take shape; we must encourage this development.

Additionally, we have an excellent School of Engineering at the University of Maine that includes world-class research and development capabilities in digital information technology. We also have a strong tradition of manufacturing and the existence of a number of Maine companies in this field. With Jackson Labs, the Maine Technology Institute and the Maine Incubator program, we have the infrastructure to be competitive in biotech and biomedical product development.

The world of biotechnology is very competitive. To be successful, the Governor has set the objective of \$1,000 of investment in research and development per Maine worker by 2010.

**Financial Services**

The financial services sector offers significant growth opportunities. Maine is well positioned to grow in this important area. The numerous companies that have already located in the state point to our favorable bank franchise tax situation, our advanced telecommunications network, our strong labor pool, affordable office space and unparalleled quality of life.

**Radio Frequency Identification (RFID)**

RFID presents significant potential for Maine. It is an important emerging industry in the world economy. An initiative in this field will support Maine's two premier semiconductor companies, one of which has already staked out a leadership position in the field. In addition, two other cutting edge end-use manufacturing companies in Maine have already begun establishing a presence. Properly developed and supported, this industry could become a dominant force in the state.

**D. What is the Governor's vision for bringing together the key players in workforce development including business and industry, economic development, education, and the public workforce**

**system to continuously identify the workforce challenges facing the State and to develop innovative strategies and solutions that effectively leverage resources to address those challenges? (§112(b)(10).)**

Governor Baldacci has created an ambitious vision for the State of Maine. That vision builds on our rich heritage and introduces bold innovations to achieve sustained economic prosperity for Maine people. In times of tight budgets and fiscal constraints, Governor Baldacci has challenged us to work smarter, embrace unconventional solutions and hold ourselves accountable for outcomes, and has asked us to develop a plan to build a workforce development system that is accessible, affordable, relevant and equitable for Maine workers and employers.

The Governor's Workforce Cabinet is truly one of the major innovations in the Workforce Development system. Recognizing that Maine's workforce and its people are the wealth of our state, Governor Baldacci has instructed this group of cabinet officials and education leaders to craft new strategies and find creative solutions that cut across traditional boundaries and turf to achieve the following:

- Stimulate job creation in traditional and emerging industries to ensure that Maine people have access to high skill-high wage employment opportunities that provide for rising living standards for Maine workers and their families;
- Promote and support the work of the Creative Economy Council and the Natural Resource Based Industries Steering Committee;
- Ensure that key sectors and clusters of Maine economy where technology innovation and global competition are redefining the nature of work, are more effectively aligned with education and training systems (resource mapping initiative);
- Create more access to higher education and job skills training for Maine's young people and working adults who must be equipped for competition in the global economy and meet the escalating employment standards required by Maine employers;

- Promote and support statewide innovative education and training initiatives including:
  - Maine Higher Education Compact
  - New Community College System;
  - Improving Maine’s Learning Results;
  - National Governors Association Pathways Project;
  - Lifelong Learning Accounts
  - **REALIZE! Maine**
  
- Operate a world class system of employment services that will help to better and more efficiently connect Maine workers and employers by offering career guidance and job placement services that assist Maine people in getting their first job, and help them to advance their careers as they move from one job to another.
  
- Provide for more creative approaches to income support when Maine workers experience economic setbacks, employment transitions and job loss;
  
- Prepare a Governor’s Annual State of the Workforce Report to assess conditions and trends that impact development for Maine’s workforce, including an annual evaluation of progress of the Governor’s Workforce Cabinet collaboration and integration strategies.

Governor Baldacci has convened the Workforce Cabinet to coordinate and orchestrate state level leadership to help fulfill the Economic Vision for the State of Maine. There are numerous efforts well underway to involve business and industry in the overall effort. The state’s educational systems - University of Maine, Maine Community College System, Adult Education – will play a key role to ensure that our workforce, both young and older, are prepared to meet the demands of the changing economy. The MJC has been charged to ensure that coordination with workforce services is occurring at every level.

To ensure that Maine is strategically positioned to respond to the existing and emerging needs of workers and businesses, the MJC adopted a set of specific workforce development goals that reflect the current and emerging issues affecting the workforce system.

Again, the following **Program Year 2005 – 2006 WIA Goals** have been set by the MJC:

1. Position **low-income individuals, unemployed and entry-level incumbent** workers to more effectively participate in the workforce and benefit from the economy.
2. Promote employment and skills training opportunities that provide *livable* wages leading to worker **economic security**.
3. Build a stronger **demand-side involvement** through business and industry participation as partners, collaborators, advisors and investors in workforce hiring and training.
4. Provide system support for workforce development through **professional practices and capacity building** within the CareerCenters.
5. Provide a focus on **program alignment** between CareerCenter and community partners to **increase collaboration** through greater levels of **service integration**.
6. Insure that CareerCenters and community partners deliver relevant services that are **results driven** and include a high level of **accountability**.

**E. What is the Governor’s vision for ensuring that every youth has the opportunity for developing and achieving career goals through education and workforce training, including the youth most in need, such as out of school youth, homeless youth, youth in foster care, youth aging out of foster care, youth offenders, children of incarcerated parents, migrant and seasonal farmworker youth, and other youth at risk? (§112 (b)(18)(A.)**

The Governor’s vision for ensuring that every youth has the opportunity for developing and achieving career goals through education and workforce training is supported by both new and ongoing collaborations between MDOL CareerCenters, and local staff of the Departments of Education, Corrections, Health and Human Services and other youth and family serving agencies, employers and organizations such as Job Corps, Maine Conservation Corps, Upward Bound, Jobs for Maine’s Graduates,

Committees on Transition, local adult education and high schools, housing providers and homeless shelters, alternative schools and others.

Each of Maine's Local Workforce Investment Boards contains a separate Youth Council, comprised of youth and adult representatives from the private and public sectors with an interest in youth. Youth Councils set the direction and oversee local WIA youth programs provided to young people through Maine's CareerCenter system.

With the background of the ETA's new Strategic Vision for the Delivery of Youth Services under WIA, historical data on services to youth since the implementation of WIA in 1998 and the opportunity to modify WIA plans, Maine's four Youth Councils, with the support and guidance of the Local Boards are working to change and enhance their local youth programs. Of special note is an emphasis on fostering closer connections between young people and the workplace through strategic use of each youth's Individual Service Strategy to plan educational remediation and work experience, on the job training and apprenticeship opportunities in partnership with employers.

MOAs have recently been instituted that formally align local cooperation between agencies such as Labor, DHHS, Corrections and the Maine Youth Opportunities Initiative sponsored by Casey Family Foundation and USM's Muskie School of Public Service. The MOAs foster partnerships at the CareerCenter level to serve youth in foster care and in correctional facilities, youth who are targeted for assistance by the ETA in its new "Strategic Vision for Delivery of Youth Services under WIA".

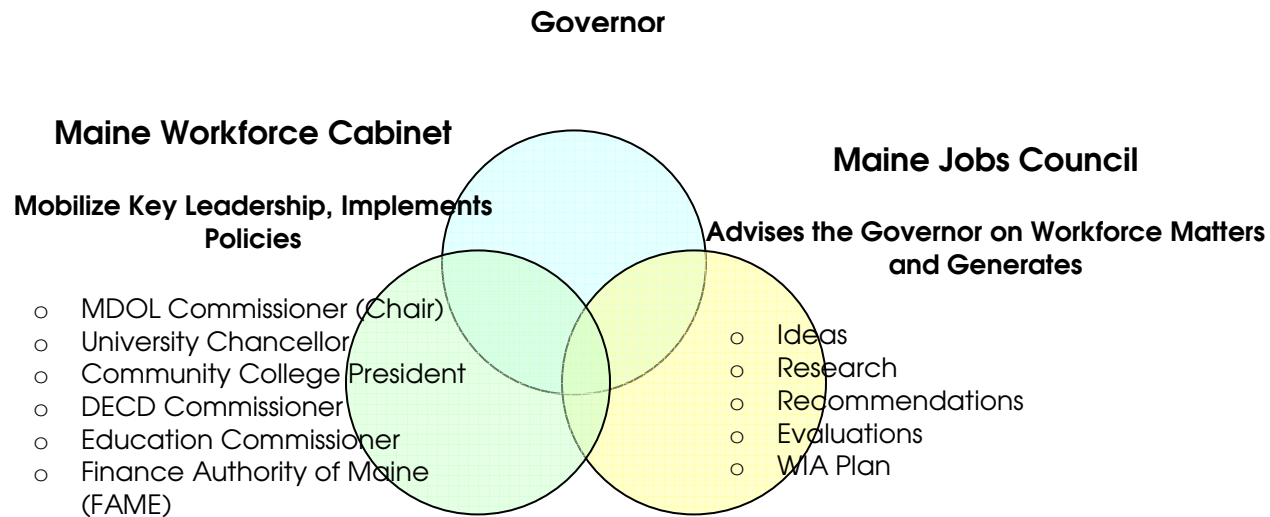
### **III. State Governance Structure**

#### **A. Organization of State Agencies in Relation to the Governor**

1. The Organizational Charts describing Maine's Public Workforce Investment System are included in Appendix I



2. The interrelationship among the agencies represented involved in the setting public policy for an effective workforce system are described in the Section I above. These entities are best understood as overlapping and supporting rather than operating along prescribed lines of authority.



**B. State Workforce Investment Board (§112(b)(1).)**

**1. Describe the organization and structure of the State Board. (§111.)**

See the Maine Jobs Council Organizational Chart included in Appendix II

**2. Identify the organizations or entities represented on the State Board. If you are using an alternative entity which does not contain all the members required under section 111(b)(1), describe how each of the entities required under this section will be involved in planning and implementing the**

**State's workforce investment system as envisioned in WIA. How is the alternative entity achieving the State's WIA goals? (§111(a-c), 111(e), and 112(b)(1).)**

The Maine Jobs Council functions as the State Workforce Investment Board.

Maine Jobs Council Member Organizations include:

- **Private Sector Businesses** from Morris Yachts, Great Pond Marina, PAD Construction, The Jackson Laboratory, Mid Coast Health Services, Employment Times, Microdyne, Maine Staffing Group, Fish River Rural Health, Jobs In The US.com, Projects Unlimited, Tom's Dairy.
- **Local Workforce Investment Boards** from Aroostook/Washington Counties Workforce Investment Board, Tri-County Workforce Investment Board, Central/Western Maine Workforce Investment Board, and Coastal Counties Workforce Investment Board.
- **Chief Local Elected Officials** from Aroostook County, Penobscot County, Franklin County, and Knox County.
- **Organized Labor** from AFL-CIO, Carpenters Local 1996, PACE International Union, International Federation of Professional and Technical Engineers Local 4, and Ironworkers Local 496.
- **Youth Focused Organizations** from Junior Achievement of Maine, Jobs for Maine Graduates, and **Realize! Maine**.
- **Business Associations** from Maine Innkeepers Association, Maine Marine Trade Association, Maine Metal Products Association, Maine Software & Information Technology Industry Association.

***And receives technical support and advice from;***

- Kennebec Valley Community College
- Coastal Enterprises, Inc.
- Caribou Adult Education
- Maine Adult Education Association
- Maine Equal Justice Project
- Maine Center for Economic Policy
- National Able Network
- Maine Women's Lobby/Maine Women's Policy Center
- Kennebec Valley Chamber of Commerce
- Creative Work Systems
- Western Maine Community Action

- Aroostook County Action Programs
- Coastal Economic Development Corporation
- Training Resource Center
- Training and Development Corporation
- Department of Labor
- Department of Economic & Community Development
- Department of Education
- Bureau of Rehabilitation Services

**3. Describe the process your State used to identify your State board members. How did you select board members, including business representatives, who have optimum policy-making authority and who represent diverse regions of the State as required under WIA? (20CFR 661.200.)**

At the September 2004, Maine Jobs Council meeting, members were encouraged to submit a letter of interest and resume for consideration by the Governor for reappointment. A general announcement was also made to Workforce Development System organizations to submit names of representatives who would be interested in becoming new Council members. All the names of those expressing an interest in Council membership were forwarded to the Governor for consideration, and were appointed. Business representatives from sectors identified in the State's Economic Development Strategy and the Governor's Blueprint for Prosperity were recruited by the MJC Director to increase business participation.

**4. Describe how the board's membership enables you to achieve your vision described above. (§§111(a-c) and 112(b)(1).)**

With the leadership of the Governor and the Workforce Cabinet, the MJC, and its diverse membership representing the Workforce Development System, is positioned to insure alignment of programs, resources and priorities for workforce development in Maine.

The composition of the MJC represents the required partners under the Workforce Investment Act. The Chair of the MJC is a business representative, and the Vice Chair represents Organized Labor. The Departments of Education, Labor and Economic and Community Development are all at the

MJC table. Organizations representing Youth, Women, Older workers, People with Disabilities, and Business Associations are included on the Council or in MJC Committees. Apprenticeship is also represented by a MJC committee, as are Service Providers of WIA. Maine's four Local Workforce Investment Boards are represented by their Board Directors, as well as, the Chief Local Elected Officials from each area.

**5. Describe how the Board carries out its functions as required in sec. 111 (d) and 20 CFR 661.205. Include functions the Board has assumed that are in addition to those required. Identify any functions required in sec. 111 (d) the Board does not perform and explain why.**

The MJC carries out its functions and provides direction-setting leadership for the system in accordance with WIA §111(d). Through the WIA Strategic Planning Process, MJC develops the State's vision and goals in collaboration with its partners. The MJC Planning subcommittee has been charged with directing the State's WIA Strategic Plan Modification for Program Years 2005-2006. This committee reviews the Plan as it is being developed, gives input, and makes recommendations to the full Council, which is then submitted to the Governor for approval. Development and continuous improvement of the system is the function of the WIA committee, which includes making appropriate linkages and reviewing local plans.

The MJC reviews and comments on the following plans: Wagner-Peyser, Carl Perkins Vocational Education Program and Adult Education, Family Literacy. Other Council responsibilities include publishing the WIA Annual Report and establishing criteria for awarding Incentive Grants.

**6. How will the State board ensure that the public (including people with disabilities) has access to board meetings and information regarding State board activities, including membership and meeting minutes? (20 CFR 661.205)**

The MJC holds regular meetings at least twice a year. Meetings will rotate locations around the state, be held at accessible locations, and will be open to the public. Auxiliary aids for people with disabilities will be available on request.

The MJC maintains a website that includes information about membership, council meeting schedules and minutes, committee meeting schedules and meeting minutes, and current council activities. Meeting announcements will be made to CareerCenters and the members of MJC committees will convey meeting schedules to their constituents.

**7. Identify the circumstances, which constitute a conflict of interest for any State or local workforce investment board member or the entity that s/he represents, and any matter that would provide a financial benefit to that member or his or her immediate family. (§§111(f), 112(b)(13), and 117(g).)**

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 LWBs. In the issuance of local board criteria, as outlined in the WIA Five-Year Plan, MDOL has set forth a conflict of interest policy for local boards.

The proposed standards state that members of the MJC and LWBs 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 a Board member, any member of that individual's immediate family or 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 LWB.

**8. What resources does the State provide the board to carry out its functions, i.e., staff, funding, etc.?**

The state of Maine provides one Department of Labor employee to fill the position of Director of the MJC. Additionally, employees of either the Maine Department of Labor or the Department of

Education staff each of the seven MJC committees. Resources to staff the MJC and for subcommittee support come from a portion of the WIA ten percent setaside.

**C. Structure/Process for State agencies and State board to collaborate and communicate with each other and with the local workforce investment system (§112(b)(8)(A).)**

- 1. Describe the steps the State will take to improve operational collaboration of the workforce investment activities and other related activities and programs outlined in section 112(b)(8)(A), at both the State and local level (e.g., joint activities, memoranda of understanding, planned mergers, coordinated policies, etc.). How will the State board and agencies eliminate any existing State-level barriers to coordination? (§§111(d)(2) and 112(b)(8)(A).)**

In order to improve operational collaboration, the MJC has been restructured to include a Policy Committee comprised of representatives of Education, Labor, Economic Development, the seven committees (Apprenticeship, Women's Employment Issues, Older Workers, School to Work, Employment of people with Disabilities, Industry Associations, and WIA); Local Workforce Investment Boards; Chief Local Elected Officials; Organized Labor, and the general public. This committee will review proposed policy and make recommendations to the full Council.

At the state level, the new Workforce Cabinet has been charged to find innovative strategies and solutions for workforce development issues that cut across department lines, and provide leadership for the Maine Jobs Council. The Workforce Cabinet is chaired by the Commissioner of the Department of Labor and is staffed by the Director of the MJC, so as to have a direct conduit between the two entities. Coordination of activities and elimination of duplication are two of the Workforce Cabinet goals.

- 2. Describe the lines of communication established by the Governor to ensure open and effective sharing of information among the State agencies responsible for implementing the vision for the public workforce system and between the State agencies and the State workforce investment board.**

See Section III. C.1. above.

In addition, the Governor promotes open and effective sharing of information among State agencies in a large part through the mission of the Governor's Children's Cabinet.

The Children's Cabinet, Chaired by First Lady, Karen Baldacci, oversees and coordinates the delivery of services to children, youth and families in Maine. It is composed of the departments of Labor, Corrections, Education, Health and Human Services and Public Safety.

In his charge to the Children's Cabinet, the Governor emphasized the important leadership role of the Commissioners to collaborate and promote the concept of a seamless service delivery system for children and families and the need to pool funding to maximize limited resources. The Children's Cabinet Mission is to actively collaborate to create and promote coordinated policies and service delivery systems that support children, families and communities.

Based upon the belief that children's needs are best met within the context of relationships in the family and community, the Children's Cabinet vision is in three parts:

1. The value we place on children and youth: Children respected, safe and nurtured in their communities; Children succeeding in school and schools succeeding for children; and youth prepared to enter the work force
2. The value we place on families: Families having opportunities to work and play; Families recognizing the rewards and responsibilities of raising children; and Families living safe and healthy lives.
3. The value we place on communities: Communities capable of meeting the needs of children and families in all of their diversity; Communities creating collaborative partnerships; Communities promoting and modeling clear standards of behavior; and Communities keeping children and families at the heart of all decisions.

**3. Describe the lines of communication and mechanisms established by the Governor to ensure timely and effective sharing of information between the State agencies/State Board and local workforce investment areas and local Boards. Include types of regularly issued guidance and**

**how Federal guidance is disseminated to local Boards and One-Stop Career Centers.  
(§112(b)(1).)**

In order to have better coordination and communication between the MJC and the four Local Workforce Boards, the Directors of the LWBS and the Chief Local Elected Officials are members of the MJC. The MJC Acting Director reports to the Commissioner of Labor and is responsible for overall direction to the Council, and is also responsible for issuing communications, guidance and directives to the membership and other interested partners. The Bureau of Employment Services (BES), within the MDOL is the administrative entity that provides staff support to the MJC.

**4. Describe any crosscutting organizations or bodies at the State level designed to guide and inform an integrated vision for serving youth in the State within the context of workforce investment, social services, juvenile justice, and education. Describe the membership of such bodies and the functions and responsibilities in establishing priorities and services for youth? How is the State promoting a collaborative cross-agency approach for both policy development and service delivery at the local level for youth? (§112(b)(18)(A).)**

The Governor promotes a cross-agency approach through two major efforts: the mission of the Governor's Children's Cabinet, and **REALIZE! Maine**.

The Children's Cabinet oversees and coordinates the delivery of services to children, youth and families in Maine, and is composed of the Commissioners of the Departments of Corrections, Education, Health & Human Services, Labor and Public Safety.

**REALIZE! Maine** is a public-private partnership established by the Office of the Governor, working to make Maine the best place in America for young people to live, work, thrive and prosper. **REALIZE! Maine** seeks to provide a voice in State and community decisions for youth; support young leaders in all paths of civic engagement at all levels of government; building professional and social networks; and improving access to necessary resources for education, career advancement and business development.



**IV. Economic and Labor Market Analysis (§112(b)(4).): As a foundation for this strategic plan and to inform the strategic investments and strategies that flow from this plan, provide a detailed analysis of the State’s economy, the labor pool, and the labor market context. Elements of the analysis should include the following:**

The unemployment rate in Maine has hovered below the national average for most of the last decade. Moreover, leading indicators suggest that the Maine economy has performed much better on job growth measures than the United States as a whole. In reality, statewide job growth has been very slow, even though it has been faster than both the national and New England averages. To understand the relative strength of Maine’s economic health we have to look beyond the state’s overall unemployment indicator.

The unemployment rate *within* the state has varied greatly and is cause for concern about the relative strength of Maine’s economy. The current picture has been fairly consistent since 2000. Maine’s unemployment rate in July 2004 was 4.2% compared to 4.9% in July 2003. With the national rate of 5.5% in July 2004, Maine is still well below the national average. Despite the good news there are considerable differences in unemployment figures within Maine. For example, the unemployment rate in Hancock County was 8.5% in January and 2.8% in July 2004. Contrasted with unemployment figures for the same period, Cumberland County was 3.3% in January and only 2.3% in July 2004. This scenario is repeated throughout the state and is expected to continue.

When “underemployment” is factored into the analysis, Maine and national unemployment figures would be calculated at a much higher rate. The underemployment indicator used by the U.S. Bureau of Labor Statistics that includes unemployed, discouraged workers (people who looked for work at some point over the past year, but have given up due to lack of job opportunities); involuntary part-timers (part-time workers who would prefer full-time work); and people who want to work but face barriers such as lack of transportation or child care. The data further suggests

<b>UI Exhaustion Rates July 2003-June 2004</b>		
<b>Occupational Group</b>	<b>Male</b>	<b>Female</b>
<i>Agr/Fish/Forest</i>	19%	<b>31%</b>
<i>Benchwork</i>	38%	<b>38%</b>
<i>Clerical &amp; Sales</i>	33%	<b>38%</b>
<i>Machine Trades</i>	33%	<b>42%</b>
<i>Misc. Occupations</i>	33%	<b>35%</b>
<i>Processing</i>	34%	<b>43%</b>
<i>Prof/Tech/Mgr</i>	32%	<b>35%</b>
<i>Service</i>	28%	<b>31%</b>
<i>Structural Work</i>	27%	<b>36%</b>

that among those workers who join the ranks of the “underemployed”, women are more severely impacted in most occupational groups.

In Maine the underemployment rate was 9.3% in 2003, under the U.S. rate of 10.1% but over the New England rate of 9%. Underemployment in Maine was even higher for men (9.8%), and for people with only a high school education (10.6%). Underemployment was particularly acute -- at 22.1% -- for those with less than a high school education. As people give up looking for work, the “labor force participation rate” declines. Maine’s unemployment rate would be much higher if the additional people represented in the underemployment rate were counted as both in the potential labor force and seeking more work.<sup>2</sup>

The Maine Department of Labor’s Dislocated Worker Unit reported 158 layoff announcements during the 2003, 37 of which included 50 jobs or more, one-third more than in the previous year. The largest of these was the layoff of 1,130 workers at Great Northern Paper in Millinocket and East Millinocket. In fact, there were 15 paper industry layoff announcements by nine different companies, totaling 2,369 jobs. Other than Great Northern, the largest job losses were at Fraser Paper (Madawaska), 380 jobs, and Georgia Pacific (Old Town and Baileyville), 312 jobs. Not all of the big losses were at paper manufacturers, however. Fairchild Semiconductor in South Portland had five announcements totaling 330 jobs, and L. L. Bean cut 300 workers.

In 2004 the number of layoffs show 92 Maine firms have been downsized or closed, affecting 3,275 Maine workers. Many of the affected firms are Maine’s primary industries and have been the key economic drivers for many decades. Layoff activity in 2004 affected the following industries and workers:

<b>Paper and small wood manufacturing</b>	<i>9 firms affecting 886 workers</i>
<b>Shoe manufacturing</b>	<i>4 firms affecting 421 workers</i>
<b>Warehousing/Distribution/Trucking</b>	<i>6 firms affecting 284 workers</i>
<b>Food &amp; Fish Processing</b>	<i>7 firms affecting 289 workers</i>
<b>Insurance &amp; Billing</b>	<i>8 firms affecting 251 workers</i>
<b>Miscellaneous Services</b>	<i>12 firms affecting 257 workers</i>
<b>Electronic/Computer Mfg.</b>	<i>5 firms affecting 208 workers</i>
<b>Telemarketing</b>	<i>6 firms affecting 169 workers</i>

---

<sup>2</sup> State of Working Maine 2004, Maine Center for Economic Policy and the Economic Policy Institute, Washington DC.

<b>Retail</b>	<i>15 firms affecting 140 workers</i>
<b>Miscellaneous Manufacturing</b>	<i>5 firms affecting 123 workers</i>
<b>Metals Manufacturing &amp; related</b>	<i>5 firms affecting 90 workers</i>
<b>Health &amp; Social Services</b>	<i>5 firms affecting 50 workers (primarily related to cuts in Federal programs).</i>

It should be noted that **foreign trade negatively impacted 32% of these firms**. Affected workers from these firms qualify for Trade Adjustment Assistance. Although MDOL receives some funding for Dislocated Worker reemployment services, the majority of retraining funds come from **Trade Adjustment Assistance** and **National Emergency Grant** awards.

**A. What is the current makeup of the State’s economic base by industry?**

Maine’s economy has long been based on the bounty of its natural resources – fishing, farming, forestry and tourism. The largest industry groups in Maine today, such as health services, business services, special trade contractors, etc. are the same as in the U.S., only the rank order differs slightly. One important exception is tourism, which today probably supports more jobs (over 77,000) in the State economy than any other industry.

In terms of employment by major industry group, Maine differs very little from the nation as a whole, as can be seen in the table at the right.

One important distinction to be made when talking about the largest industries in Maine is which are bigger when compared to the nation in terms of the percentage of all workers in these industries. There are several key industries that have a higher concentration of employment than is the case nationwide. Other, smaller industries which are significantly more important in Maine than in the nation – in terms of the number of jobs in the industry as a percentage of all jobs – are fishing (17X or 17 times the national concentration), leather manufacturing (16X), forestry (5X), paper manufacturing (4X), lumber/wood manufacturing (3X), and ship and boat building (2X).<sup>3</sup>

<b>Maine's Largest Industries 2003 (3-digit NAICS)</b> (ranked by payroll employment)			
Rank by Employment Size			
US	Maine	Maine Total	606.
			<b>1</b>
1	1	Food Services and Drinking Places	39.4
3	2	Hospitals	26.3
4	3	Ambulatory Health Care Services	23.5
5	4	Nursing and Residential Care Facilities	22.7
2	5	Administrative and Support Services	21.0
7	6	Food and Beverage Stores	19.3
8	7	Specialty Trade Contractors	18.4
9	8	Educational Services	17.9
11	9	Social Assistance	16.4
10	10	Insurance Carriers and Related	12.8
		Sum of Largest 10	217.7
		Largest 10 as % of Total	36%

Source: Maine State Planning Office, June 2004

The weakest sector in Maine's economy today is clearly traditional manufacturing, as it has been for most of the past three decades. We know that the loss of manufacturing jobs is not a new problem but recent trends indicate it has become far more critical. The number of manufacturing jobs in the State peaked in late 1960s at 118,000 and, except for a brief respite in the late 1970s, has trended downward ever since. Fast forward to 2004 - the annual average manufacturing job count was 61,500, a startling 52% decline over a 35-year span. In fact, between 2002 and 2003, Maine's 6.2% manufacturing job loss was fourth worst in the nation. Within the manufacturing sector, the paper industry accounted for 1,400 of the total 4,200 job losses in 2003. Over the 2000-2003 period, the

<sup>3</sup> Galen Rose, Economist; Maine State Planning Office; June 2003

largest job losses were in leather manufacturing (2,800), paper and computer/electronics manufacturing. (Both 2,700).<sup>4</sup>

The significance of this trend is the impact that traditional manufacturing job losses have on workers who historically have tended to receive better wages and benefits than with jobs in the growing hospitality and service sectors. In fact, Maine wages in 2001–2003 fell sharply for workers in declining industries. The average wage of industries between 2001-2003 that added jobs was \$27,290 compared to the average wage of \$35,529 in industries that lost jobs.

The state's economic structure is quite similar to the nation as a whole. The list of Maine's ten largest industries, by employment size is nearly identical to the U.S. list, and Maine's ten largest industries account for nearly half of all jobs.<sup>5</sup> The two sectors that actually provide significant employment in Maine, and the most difficult to measure is tourism and tourism related natural resource-based industries employment. The State Planning Office estimates that these two sectors combined probably account for Maine's largest employer at roughly 77,000 jobs.<sup>6</sup>

---

<sup>4</sup> State Planning Office, *The Maine Economy; Structure, Current Condition, Trends, and Outlook*. July 2004

<sup>5</sup> Ibid

<sup>6</sup> Ibid

**B. What industries and occupations are projected to grow and/or decline in the short term and over the next decade?**

The 2002-2012 employment forecast for all sectors indicates a 16% increase in Services sector jobs and continued declines in the Manufacturing sector.

<b>Maine Employment Forecast By Sector 2002 – 2012 (preliminary)</b>			
<b>Sector</b>	<b>2002</b>	<b>2012</b>	<b>Net</b>
<b>Natural Resources &amp; Mining</b>	5,703	6,078	<b>+375</b>
<b>Construction</b>	29,410	29,506	<b>+96</b>
<b>Manufacturing</b>	68,012	57,786	<b>-10,226</b>
<b>Services</b>	<b>389,602</b>	<b>453,404</b>	<b>+63,802</b>

Source: MDOL, Labor Market Information Services

The charts below compares the job growth by occupation, the fastest growing jobs and the jobs that are projected will have the most openings.

<b>+Net Change Non-Farm Wage and Salary Employment Maine, 2001 – 2004</b>			
<b>Industry</b>	<b>2001</b>	<b>2004</b>	<b>Net</b>
Education & Health Services	99,700	107,300	<b>7,600</b>
Leisure & Hospitality	65,200	67,500	2,300
Other Services	19,400	21,700	2,300
Manufacturing	76,400	61,500	<b>-14,900</b>

<b>Fastest Growing Jobs</b>	<b>Jobs with the Most Openings</b>
Personal & Home Care Aides	Cashiers
Social & Human Services Assistants	Food Prep & Service Workers
Desktop Publishers	Retail Sales Persons
Medical Assistants	Waitpersons
Computer Support Specialists	Registered Nurses
Marriage & Family Therapists	Personal & Home Care Aides
Physician Assistants	Office Clerks
Network & Computer Systems Administrators	General Managers
Interpreters & Translators	Child Care Workers
Occupational Therapy Aides	Secondary Teachers

<b><i>Fastest-Growing Occupations Requiring Post-Secondary Training or an Associate's Degree — Maine</i></b>	<b><i>Employment</i></b>		<b><i>Percent</i></b>
	<b><i>2002</i></b>	<b><i>2012</i></b>	<b><i>Change</i></b> *
<b>1</b> Medical records and health information technicians	890	1,370	55%
<b>2</b> Physical therapist assistants	320	480	51%
<b>3</b> Massage therapists	400	600	48%
<b>4</b> Veterinary technologists and technicians	380	540	43%
<b>5</b> Respiratory therapy technicians	60	80	41%
<b>6</b> Cardiovascular technologists and technicians	210	300	40%
<b>7</b> Respiratory therapists	420	590	40%
<b>8</b> Fitness trainers and aerobics instructors	860	1,200	39%
<b>9</b> Biological technicians	490	640	32%
<b>10</b> Dental hygienists	990	1,300	31%
<b>11</b> Radiation therapists	60	80	31%
<b>12</b> Surgical technologists	350	450	31%
<b>13</b> Desktop publishers	120	160	30%
<b>14</b> Environmental science and protection technicians, including health	200	260	30%
<b>15</b> Occupational therapist assistants	90	120	30%
<b>16</b> Diagnostic medical sonographers	150	190	27%
<b>17</b> Registered nurses	13,000	16,470	27%
<b>18</b> Medical transcriptionists	680	850	25%
<b>19</b> Environmental engineering technicians	70	90	24%
<b>20</b> Medical and clinical laboratory technicians	590	730	24%
<b>21</b> Nuclear medicine technologists	70	80	24%
<b>22</b> Radiology technologists and technicians	820	1,020	23%
<b>23</b> Court reporters	150	180	22%
<b>24</b> Real estate sales agents	460	570	22%
<b>25</b> Emergency medical technicians and paramedics	1,510	1,830	21%

\* **Note:** The national average percent change is 14.8% for the 2002-2012 employment projection series.



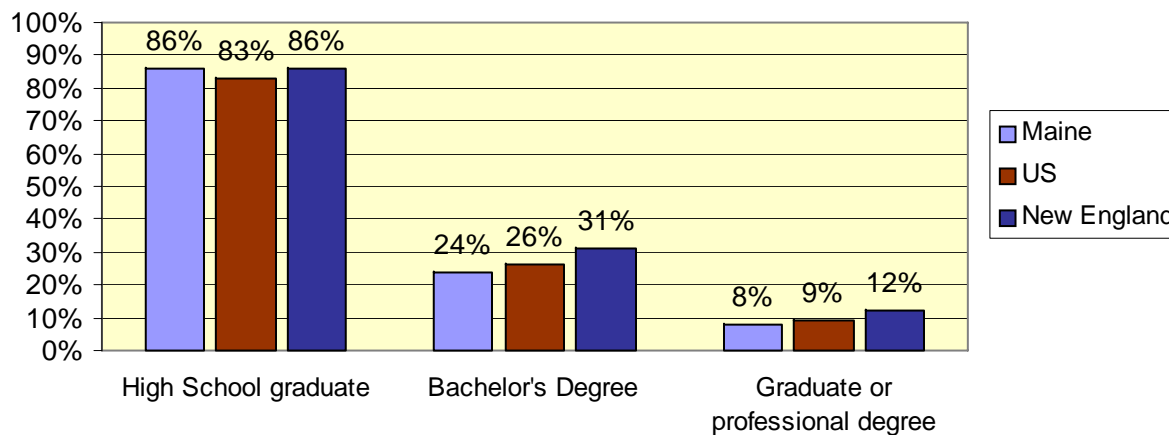
**C. In what industries and occupations is there a demand for skilled workers and available jobs, both today and projected over the next decade? In what numbers?**

Maine’s economic future is dependant on a highly skilled workforce that can adapt to the emerging technological advances across most industries. There are an abundance of studies that show that workforce education levels are a key factor in achieving and sustaining economic growth. How well will the state’s workforce adapt to the changing needs to the current and emerging economy? The education and skill attainment level of our workers has to be one our top strategic priorities. If we want the state to attract more high-wage jobs, we must concentrate on producing more highly skilled workers. We must continue to promote and invest in higher levels of training for incumbent workers.

Maine has one of the highest high school graduation rates in the country, but we are well below the national average in the proportion of adults with a four-year college education. Relative to New England and the rest of the country, Maine has disproportionately less people with a college degree. We are simply not producing enough college bound high school graduates.

**Educational Attainment Levels 2000-2003**

(Source: Current Population Survey)



The National Center for Public Policy and Higher Education produces a state report card, which evaluates states on their performance in providing access to higher education. The *Measuring Up 2004* report gives Maine with an overall evaluation based the primary indicators of educational access and quality.<sup>7</sup> A few of the highlights are as follows:

- Compared with other states, the likelihood of Maine's 9<sup>th</sup> graders enrolling in college within four years is fairly high (41%).
- The percentage of freshmen returning for their sophomore year at four-year colleges and universities is very high (76%).
- Relative to other states, a small percentage of working-age adults are enrolled part-time in education or training beyond high school (3.6%).
- Net college costs for low- and middle-income students to attend public four-year colleges and universities represent nearly half of their annual family income. This population earns on average \$17,798 annually. (Net college costs equal tuition, room, and board minus financial aid.)
- Compared with other states, a small percentage of residents have a bachelor's degree (26%).

The scarcity of skilled workers, particularly in occupations that require technical training beyond the secondary level, will have an enormous impact on the long-range economic prosperity of Maine. To grow Maine's economy we will need to increase the skill level of our workforce. With the trend toward a slower growing workforce, a workforce that is aging and becoming more diverse the solution may come from meeting demand through greater investments to train and prepare workers who have been underrepresented in technical training programs.

The *Measuring Up 2004* report poses several key policy questions that the economic, workforce and education all development system should consider:

1. Can Maine improve educational achievement for high school students from low-income families?
2. Can Maine increase the educational attainment of its adult residents?

---

<sup>7</sup>National Center for Public Policy and Higher Education. *Measuring Up 2004. The State Report Card on Higher Education. Maine.*

3. Can the state develop financial aid programs that more effectively meet the needs of students from low-income families?
4. Can the state's two-year colleges be made more affordable and serve more effectively as a route to the bachelor's degree?

The answers to these and other questions is reflected, in part, through the efforts of this plan and other initiatives, such as educational financing programs through FAME and other state/federal initiatives and through the development of articulation agreements between the University of Maine and Community College systems.

#### **D. What jobs/occupations are most critical to the State's economy?**

The significant industry trends that impact Maine's economy now and in the future, and the success of our state's economic future will require a highly skilled and competitive workforce to create and sustain good jobs and high wages. Governor Baldacci outlined an economic strategy that has a clear focus on mature and emerging industries in the state.

Among the mature industries, the strategy is to focus on these key industries:

- **Advance technologies for forestry and agriculture products,**
- **Aquaculture and marine technology related business,**
- **Precision and niche manufacturing**
- **Tourism.**

The emerging industry sectors include

- **Biotech and biomedical technologies and research**
- **Financial services**
- **Radio frequency identification technologies (RFID)**

**E. What are the skill needs for the available, critical and projected jobs?**

As previously stated, the skill needs for the current and emerging jobs in Maine will require some form of post-secondary education. Employment opportunities will be concentrated in the service-producing sector of the economy. Health services, business services, social services, and retail trade are expected to create about two-thirds of all new jobs.

The occupational structure of employment is shifting along with changes in the industrial structure and technology. Many of the fastest growing occupations will be health care related, largely due to rapid growth in the number of middle age and elderly people. Technology will continue to impact the structure of employment and how work is done. Computers will increasingly be a part of a wide range of work processes.

<b># Fastest-Growing Occupations Overall — Maine</b>		<b>Employment</b>	
		<b>2002</b>	<b>2012</b>
<b>1</b>	Medical assistants	1,570	2,580
<b>2</b>	Social and human service assistants	3,250	5,300
<b>3</b>	Self-enrichment education teachers	960	1,540
<b>4</b>	Medical records and health information technicians	890	1,370
<b>5</b>	Personal and home care aides	4,850	7,500
<b>6</b>	Physician assistants	620	970
<b>7</b>	Personal financial advisors	610	930
<b>8</b>	Physical therapist assistants	320	480
<b>9</b>	Massage therapists	400	600
<b>10</b>	Recreational vehicle service technicians	100	140
<b>11</b>	Motorcycle mechanics	50	70
<b>12</b>	Occupational therapist aides	70	100
<b>13</b>	Veterinary technologists and technicians	380	540
<b>14</b>	Home health aides	4,990	7,020
<b>15</b>	Respiratory therapy technicians	60	80
<b>16</b>	Cardiovascular technologists and technicians	210	300
<b>17</b>	Manufactured building and mobile home installers	180	260
<b>18</b>	Physical therapist aides	140	190
<b>19</b>	Respiratory therapists	420	590
<b>20</b>	Fitness trainers and aerobics instructors	860	1,200
<b>21</b>	Mental health and substance abuse social workers	1,380	1,920
<b>22</b>	First-line supervisors/managers of personal service workers	750	1,020
<b>23</b>	Merchandise displayers and window trimmers	330	460
<b>24</b>	Medical and public health social workers	670	910
<b>25</b>	Rehabilitation counselors	1,200	1,630



**F. What are the current and projected demographics of the available labor pool (including the incumbent workforce) both now and over the next decade?**

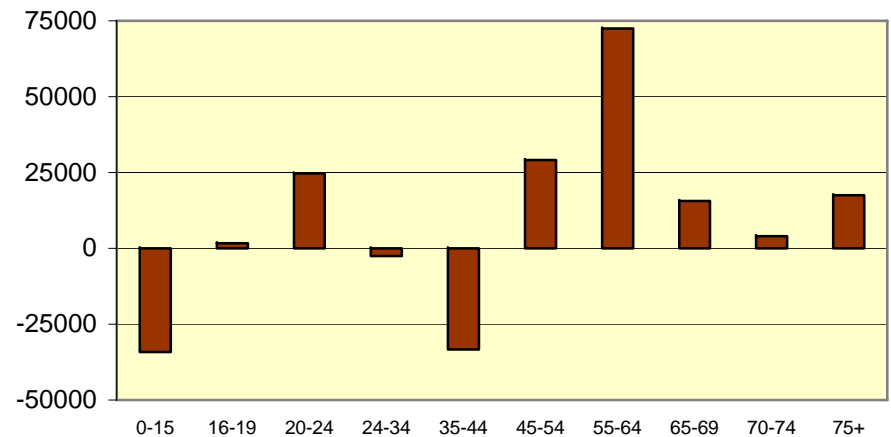
The U.S. Census data estimates that Maine is a state of roughly 1.3 million people inhabiting a space that is roughly the size of the other five New England states combined. Overall, Maine is the 40<sup>th</sup> most populated state in the country. The labor force estimate as of January 2005 was 699,042 (seasonally adjusted). Maine’s population growth can best be described by four distinct attributes – ***it is growing slowly, it’s growing older, it’s growing very unevenly, and it’s growing more diverse.***

Maine’s population ***has grown at a slower pace*** than the rest of the country. Low birth rates and retirements among the baby boomers are contributing to the slow labor force growth. At its recent peak in the 1970s and 1980s, population grew at 1% per year, which was close to the national average. In the early 1990s Maine had six years of out-migration and the lowest number of births ever recorded. In the latter part of the decade that trend has reversed, and again Maine is experiencing a net in-migration, but the numbers remain small.

Maine shares the national trend in the ***aging of the population*** as the baby boomers head toward their golden years. However, this “aging phenomenon” is more pronounced in Maine as younger people have left the state in the 1990s and retirees have moved in.

Thirdly, the ***growth is uneven***. Over the past 45 years, Aroostook and Androscoggin counties have had significant population declines. Seven counties, stretching from Oxford County through the vast central Maine area to Washington County, have all seen either losses or very modest increases. Only the coastal counties have experienced any significant population growth, with the most occurring in the five southerly counties.

**Projected change in population by age group in Maine between 2000 and 2010**

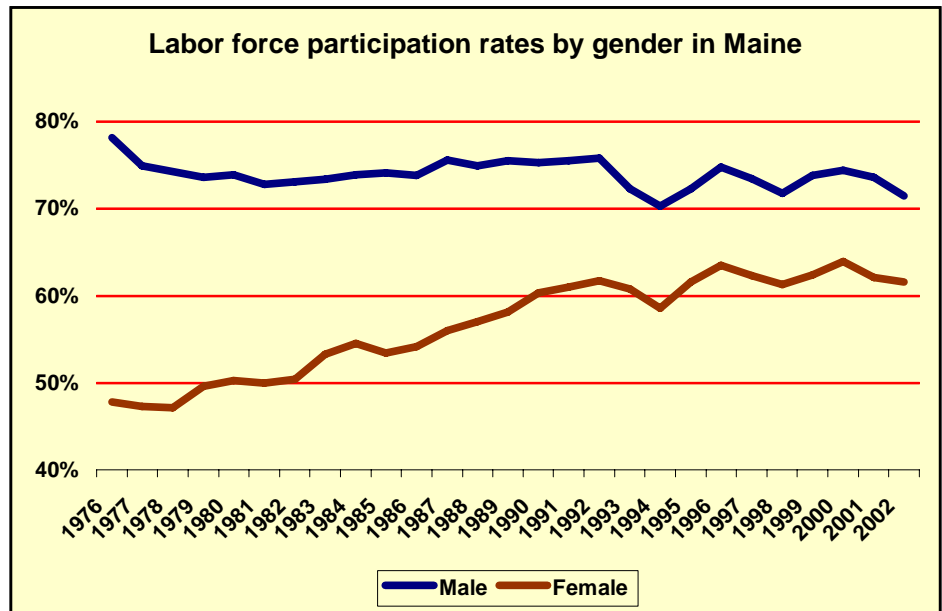
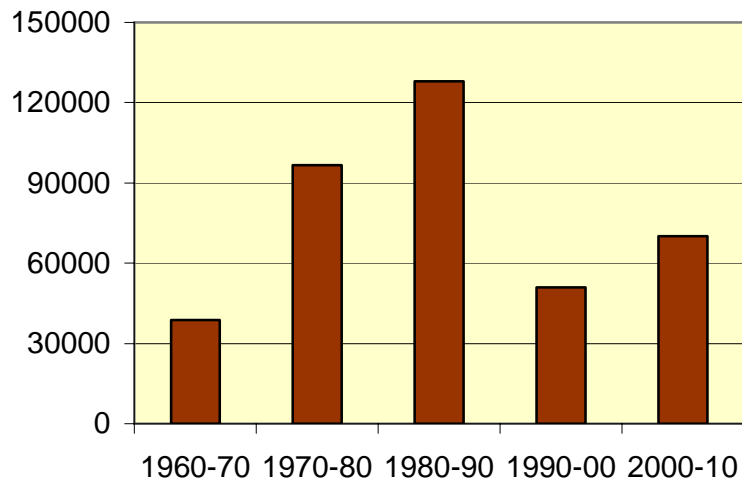


Source: MDOL/DLMIS

Maine's population is **slowly growing more diverse**. The current U.S. Census data suggests that the state population grew by 34,356 of which 4,182 were from other countries. In recent years, more immigrants have come from Asia and Africa. There were 17,567 foreign-born nationals in Maine in 1990. The 2000 Census data estimates that 38,185 residents were born in foreign regions.

Source: MDOL/DLMIS

**Change in civilian labor force in Maine**



## Income and Wage Growth

While Maine has performed better on job growth measures, it has been a much more difficult recovery experience for Maine workers when viewed on the basis of income and wage growth factors. The adverse impact of the last recession on workers and their families is even greater when we consider the wide variations that exist within the state. Moreover, some Maine workers have fared better than others.

Maine's per capita personal income continued to increase in 2003, rising 3.7% from 2002 to \$28,813 in 2003. The rate of increase was the 21st fastest among all the states, and faster than the national (3.4%) and New England (2.5%) rates. For several years, Maine has hovered around 34th among the states in per capita income. In 2003, Maine's per capita income was 91% of the national average.<sup>8</sup> Despite the rate of increase, Maine families are not doing as well as they could be.

In 2003, the median household income was \$37,100, placing the state 43rd among the rest of the nation. The median hourly wage rose to \$12.57 in 2002. Between 1995 and 2000, the average annual rate of median wage growth was 1.4%, which shows accelerated growth during the economic boom as compared to the average annual rate of growth between 1979 and 2002 of only 1%. Although per capita personal income includes non-wage income such as transfer payments (Social Security) as well as rents and proprietors' income, most Maine working families depend on wages for most of their income. For median wage earners, modest real wage growth continued from 2000-2003, at the annual rate of 1.7% to \$12.41.<sup>9</sup>

<i>Maine Wages 2001 – 2003</i>	
<b>Average Wage of Industries Gaining Jobs</b>	<b>\$27,290</b>
<b>Average Wage of Industries Losing Jobs</b>	<b>\$35,529</b>

Source, MDOL, Labor Market Information Services

In October 2004, the Maine Center for Economic Policy published "*Access to Education and Good Jobs: The Way Life Should Be in Maine*", a report on the status of Maine families' ability to reach economic stability within the current labor market. The report examines how working families are doing economically, and the findings

<sup>8</sup> State of Working Maine 2004. Maine Center for Economic Policy.

<sup>9</sup> Ibid.



are not good. The gap in Maine between those who are well off, and those who are not, is widening. The gap is evidenced in regional disparities, between rich and poor, between men and women, between workers with disabilities and the rest. Here is some of what the report had to say about working families.<sup>10</sup>

- Poverty in Maine rose from a three-year average of 10.4% from 1998-2000 to 11.8% from 2001-2003.
- Per capita income in Maine's poorest counties is only 60% of that of Maine's wealthiest counties.
- Maine women earn, on average, 76 cents for every dollar a man earns for full-time year round work, slightly less than the national average of 78 cents.
- Over the last 20 years, the ratio of average income in Maine of the wealthiest households (the top 20%) to the poorest households (the bottom 20%) has increased by 25%.
- Only 42% of disabled people participate in the Maine workforce.

### **Promoting a "Livable Wage" Priority**

It is clearly not enough to provide many Maine workers with access to jobs. The MDRC and National Governor's Association *Building Bridges* report cited growing problems with the increased number of low-income adults who are working; clearly able to find jobs but unable to earn enough money to provide their families with long-term economic stability<sup>11</sup>. Over the past couple of years the average wage in industries that are gaining jobs in Maine was \$27,290, while the average wage of industries losing jobs was \$35,529.<sup>12</sup> This disparity of wages of jobs gained compared to jobs lost, amounts to more than just a 23% decline in individual and family income. It is not hard to understand the impact when an \$8,239 wage decline is viewed in real terms. The loss of wages is threatening the economic security of Maine workers.

Numerous studies have documented the potential consequences for families who live without enough income to meet basic needs. Among the more serious problems facing low-wage earners and their families is the lack

---

<sup>10</sup> Frank O'Hara and Lisa Pohlmann, *Access to Education and Good Jobs: The Way Life in Maine Should Be*. Maine Center for Economic Policy. October 2004.

<sup>11</sup> Jennifer Miller, Frieda Molina, Lisa Grossman, Susan Golonka. *Building Bridges to Self Sufficiency: Improving Services to Low-Income Families*. MDRC & NGA Center for Best Practices. March 4004

<sup>12</sup> *State of the Workforce: Recent Labor Market Developments – Impending Challenges*. Labor Market Information Services, Maine Department of Labor. December 2004

of access to affordable health care. In October 2004, the Economic Policy Institute issued a briefing paper on the state economic security of working families between 2000-2003 measuring the effect of declining pre-tax for middle-income families.<sup>13</sup> The brief highlights the adverse affects of the 2001 recession that was followed by over two years of significant job loss; coupled with the growing number of new jobs that were reported in 2003, the average American family saw a sharp decline in household income. The disparity between significant job loss and the new jobs that were created are reflected in what is happening to income, wages and taxes.<sup>14</sup>

Three significant forces have eroded the economic security of the nation's workforce:

- **Pre-tax incomes fell for middle-income families of every type between 2000 and 2003.**
- **After taking into account changes in both pre-tax income and taxes, the finding remains that most middle-income families lost ground between 2000 and 2003.**
- **Family spending on higher insurance co-pays, deductibles, and premiums has escalated in recent years.**<sup>15</sup>

As we consider the potential impact that these forces have on Maine families, we must ensure that workers have a chance to become economically stable. The entire workforce system, including the CareerCenters that provide access to training, work readiness, job search, job placement and work supports, are creating opportunities for Maine workers to support themselves and their families to become economically stable.

The LiLAs initiative will help will help Maine's workforce, particularly low-income workers, to:

- Attain needed education and training for career advancement,
- Develop skills to create career goals and an educational strategy to reach economic self-sufficiency and achieve work satisfaction,
- Offer ongoing support, motivation, and assistance with navigation of the educational system,

---

<sup>13</sup> Lawrence Mishel, Michael Ettlinger,, Elise Gould. Less Cash in Their Pockets Trends in Incomes, Wages, Taxes, and Health Spending of Middle-Income Families, October 2004. Economic Policy Institute, Washington DC.

<sup>14</sup> Ibid.

<sup>15</sup> Ibid.

- Provide information regarding labor market and career options,
- Expand savings capacity to develop asset building behavior,
- Leverage individual investment through employer-matched contributions, and.
- Promote self-esteem and efficacy to achieve personal goals.

Additionally, the National Governor’s Association Pathways to Advancement initiative will work to provide improved access to low-wage workers to post-secondary education by training CareerCenter staff to become effective Career Navigators. The project will draw from multiple agencies to create the permanent alignment of service interventions leading to post-secondary degree attainment.

**G. Is the State experiencing any “in migration” or “out migration” of workers that impact the labor pool?**

From 2000 to 2003, Maine’s employment in all major industry groups grew very slightly by 0.7%, from 606,000 to 610,800 jobs. Only a very small proportion of this growth – 5% – was from in-migration, a trend now changed. The bulk was from the coming of age of the baby boom generation (44%) and greater workforce participation among women (51%). The latter is part of a longer-term trend, stretching back to 1960. Where once one in three adult women were part of the official labor force, today the proportion is three out of five.

A major component of in-migration has been people between 65 and 75 who retire to Maine, particularly to coastal regions. Growth in the retired population is estimated to increase at approximately half the rate of national growth in this population over the period 2005-2025, essentially the period when the bulk of the baby boom generation retires. Growth in the retirement population is concentrated in coastal regions; inland regions see little or no in-migration in this population group.

In the next two decades, Maine’s population age 65 to 74 is projected to double in size, and the percentage of people 45 and under will decline by 15%. This general trend is further aggravated by migration patterns. During the 1990s, Maine had a net in-migration of people over 35 years of age, and a net out-migration of people less than 35 years of age.<sup>16</sup>

Both the reduction in youth and the increase in elderly have implications beyond the provision of services to

---

<sup>16</sup> No Place to Hide: Confronting Maine’s Economic Future. Institute of a Strong Maine Economy, 2002

these groups, such as education and health care. Two significant effects on the labor force are an aging workforce and the shrinking of available labor, both of which affect a region's ability to generate output and income. Not only will the labor force age as the baby boom generation grows older, but it will shrink as they begin to exit the work force and join the ranks of the dependent population.

In the absence of in-migration of skilled workers the labor force remains "tight," particularly in the southern counties of the state. Given this, economists suggest that we need to upgrade the skills of those already in the workforce in order to help the economy grow. Given the projected figures on high school graduates in Maine, this will be particularly important to the skilled labor force. To this end, Governor John Baldacci launched two major initiatives to address this issue in 2004 - **REALIZE! Maine** and the **Creative Economy**. The outcomes include attracting and retaining a greater proportion of people under age 35, thus attaining an increasingly diversified and highly skilled population that will result in a more prosperous and vibrant economy.

The tables below provide a snapshot of the impact that in- and out-migration is having on the population by age and educational level:

<b>In-Migration and Out-Migration in Northern and Southern Maine from 1995-2000, Total Among 18-24 Years Old</b>			
<b>Age Group</b>	<b>In-Migration</b>	<b>Out-Migration</b>	<b>Balance</b>
<b>All 5+</b>			
Maine	110,732	107,440	+3,292
Northern Maine	24,571	83,707	-59,136
Southern Maine	86,161	23,733	+62,428
<b>18-24 Years Old</b>			
Maine	16,814	25,733	-8,919
Northern Maine	3,895	19,881	-15,986
Southern Maine	12,919	5,852	+7,067
Source: Public Use Micro Files (PUMS), 5% Census 2000, U.S. Census Bureau, tabulations by Center for Labor Market Studies			

**In-Migration and Out-Migration from Southern Maine by Educational Attainment and by Selected**

<b>Age Groups</b>						
	<b>18-24 Years Old</b>			<b>25-34 Years Old</b>		
<b>Educational Attainment</b>	<b>In-Migration</b>	<b>Out-Migration</b>	<b>Difference</b>	<b>In-Migration</b>	<b>Out-Migration</b>	<b>Difference</b>
Less than 12 or 12	1,105	444	+ 661	1,048	378	+ 670
HS Graduate	3,673	1,360	+ 2,313	3,645	1,338	+ 2,307
Some College	6,196	2,997	+ 3,199	4,627	1,332	+ 3,295
Associate Degree	444	241	+ 203	1,552	556	+ 996
Bachelor's Degree+	1,501	810	+ 691	8,292	1,740	+ 6,552
<b>Total</b>	12,919	5,852	+ 7,067	19,164	5,344	+ 13,820

Source: Public Use Micro Files (PUMS), 5% Census 2000, U.S. Census Bureau, tabulations by Center for Labor Market Studies

**H. Based on an analysis of both the projected demand for skills and the available and projected labor pool, what skill gaps is the State experiencing today and what skill gaps are projected over the next decade?**

As previously discussed, Maine’s labor force has less formal education than average in the rest of the country — and in the last five years the percentage of adults and workers participating in continuing education declined<sup>17</sup>.

Typically, job loss affects those with lower educational attainment the hardest. In Maine a generation ago, the mill job with a high school education ensured a decent standard of living. As the mill jobs disappear, those lacking education have few well-paying options. Higher education is becoming increasingly more important, and Maine currently has a below-average track record for post-secondary attainment.

The Maine Adult Education Association, in a white paper published in 2002, concluded that Maine residents need access to high quality technical and professional education in order to obtain the type of employment that will provide real economic security for themselves and their families. The report emphasizes the key role that Maine’s Adult Education system must play to raise the technical and professional skill level of the state’s adult workforce. In Maine, the Adult Education system is a major component for a trained workforce.

<sup>17</sup> Access to Education and Good Jobs: The Way Life in Maine Should Be. Maine Center for Economic Policy. October 2004.

## Maine employers report difficulty in finding skilled workers

The University of Southern Maine, Center for Business and Economic Research in collaboration with the Department of Economic and Community Development, completed an extensive analysis of Maine’s workforce. Completed in 2001, the report covers five major topic areas from a random sample of employer and household surveys. The five topic areas included:

1. Employment mobility and recruiting trends.
2. Unemployment and underemployment.
3. Employment costs, including both pay and benefits.
4. Education, training and skills.
5. Commuting.

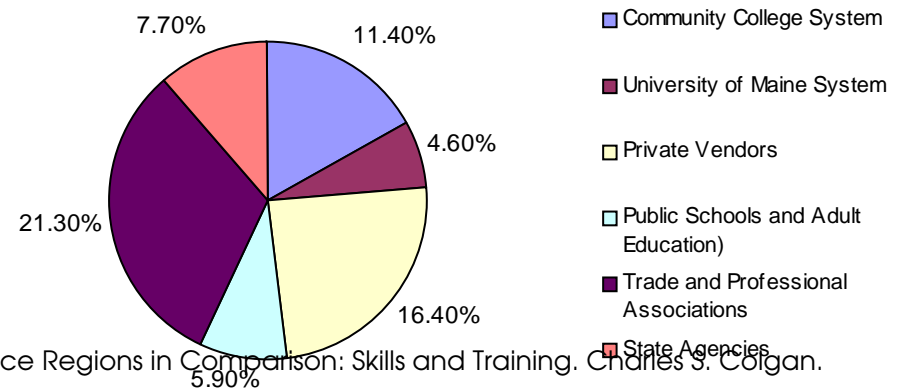
A survey of between 3,637 employer and 6,817 household respondents provided data on the skills, education and training of the workforce.<sup>18</sup> Employers report difficulty hiring new workers who possess basic skills: (Scale 1-5 where 1= “very hard & 5= “very easy”)

Source: DECD and CBER

<b>Communication</b>	<b>2.61</b>
<b>Writing</b>	<b>2.86</b>
<b>Math</b>	<b>3.00</b>
<b>Reading</b>	<b>2.71</b>
<b>Interaction</b>	<b>2.61</b>
<b>Computer</b>	<b>2.93</b>

- **28.1%** - Employer Respondents indicated that they had to provide Basic Skills training for newly hired employees

**Employer Utilization of External Training Organizations**



<sup>18</sup> Center for Business and Economic Research. Maine’s Labor Force Regions in Comparison: Skills and Training. Charles S. Colgan. University of Southern Maine. 2001

- **38.6%** - Employees reported having worked in **Self-Managed Teams**
- **67.9%** - Employees reported having worked with **Cross-Training**
- **28.8%** - Employees reported having worked with **Job Rotation**
- **64.0%** - Employees reported having worked with a **Computer at Work**

Workers who use a **Computer at Work** self-reported proficiency:

- Beginner **11.4%**
- Elementary **24.2%**
- Intermediate **57.2%**
- Advanced **7.2%**

In an effort to narrow the skills gap for low-wage workers and to boost post-secondary degree attainment the National Governor’s Association Pathways to Advancement project establishes a high level policy initiative for linking workforce preparation, workforce education and economic development at the sub-cabinet level. The Pathways project is designed to work in combination with several other initiatives (such as LiLAS) to offer more creative approaches to income support for Maine workers. The project will enhance the role of Maine CareerCenters counselors as Career Navigators; develop seamless services for program participants, and; identify and remove institutional barriers that impede access to higher education.

**I. Based on an analysis of the economy and the labor market, what workforce development issues has the State identified?**

The key issues impacting the alignment of the state’s economic and workforce development strategy are summarized as follows:

- 1. Maine’s population growth has been declining and the state’s workforce growth rate will continue to be slow.** The population is growing older at the same time the out-migration patterns of our young people are posing a threat to Maine’s economic prosperity. During the 1990s, Maine had a net in-migration of people over 35 years of age, and a net out-migration of people less than 35 years of age. “Maine’s Changing Population, A Summary of Structural Changes, Mobility and

Regional Variations” by the Maine State Planning Office, April 2004, states: “Census Bureau estimates indicate that this decade has begun with a faster pace of population growth in Maine. The number of young children is still declining, but estimates for 2003 show a slower rate of decline. The estimates also indicate that the out migration of young adults has begun to slow and, in some parts of the state, reverse.” However, we are still faced with older population that will need more services at higher costs, coupled with fewer and fewer young people to provide the economic base those services will require. Maintaining the age diversity of the state’s population and workforce is an economic crucial. We need to encourage more workers, both young and older to become active workforce participants.

2. **Maine’s labor force has less formal education than average in the rest of the country — and in the last five years the percentage of adults and workers participating in continuing education declined.** More effort and resources must be committed to promote post-secondary educational achievement. The scarcity of skilled workers, particularly in occupations that require technical training beyond the secondary level, will have an enormous impact on the long-range economic prosperity of Maine. To grow Maine’s economy we will need to upgrade the skill level of our workforce.
3. **More working Maine families are finding it harder to make ends meet.** One in four working families does not earn enough pay for basic housing, transportation, education and food. In recent years the wage disparity for many workers has become even more pronounced. We need to be able to better assist youth, people with disabilities, women, recent immigrants and low wage workers with access to a career lattice and to help them develop income growth strategies.
4. **A broad range of service providers make up the state’s workforce and economic development system.** While it’s true that ongoing support for Maine’s economic vision is critical to our success, the effectiveness of providing services will be measured by the extent to which separately funded programs become more integrated and seamless to business and job seeker customers.



**J. What workforce development issues has the State prioritized as being most critical to its economic health and growth?**

The Governor has established statewide goals, objectives and system performance measures for the delivery of quality programs that promote the coordination of employment and training activities at the state and local levels. The following goals, objectives, and strategies developed by the MJC in collaboration with Maine's four Local Workforce Boards, and partner agencies establish common outcome objectives to drive concerted planning and coordinating efforts among state agencies, local education, training, employment and support service providers: WIA Goals and Objectives for Program Year 2005-2006

**GOAL #1:**

To position *low-income individuals, unemployed and entry-level incumbent workers* to more effectively participate in the workforce and benefit from the economy.

**1. OBJECTIVE:**

Develop public/private partnerships that create opportunities for unemployed, low-wage, low skilled workers to gain employment and move up job and career lattices throughout their lifetime.

**Strategies**

- a. Establish state level policies that target career development and career advancement credentials for low-income adults and entry-level incumbent workers.
- b. Develop coordinated "career lattice" opportunities within growing industry sectors.
- c. Utilize On-the-Job Training as a first step toward Registered Apprenticeship as a dual skill development and income growth strategy.
- d. Provide services and supports that are accessible to an employed working population.
- e. Develop a marketing and educational outreach campaign to raise low income and low wage earner awareness of the services and supports available to them.
- f. Create stronger linkages with higher education programs and help to improve access, retention and success for working adults pursuing skills and credentials.

- g. Increase basic skills and English as a Second Language (ESL) instruction that is integrated with occupational skills training.
- h. Create access to training for low wage workers through the LiLAS initiative and NGA Pathways Project.

**2. OBJECTIVE:**

Increase opportunities for young disadvantaged people to learn how to build their careers through career and technical education opportunities.

**Strategies**

- a. Develop individual career plans that are integrated with a wide range of in-school and out-of-school programs to build a strong connection between learning and employment.
- b. Develop career pathways for youth in the high-wage, high-demand occupations and non-traditional occupations.
- c. Develop a comprehensive statewide-targeted outreach campaign to encourage young people, including disadvantaged groups, to participate in work-based mentoring programs.
- d. Promote On-the-Job training, Pre-Apprenticeship and Registered Apprenticeship to create a structured career path for youth.
- e. Develop stronger linkages between the CareerCenters and Maine’s two Job Corps Centers.
- i. Strengthen the integrated approach of the state-level Maine Children’s Cabinet in active collaboration to create and promote coordinated policies and services delivery systems supporting children, families and communities.
- f. Develop agreements between the Departments of Labor, Corrections and Health and Human Services and other youth serving organizations to support increased local collaborations that provide positive career opportunities for youth

**GOAL #2:**

Promote employment and skills training opportunities that provide *livable* wages leading to worker *economic security*.

**1. OBJECTIVE:**

Increase the proportion of jobs in Maine that provide workers access to wages that will support a family.

### **Strategies**

- a. Establish clear job placement, job retention and advancement policies and services that support workers and their families to achieve economic security.
- b. Emphasize livable wage, high wage and high skill employment through programs such as the Governor's Training Initiative and Maine Quality Centers.
- c. Provide economic literacy training to jobseekers coordinated through Maine's CareerCenter system.
- d. Target training and placements with businesses that offer employee benefits, including health care, childcare expense reimbursement.
- e. Utilize the efforts of Lifelong Learning Accounts (LiLAs) to develop employer-matched individual asset accounts to finance lifelong learning so that workers can achieve their career goals and advance into family-sustaining jobs.

### **2. OBJECTIVE:**

Increase access educational and training opportunities for low-income and low-wage workers who are seeking post-secondary education.

#### **Strategies**

- a. Utilize On-the-Job Training as a first step toward Registered Apprenticeship as a dual skill development and income growth strategy.
- b. Establish a statewide "priority of service" policy to target training and educational services.

### **3. OBJECTIVE:**

Ensure that low-income, low-wage workers are fully informed of all of the assistance opportunities that are available to support their educational goals.

#### **Strategies**

- a. Identify procedures for the utilization of temporary work supports (EITC, Child Tax Credit, Workers Opportunity Tax Credit (WOTC), Food Stamps, Medicaid, etc.) to augment training and work plans.
- b. Expand access to support services such as childcare and transportation for enrolled participants.

### **4. OBJECTIVE:**

Develop a standard statewide methodology for defining and tracking "livable wage" goals as an indicator of economic stability.

### Strategies

- a. Design a method for a basic needs budget calculator for individuals and families to use as benchmark to achieve economic stability.
- b. Develop a job placement standard higher than the lower living standard income level (LLSIL).
- c. Increase the number of job placements that provide access to health care benefits.

### GOAL #3:

Build a stronger ***demand-side involvement*** through business and industry participation as partners, collaborators, advisors and investors in workforce hiring and training.

#### 1. OBJECTIVE:

Increase the number of business partnerships with industries that provide facilities, faculty, and equipment in high-wage, high-demand sectors.

#### Strategies

- a. Use WIA resources to leverage state, local and private investment in education and training
- b. Develop a business services expanded outreach policy.

#### 2. OBJECTIVE:

Increase the percentage of frontline employees who attend an educational seminar, program or course through their place of work.

#### Strategies

- a. Target training and job placement opportunities with employers in growing industry sectors who offer workers training and advancement opportunities
- b. Develop competency-based education and training programs, modular curricula and assessments that are linked to industry skill standards

#### 3) OBJECTIVE:

Increase the number of businesses who utilize CareerCenter services for recruiting and hiring employees.

### **Strategies**

- a. Design a streamlined and effective job matching systems utilizing skill based job descriptions through O\*NET and assess worker skills, knowledge and abilities against those standards.
- b. Enlist businesses as advisors, educators and training providers to develop workforce policy.
- c. Expand partnerships with businesses to market employment and career opportunities to youth, women, people with disabilities and others.
- d. In partnership with business and education to develop a worker "certification" process that is supported and endorsed by the business community.
- e. Engage business to mentor and hire youth through work experience, On-the-Job training, Pre-apprenticeship and Registered Apprenticeship.
- f. Provide businesses with high quality labor market information services that respond to current and emerging changes with industries.

### **GOAL #4:**

Provide system support for workforce development through ***professional practices and capacity building*** within the CareerCenters.

#### **1. OBJECTIVE:**

Create a centralized and coordinated staff development and training system to support CareerCenter staff professionalism.

#### **Strategies**

- a. Assign a dedicated position within the MDOL to provide staff development and training coordination.
- b. Establish a statewide committee consisting of membership from the CareerCenter system to act as an advisory group for staff development and training requirements.
- c. Identify funding mechanisms for supporting ongoing staff development and training activities.
- d. Establish a comprehensive staff development and training tracking system.
- e. Create a Labor Market Information Training Academy.

#### **2. OBJECTIVE:**

Ensure that all CareerCenter staff and partners have access to Career Development Facilitator Certification and Workforce Development Facilitator training.

### **Strategies**

- a. Adopt a set of CareerCenter Consultant competencies and further develop Career Development Facilitator Certification curriculum.
- b. Maintain and deliver Career Development Facilitator Certification curriculum at least two times per year.
- c. Adopt a set of CareerCenter Management and Leadership competencies, design curriculum and provide training on an ongoing basis.
- d. Partner with the Division of Labor Market Services to develop LMI Academy curriculum and training.

### **GOAL #5:**

Provide a focus on ***program alignment*** between CareerCenter and community partners to ***increase collaboration*** through greater levels of ***service integration***.

### **1. OBJECTIVE:**

Increase the effectiveness and efficiency of the workforce system partners and articulate roles and responsibilities for the seamless and integrated delivery of services.

### **Strategies**

- a. Develop a Memorandum of Understanding between the Maine Jobs Council and the Local Workforce Investment Boards that articulates the roles and responsibilities for governance and policy setting.
- b. Develop a Memorandum of Understanding between the Maine Department of Labor and the Local Workforce Investment Boards that articulates the roles and responsibilities for CareerCenter oversight, resource allocation and program evaluation.
- c. Develop a Memorandum of Understanding among the internal Department of Labor partners to articulate roles and responsibilities, leveraged resources, and service integration plans.
- d. Identify individuals to serve as CareerCenter Coordinators to ensure that coordination and effective communication is occurring with the CareerCenter and partner level.
- e. Complete an analysis of all the dedicated functions and processes within the CareerCenters to identify and eliminate duplication.

## 1. OBJECTIVE:

Establish statewide policies and practices that promote program alignment and service integration for all CareerCenter customers.

### Strategies

- a. Develop CareerCenter level service integration strategies that include shared staffing configurations, joint training plans and shared resources.
- b. Improve CareerCenter service by collecting and evaluating feedback from job seekers and businesses and adjusting service strategies as necessary.
- c. Maintain and expand the One Stop Operating System to accommodate the needs of all CareerCenter partners.
- d. Develop statewide policies that promote alignment with program and services eligibility.
- e. Develop common performance measures.
- f. Provide a forum for workforce, economic development, education, social services and other community-based providers to engage in planning and program development for the purpose of creating streamlined service efficiencies and non-duplication.
- g. Develop an integrated Business Services strategy that provides a coordinated response to delivering services that are streamlined and easy to navigate.
- h. Develop co-enrollment policies.
- i. Strengthen state-level cross-agency communication through participation on the Department of Education Truancy, Dropout and Alternative Education Advisory Committee.
- j. Promote stronger working relationships between CareerCenters and local Alternative Education providers.
- k. Complete the development of MDOL's Enterprise Computing and Data Warehouse to store all information to be used for reporting and ad hoc purposes, accessible by all Bureau-level applications as well as other desktop query tools.

### GOAL #6:

Insure that CareerCenters and community partners deliver relevant services that are **results driven** and include a high level of **accountability**.

**1. OBJECTIVE:**

Develop a performance accountability system for workforce development that is integrated across programs.

**Strategies**

- a. Implement common performance measures among all CareerCenter partners
- b. Identify CareerCenter Coordinators who are assigned key responsibilities for coordination and communication of performance and outcome expectations
- c. Complete the development of MDOLs Enterprise Computing and Data Warehouse to store all information to be used for reporting and ad hoc purposes, accessible by all Bureau-level applications as well as other desktop query tools.

**2. OBJECTIVE:**

Insure that CareerCenters and community partners deliver relevant services that are results driven and include a high level of accountability.

**Strategies**

- a. Support Maine's Youth Councils to promote improved performance outcomes that benefit youth, families, employers and the community.
- b. Conduct comprehensive monitoring and evaluation of all relevant services and coordination agreements.
- c. Provide system incentives for shared performance leading to successful outcomes.

**V. Overarching State Strategies**

**A. Identify how the State will use WIA Title I funds to leverage other Federal, State, local, and private resources in order to maximize the effectiveness of such resources and to expand the participation of business, employees, and individuals in the Statewide workforce investment system. (§112(b)(10).)**

State and local workforce development practitioners recognize the need to build a system so valuable that other organizations will be willing to invest in. More than the financial contributions of each partner, the alliance-based systems development approach will attract involvement from other federal, state



and private resources. Coordinating resources among state, regional and local public and private entities builds credibility as a shared system, with each contributor having commensurate decision-making authority.

Specific examples of the manner in which WIA Title I funds are typically leveraged in Maine include:

- Maine State Legislature has provided \$1,320,824 in general revenue funds for CareerCenters to invest in workforce training.
- MDOL and Local Workforce Boards responded to a number of significant downsizing and closure events in PY 2003. During the program year beginning July 1, 2003 through June 30, 2004, we received eight new NEG awards totaling \$3,357,592.
- The Governor's Training Initiative (GTI) provided \$1,905,016 investment in training for Maine workers. The private sector match for GTI amounted to \$3,643,318, for a total investment of \$5,548,334
- The Trade Adjustment Act program budget for PY 2003 was \$8,529,803
- Wagner-Peyser funds that are expended to provide core services and universal access within the CareerCenter amounted to \$3,979,190

**B. What strategies are in place to address the national strategic direction discussed in Part I of this guidance, the Governor's priorities, and the workforce development issues identified through the analysis of the State's economy and labor market? (§112(b)(4)(D), 112(a).)**

As previously discussed, there is alignment between the Governor's priorities and the national strategic focus that has been ongoing in Maine for the past several years, and that will continue to be emphasized through the next several years. Policies that promote and contribute to the overall workforce and economic strategy laid-out by the Governor will be realized in a number of significant ways. Major contributions to date of the MJC's and the Local Boards progress are cited in the summary that follows.

- MJC and Local Boards policies have guided the CareerCenters toward brokering significant training resources for job seekers. As a result, training plans are typically funded from a variety of sources

including WIA, Trade Adjustment Funds, National Emergency Grants, PELL, other demonstration/project grant funds and the Governor's Training Initiative (jointly administered by MDOL and the Department of Economic and Community Development with General Revenue funds).

- The Governor's Workforce Cabinet is in place and charged with aligning workforce and education policy across state government at the highest level to craft new strategies and find creative solutions that cut across traditional boundaries.
- Maine has placed a high priority on youth – to ensure they have best opportunities available to live and thrive here. The MJC, MDOL and Local Boards have participated in key leadership roles to promote the **Creative Economy** initiative and **REALIZE! Maine**.
- The Governor's economic development plan is being supported by the Local Boards, who have developed several High Growth Initiative projects by focusing on sector approaches in the areas of tourism, marine-related trade, and radio frequency identification technologies (RFID).
- The MJC has been working with the Department of Education to expand the use of career preparation curricula under the **Maine Learning Results**.
- MDOL and the LWBs market to employers the variety of workforce development services available, the benefits of workforce development, and the benefits of posting jobs in the CareerCenter system.
- Provide training and job placement services that emphasize livable wage, high wage and high skill employment through programs such as the Governor's Training Initiative and the Maine Quality Centers.
- Through ongoing planning and service delivery, MDOL has strengthened the intra-departmental efforts to coordinate Unemployment Insurance, Bureau of Rehabilitation and Labor Market Information services as key partners and programs within the CareerCenters.
- The Governor's Workforce Cabinet has been engaged in a comprehensive "mapping" process intended to define the delivery system and link all its components into a seamless enrollment and guidance system to include CareerCenters, University System, Community College System, Adult Education programs and secondary schools in order to streamline paperwork and eliminate duplications.
- MDOL has developed a strong linkage with a variety of statewide economic development organizations, statewide network of training providers and federal partners to promote entrepreneurship and self-employment options.

- Through initiative such as LiLAS and the NGA Pathways Project narrows the skills gap for low-wage workers and boost post-secondary degree attainment. Both of these initiatives work in concert to establish a high-level policy approach for linking workforce preparation, workforce education and economic development.

With many of these efforts part of the ongoing commitment to produce system alignment we are now entering into a new period marked by a fresh set of challenges and opportunities; and we will continue to move forward to promote the Economic Vision set by forth by Governor and the workforce development system goals recommended by MJC. The Council is committed to working with the local boards and their partners to promote a stronger workforce support system and to further streamline and improve the delivery of services through the CareerCenters over the next few years.

**C. Based on the State’s economic and labor market analysis, what strategies has the State implemented or plans to implement to identify and target industries and occupations within the State that are high growth, high demand, and vital to the State’s economy? (§112(a), 112(b)(4)(A).) The State may want to consider:**

- 1. Industries projected to add a substantial number of new jobs to the economy; or**
- 2. Industries that have a significant impact on the overall economy; or**
- 3. Industries that impact the growth of other industries; or**
- 4. Industries that are being transformed by technology and innovation that require new skill sets for workers; or**
- 5. Industries that new and emerging and are expected to grow.**

As previously stated, the industries that are projected to have the most significant growth and the greatest impact on Maine’s economy will be widely dispersed between mature and emerging sectors. Based on forecasts, we expect the natural resources and mining; construction and services will provide the greatest potential for growth and expansion. Within the mature and emerging sectors, the Governor’s Economic Vision is to promote expansion through significant research and development in these key industries:

- Advance technologies for forestry and agriculture products,
- Aquaculture and marine technology related business,
- Precision and niche manufacturing
- Tourism
- Biotech and biomedical technologies and research
- Financial services
- Radio frequency identification technologies (RFID)

**D. What strategies are in place to promote and develop ongoing and sustained strategic partnerships that include business and industry, economic development, the public workforce system, and education partners (K-12, community colleges, and others) for the purpose of continuously identifying workforce challenges and developing solutions to targeted industries' workforce challenges? (§112(b)(8).)**

In 1997, the Maine State Legislature established the Maine Jobs Council to tackle statewide policy and service integration issues to help Maine's workforce and businesses compete successfully in the new global economy. The MJC evolved from combining nine somewhat independent statewide councils into one integrated workforce development policy board. Since its inception, the MJC has worked collaboratively to articulate an overall vision for the system, and through a strategic planning process, established specific goals to promote achievement of the vision.

The advancements that have been made are only the beginning of the larger process of creating alignment among workforce development systems education and training components. State and local boards have been reorganized, new leadership principles have been instituted that promote visioning and strategic planning, and effective one-stop distribution points have been established which promote seamless customer referral and access to programs regardless of their physical location. Under the continued leadership of the Maine State Legislature, MJC, the Local Workforce Boards and the inclusion of other key stakeholders, we have the opportunity to promote better program and services integration, to establish better linkages among stakeholders, and to help in leveraging the vast array of resources available to support workforce education and training that is relevant to existing and emerging business needs.

The stakeholders in the workforce system extend far beyond the WIA by including other state and federal education and job training providers, and the business community. In addition to the Maine Department of Labor programs, the primary systems for providing access to training resource, skills training and/or workforce education consist of programs offered by the Maine Department of Education, including the public school Adult Education System, the University of Maine System, Maine Community College System, regional vocational centers, private colleges and other proprietary schools.

The primary role of Council is to convene stakeholders and then work collaboratively to establish policy and framework that result in better alignment of program services and resources.

In order to revitalize its role in relationship to the Governor and the Workforce Cabinet, the Maine Jobs Council was restructured in 2005. The primary purpose of the restructuring process was to refocus the Council's efforts on broader policy issues, proactively provide recommendations to the Governor and Legislature and to mobilize coalitions to take action. The newly reconstituted MJC is charged with affecting better integration between workforce development into economic development, education and human service systems and to create overall system accountability. The Council is committed to providing the leadership necessary to promote economic and workforce development through policies that assist Maine business to attract and retain the skilled workforce they need remain prosperous. Together, the Workforce Cabinet and the MJC will promote policies that leverage resources to invest in raising the education level of Maine's workforce.

**E. What State strategies are in place to ensure that sufficient system resources are being spent to support training of individuals in high growth/high demand industries? (§112(b)(17)(A)(i), and 112(b)(4)(A).)**

The Maine Jobs Council and Local Workforce Boards are charged with developing plans that maximize the utilization of state workforce development services. These advisory boards monitor agency and system-wide strategic goals based on the statewide and local area workforce development policy and strategic plan and evaluate progress toward meeting those goals. The Governor's economic development plan capitalizes on high growth, high demand occupations and is supported by the MJC and Local Boards who have developed several High Growth Initiative

projects by focusing on sector approaches in the areas of tourism, marine-related trade, and radio frequency identification technologies (RFID).

At the CareerCenter level, leadership in demand-driven workforce systems is reflected in the commitment to business and industry through the Governor's Training Initiative, Apprenticeship, multiple industry association partnerships, and workforce development certification of CareerCenter staff.

The Department of Labor has developed targeted job search, which identifies high growth industries and occupations. America's Career Information Network (ACINet) LMI database is populated with data on high growth occupations. Specific information regarding high growth industries and occupations is disseminated to CareerCenters, workshops and job fairs. These include, but are not limited to, *Hot Jobs in Maine*, *Careers in Maine for College Graduates*, and *100 Highest Paying Jobs in Maine*. 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 incorporated into the Maine Employment Information Guide.

**F. What workforce strategies does the State have to support the creation, sustainability, and growth of small businesses and support for the workforce needs of small businesses as part of the State's economic strategy? (§§112(b)(4)(A) and 112(b)(17)(A)(i).)**

For more than a decade, Maine has been at the forefront of serving small business and entrepreneurship through the workforce system. In partnership with the U.S. Small Business Administration, the Departments of Labor, Economic and Community Development, and Education Maine has a strong collaborative partnership model in place to support small business development in the CareerCenter environment. Maine also has one of the most successful Self-Employment Assistance Programs in the country to support unemployment insurance claimants who choose to become small business owners under the Maine Enterprise Options (MEO) program.

Entrepreneurship and microenterprise development has been a particularly important strategy for assisting low-income women. In Maine, women constitute 50% or more of the MEO participants. The MJC Women's Subcommittee has been actively engaged in promoting women's business ownership as part of the overall economic security agenda.

Through the Department of Labor, the MJC has been staff to the Small Business Commission, Entrepreneurship Working Group (EWG) Steering Committee and has participated in many EWG initiatives, including the statewide assessment of Maine's entrepreneurial leadership assessment conducted by the Ewing Marion Kauffman Foundation and development of the **Business First** model. This was subsequently presented to the Commissioner of the Department of Economic and Community Development as an approach for promoting small business assistance coordination. The plan will continue to support and expand on existing efforts to promote small business as an economic development tool.

**G. How are the funds reserved for Statewide activities used to incent the entities that make up the State's workforce system at the State and local levels to achieve the Governor's vision and address the national strategic direction identified in Part I of this guidance? (§112(a).)**

WIA provides for a yearly Incentive from State Adult and Dislocated Worker funds to be awarded to local areas for three purposes: 1) regional cooperation among local boards; 2) for local coordination of WIA activities; and 3) for exemplary performance by local areas on the local performance measures (WIA §134(a)(2)(B)(iii)) and 20 CFR §666.400.

The MJC and MDOL recognize that the Local Workforce Investment Boards (LWIBS) and the CareerCenters should base the award of WIA Incentive Funds on rewarding exemplary performance. The intent is to recognize and reward unique efforts in supporting the workforce and economic development goals of WIA and the State of Maine.

Grants will be made available to Local Boards who submit an application for funds. WIA Incentive Funds will be awarded based on innovative approaches leading to successful attainment of the State's workforce and economic development goals.

The process for approving an application will be based on a description of innovative approaches the local area will undertake in the coming program year to support any combination of activities leading to: 1) regional cooperation among local boards; 2) for local coordination of WIA activities; and 3) for exemplary performance by local areas on the local performance measures (WIA §134(a)(2)(B)(iii)) and 20 CFR §666.400. In addition, the planning application will describe the LWIBs approach to meeting Maine's Strategic Economic and Workforce Development Goals.

By August 1, 2005, the MJC will issue a policy addressing the application process and award criteria.

**H. Describe the State's strategies to promote collaboration between the public workforce system, education, human services, juvenile justice, and others to better serve youth that are most in need and have significant barriers to employment, and to successfully connect them to education and training opportunities that lead to successful employment. (§112(b)(18)(A).)**

In July 2005, the Employment and Training Administration issued TEGN # 3-04 describing an overarching priority for the entire workforce investment system: to meet the demands of business by providing adults and youth with the necessary educational, occupational and other skills training and services needed for high demand occupations in the 21<sup>st</sup> century.

In August 2005, the Maine Department of Labor polled Maine's providers of WIA youth services to determine program alignment with the new vision. Collecting this information on current services to youth and employers provided a base upon which to build Maine's effort to support the Vision.

The initial strategy was to educate the workforce development system and its partners about the new priorities. To that end, MDOL met with partners in youth services and, to date has made presentations to the following:



- Maine’s Local Workforce Investment Board Directors
- Maine’s four Youth Councils
- CareerCenter Managers and Youth Services Staff
- Partners:
  - Maine Department of Health and Human Services, Bureau of Child and Family Services staff (serving youth in foster care)
  - Maine Youth Opportunity Initiative (MYOI) staff (serving youth in foster care)
  - Maine Department of Corrections (DOC) staff (serving adult and juvenile offenders)
  - Maine Department of Corrections, Office of Serious and Violent Offender ReEntry, State Steering Committee and four Local Steering Committees (serving young offenders re-entering their communities)

Additionally, DHHS Life Skills Workers and MYOI Regional Coordinators have given presentations on their jobs to each Youth Council. These activities have greatly improved the opportunity for intra-agency coordination and collaboration.

MDOL has also shared information, solicited feedback and continues to engage:

- Volunteers of America (Mentoring Children of Prisoners Program)
- Migrant and Seasonal Farm Worker Program
- Jobs for Maine’s Graduates
- Maine’s Job Corps
- Truancy, Dropout, Alternative Education and Homeless Youth Advisory Committee, Maine Department of Education
- Career and Technical Education, Maine Department of Education
- Governor’s Children’s Cabinet
- Registered Apprenticeship Program, Maine Department of Labor

This Plan includes specific goals and activities related to the Strategic Vision for Youth Services, and will provide guidance to Local Boards around youth service priorities.

With DHHS, MYOI and DOC, MDOL has developed Memoranda of Agreement (MOA) that are in the process of completion. The MOA delineate steps to be taken at the state and local levels to affect the Vision.

MDOL is creating a means to provide current lists of job openings to institutionalized offenders.

MDOL's One Stop Operating System of information management was originally designed to include counts of youth enrolled in WIA who were offenders and those in foster care. Changes have recently been implemented that include new counts of youth who are children of offenders or who are migrant. This will give accurate data on numbers served for the four main youth target groups mentioned in the Vision.

MDOL provides ongoing support and technical assistance for local staff initiatives in collaborating with partners that work with youth.

**I. Describe the State's strategies to identify State laws, regulations, policies that impede successful achievement of workforce development goals and strategies to change or modify them. (§112(b)(2).)**

One of the roles of the MJC is to develop linkages in order to assure coordination and non-duplication among the programs and activities carried out by the CareerCenter partners, including, as necessary, addressing any impasse situations in the development of the local memorandum of understanding. Procedures to resolve impasse situations at the local level in developing MOUs are contained in the MDOL policy "CareerCenter Informational Notice #5." There are no State policies that are known to act as an obstacle to the development of Maine's workforce investment system.

**J. Describe how the State will take advantage of the flexibility provisions in WIA for waivers and the option to obtain approval as a workflex State pursuant to § 189(i) and §192.**

MDOL currently has a waiver in place to delay the application of "Subsequent Eligibility of Training Providers" requirement for all students, which expires on June 30, 2005. MDOL is requesting an

extended waiver to postpone the application of "Subsequent Eligibility of Training Providers" requirements for "all students" until June 30, 2007.

**VI. Describe major State policies and requirements that have been established to direct and support the development of a Statewide workforce investment system not described elsewhere in this Plan as outlined below. (§112(b)(2).)**

The following policies and guidelines have been issued to the LWIBs and to the CareerCenter Managers:

- 1-00 Individual Training Account Policies and Guidelines
- 2-00 Eligible Training Provider Certification Requirements
- 3-00 On-the-Job Training Policy
- 4-00 Customize Training Policy
- 5-00 Memorandum of Understanding Policy and Guidelines
- 6-00 Local Workforce Investment Board Certification and Recertification

The following policies are under development by the MDOL and will be issued during the WIA Strategic Plan Modification period:

- 1. Memorandum of Understanding w/Business and Trade Associations
- 2. Provision of Core, Intensive and Training Services
- 3. Self-Sufficiency Measures/Livable Wage Calculator
- 4. WIA Eligibility Criteria – Priority of Service
- 5. Incentive/Sanctions
- 6. Supportive Services/Participant Payment Policy
- 7. Needs-Based/Needs-Related Payment Policy
- 8. WIA Fund Recapture/Reallocation Policy
- 9. Improved Access to Services
- 10. Performance Standards Outliers Policy
- 11. Service Integration

12. O\*NET Assessment Standards
13. Staff Development and Training
14. Sectarian/Religious Activity Policy
15. National Emergency Grant Application Procedures
16. Testing Services for Employers

**A. What State policies and systems are in place to support common data collection and reporting processes, information management, integrated service delivery, and performance management? (§§111(d)(2) and 112(b)(8)(B).)**

Maine's CareerCenter partners essentially operate programs and collect activity and outcome information from an integrated information management system. To facilitate the flow of information among the Wagner-Peyser, Rehabilitation Services, and WIA partners, the MDOL has developed a One-Stop Operating System (OSOS), which is a computerized database that tracks the individuals served under WIA Title I and Wagner-Peyser. OSOS is fully operational as the primary WIA customer information system of the Department. Currently, WIA and Labor Exchange partners are using the full OSOS; BRS uses the scheduling portion of the OSOS.

Data from the Trade Adjustment Assistance (TAA) and Work Opportunity Tax Credit (WOTC) programs are also included in OSOS. In addition, there will be shared data from programs unique to Maine - the Business Visitation Program, the Apprenticeship Program, and the Governor's Training Initiative.

The state-level One Stop Operating System Workgroup has developed common definitions and common points at which data is collected for reporting and performance purposes, including the reporting requirements for the Workforce Investment Act Standard Record (WIASRD).

The Federal WIA Standards Reporting Data (WIASRD) elements have been incorporated into OSOS. The OSOS is programmed to generate the required reports. Data collection is continuous on a "live" on-line system; that is, data is not periodically downloaded for access.

Employers doing business in Maine are required to report UI wages quarterly to the MDOL, Bureau of Unemployment Compensation. The wage data is available to verify UI status and produce the

required performance reports. These reports can be produced as needed to monitor performance. This will enable MDOL and local areas to operationalize the concept of continuous improvement.

As new partners, required and otherwise, are brought into the system, they will all have access to the basic customer biographical information. System partners will be encouraged to access OSOS for the purpose of facilitating common access and common intake. We will also encourage partner to use OSOS for common tracking and reporting.

MDOL is committed to consolidating the multiple data collection streams from within the Department into a common database. The approach that the MDOL is currently undertaking is called Enterprise Computing. This IT infrastructure represents a more centralized approach than is now possible because of recent technical advances. In addition to a centralized application database environment, the future brings expanded options in terms of the availability of central technical resources such as document imaging, printing, and post-processing. These resources exist today but are not fully utilized and, in the case of imaging technology, are today not accessible to the far reaches of the Department.

This implementation also includes a Data Warehouse, which, for the first time, will provide the platform for addressing data needs at a Departmental level. It will be the mechanism for providing analysis to better satisfy customer needs, identifying current trends, solving problems, answering ad hoc questions from the Legislature, producing Federal reports, and providing staff throughout the Department with the ability to access their data directly (rather than just through "canned" system reports).

**B. What State policies are in place that promote efficient use of administrative resources such as requiring more co-location and fewer affiliate sites in local One-Stop systems to eliminate duplicative facility and operational costs or to require a single administrative structure at the local level to support local boards and to be the fiscal agent for WIA funds to avoid duplicative administrative costs that could otherwise be used for service delivery and training? (§§111(d)(2) and 112(b)(8)(A).)**

MDOL will continue to work closely with the local areas to assist in the continued growth and development of local CareerCenters. Over the past five years, MDOL, working closely with the Local

Workforce Boards and the Bureau of Rehabilitation Services, has played a lead role in the establishment of CareerCenters to establish effective funding mechanisms.

Some examples of this continued role are:

- MDOL will continue to invest WIA setaside funds in the development of automated systems (OSOS) and modules (Ad Hoc Data Base) to meet the administrative data requirements.
- MDOL will partner with the Departments of Economic and Community Development and others to continue assisting CareerCenters with demand side products and services and with the establishment of employer-based Community Agreements.
- MDOL 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.
- In 2005, MDOL will work with the MJC and Local Workforce Boards to establish incentive grant procedures and policies that will help drive local centers to achieve stated goals.
- MDOL will continue to partner with statewide programs such as the Job Corps and the Community College System to assure easy referrals and seamless transitions back and forth between the CareerCenters and these entities.
- MDOL will continue to operate and manage the statewide Eligible Training Provider approval process.
- MDOL will continue to fund the independent collection of Job Seeker and Employer Customer Satisfaction Data Collection.
- MDOL will utilize WIA Setaside funds to develop a centralized and coordinated staff training and develop a system to assist in CareerCenter capacity building.

**C. What State policies are in place to promote universal access and consistency of service Statewide? (§112(b)(2).)**

The mission of the CareerCenters to operate a customer-focused service that *empowers all* adults to obtain the information and training they need whether they are employed or unemployed; this challenges the system to be able to effectively balance the goal of universal access against the reality of competing demands and limited resources. Multiple programs are expected to have a broader and singular (shared) customer interface with clear pathways between and among them. Maine has very limited WIA resources to invest in training; we have an unlimited opportunity to foster collaborations and access other training funds to benefit all workforce participants.

In this environment, service providers should no longer make training investments unilaterally and autonomously; they leverage training investments while brokering their own. Perhaps most important of all, programs are expected to contribute to an overall system that serves all workers in some capacity. To help the system reach its goals, the Maine Jobs Council must begin to collaborate with the Local Workforce Investment Boards, economic development, education, corrections and human services on a system-wide workforce investment strategy. This system-wide workforce investment strategy must, as it's cornerstone, have integration of systems, programs and services as the foundation, and enhanced access to resources for all partners as an outcome.

We cannot build a strong workforce system without demand-side participation. The role of business and industry in building an integrated system is minimally, twofold. Business and industry must be willing to participate as a partners collaborators and advisors. Business and industry must also come to the table willing to support Maine's existing and emerging workforce with investments in training, benefits and good wages. The extent to which Maine's workforce system is sophisticated and integrated across programs and services will determine the level of support we have from the business community. Like workers, business will not respond well to a system that is fragmented and confusing. Moreover, when lapses occur between services that workers receive and services to employers, the system is not contributing to workforce and economic growth.

The context for integration occurs at the **systems** level and the **service or program** level. At the systems level, the WIA Strategic Plan evokes a strategy for promoting stronger statewide integration.

The Plan laid out the creation of four new local workforce investment areas that are designed to achieve closer alignment between workforce education, human services and economic development jurisdictions.

MDOL, LWIBs and Community-based partners began working on the development of Memorandum of Understandings (MOUs) to ensure seamless and integrated services as well as shared performance measures among required partners. The MOUs address key coordination, referral and funding issues among the various partners.

The WIA Five-Year Plan identified the establishment of four Youth Councils charged with promoting an integrated system of academic and occupational learning. The role of the Youth Council is to recommend to the LWIB a plan relating to youth services, identify service providers and coordinate local youth programs and initiatives. Over the next two years, a renewed focus on youth services will require broader service provider participation. At the Maine Jobs Council level, participants in the **REALIZE! Maine** initiative have come to the table working toward effective workforce service strategies for youth. The intent over the next two years is to expand **REALIZE! Maine** participation at the local workforce board level.

At the CareerCenter or program level the goal of providing universal access and consistency is an ongoing effort. In 2002, the leadership of Maine's CareerCenter system launched an initiative that would generate clarity and consensus to a shared image of integrated service delivery.

The emphasis on seamlessness and integrated service delivery within the CareerCenters resulted in several sites volunteering to participate in a piloted approach to organizing staff and program resources between WIA and Wagner-Peyser. Some of the key guidelines for implementing this integrated service model included:

- Providing a framework for organizing work and customer flow based on the three tier service levels (core, intensive and training) currently in place.
- Organizing Wagner-Peyser and Workforce Investment Act services into "functional" teams. The team members are assigned according to function and the level of service.
- Teams are organized to be "fluid" and overlap.



- Teams could be designed to rotate among the levels of services (i.e., Team "A" provides Core A/B services for three months and then rotates to providing Intensive Services for three months, etc.)
- The majority of staff in the CareerCenter engages customers in "initial assessment" and basic up-front triage services.
- All customers are shared.

Within this planning cycle, MDOL will seek to achieve a higher level of service provider and system alignment through cooperation and collaboration with workforce, economic development, and community-based partnerships. We will seek to produce better worker and demand side services that promote seamlessness and result in greater integration.

**D. What policies support a demand-driven approach, as described in Part I. "Demand-driven Workforce Investment System", to workforce development – such as training on the economy and labor market data for local Board and One-Stop Career Center staff? (§§ 112(b)(4) and 112(b)(17)(A)(iv).)**

For the past several years, through the support and guidance of the MDOL, each local CareerCenter has been involved 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 MDOL 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 basis;
- 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.

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. **Community Agreements** 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, 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 State and LWIB partnering to lead the implementation approach around 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, are organized according to Core, Intensive, and Specialized Training Services, and are 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.

In 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, and may be used 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 is facilitated by CareerCenter professionals at each CareerCenter.

The MJC is fully committed to a workforce system that is demand driven. The actions of the Council have been primarily focused on achieving alignment between the needs of Maine business and the skill level of the workforce. To coincide with the appointment of the Governor's Workforce Cabinet, the Division of Labor Market Services was charged with producing the "State of the Workforce" report that has been referenced throughout this plan. The report is intended to provide policy makers, workforce and economic development professionals and the general public with a snapshot of Maine's current and emerging workforce needs.

Maine is one several of states participating in the Local Employment Dynamics (LED) Program. LED is an innovative new state/federal partnership with U.S. Census Bureau and MDOL to provide new demographic employment information, Quarterly Workforce Indicators (QWI). Local decision makers, employers, workers, transportation agencies, education and training institutions, and economic development agencies increasingly need detailed local information about their economies to make informed decisions, but are frustrated by the lack of timely local data. The LED partnership works to fill critical data gaps and provide the type of workplace indicators needed by state and local authorities. Just as national economic indicators measure the performance of the overall economy, the QWI measures the performance of the local economy.

In June 2004, the Division of Labor Market Services (DLMIS) and BES launched a joint venture to standardize the instruction that the DLMIS Local Analysts were providing to the CareerCenters and making it a more professional-quality training. The Labor Market Information Systems Academy is in the developmental stages and is expected to be launched, within Program Year 2005. The goal of this training is to acquaint CareerCenter staff with the various major resources that LMIS produces. By means of a job-seeker assistance case study, various resources will be introduced and training participants will have an opportunity to access these electronically and learn to make decisions based on the data contained in these resources.

Given that businesses are the primary customers of Maine's workforce development system, MDOL actively engages the business community through outreach and education. We have held several focus groups, led by Labor Commissioner Fortman, to explain the programs and services available through MDOL and its partners. MDOL has an Employer Assistance Division that works statewide to coordinate business and workforce services.

**E. What policies are in place to ensure that the resources available through the Federal and/or State apprenticeship programs and the Job Corps are fully integrated with the State's One-Stop delivery system? (§112)(b)(17)(A)(iv)).**

The Maine Apprenticeship Program achieves full integration of available resources through its contracts with the four Local Boards. These contracts assure availability of Apprenticeship services and program oversight at all One-Stop delivery locations statewide. These services are delivered by fully trained Regional Employer Assistance Persons (REAPS) and Local Employer Assistance Persons (LEAPS) charged with outreach to employers, employer associations, schools, and other One-Stop clientele. The REAPS and LEAPS are overseen by the State Director and the Maine State Apprenticeship and Training Council, a standing committee of the MJC.

The Youth Councils of Local Boards have opportunities to build on the successes of youth programs, such as Jobs for Maine's Graduates and Maine's two Job Corps Centers. MDOL will work to improve partnership with the Job Corps to assure easy referrals and seamless transitions between the CareerCenters and these entities to raise the percentage of Maine youth that take advantage of the occupational training available at Job Corps.

**VII. Describe the actions the State has taken to ensure an integrated One-Stop service delivery system Statewide. (§§112)(b)(14) and 121.)**

See Section VII. C. Above.

**A. What State policies and procedures are in place to ensure the quality of service delivery through One-Stop Centers such as development of minimum guidelines for operating comprehensive One-Stop Centers, competencies for One-Stop Career Center staff or development of a certification process for One-Stop Centers? (§112(b)(14).)**

*“CareerCenters are the resource of choice for job seekers, workers, and employers who seek workforce development information, products and services by providing a seamless system for multiple, integrated access points.”*

Indeed, the CareerCenters are now integral part of our workforce investment system. Maine’s CareerCenter system represents the state’s ongoing commitment to meet the challenge of being able to successfully compete in a global economy by providing all workers the opportunity to continually upgrade their skills and business the opportunity to attract a skilled workforce. The CareerCenter system is a comprehensive delivery system that combines a wide range of employment services and labor market information under one roof within a community, reducing administrative duplication and increasing convenience for customers. The CareerCenter system offers expanded options for both the job seeker and employer customers to access a full array of employment resources and the providers available to them and the freedom to **choose** the services that best meet their needs.

The mission of CareerCenters is to serve everyone so that, in some capacity, their needs are met. Standards and resources developed to serve customers are to be shared. Multiple programs are expected to have a single customer interface with clear pathways between and among them. Service providers no longer make training investments unilaterally and autonomously; they leverage other training investments while brokering their own. Perhaps most important of all, programs are to contribute to an overall system by having mutual accountability.

While the MJC does not currently require the Local Workforce Investment Boards (LWIB) to “certify” the CareerCenters, efforts are underway to develop a certification process to promote continuous improvement at the local level. The MJC and Local Workforce Investment Boards will begin in 2005 to incorporate specific review criteria into the existing WIA program monitoring process and will require that MOUs be developed between the Local Workforce Investment Boards and the CareerCenters that includes service and performance evaluations.

The overarching goal of this process will be to insure that CareerCenter partnerships are working effectively, resources are leveraged to the greatest extent possible and that the local staff has a high level of professional training and support.

**B. What policies or guidance has the State issued to support maximum integration of service delivery through the One-Stop delivery system for both business customers and individual customers? (§112(b)(14).)**

See Section VI. C. Above. Within MDOL Bureau of Employment Services (BES) has consistently promoted full integration of services for both job seekers and employer. The Seamless/Integration service approach description is included in Appendix III

**C. What actions have the State take to promote identifying One-Stop infrastructure costs and developing models or strategies for local use that support integration? (§112(b)(14).)**

In addition to the specific activities outlined above in this Plan MDOL and Local Workforce Investment Boards promote local level integration of the costs of staffing and operating the CareerCenters. Local CareerCenters have developed operating cost plans that leverage resources from all the partners within the Centers.

The Act limits administrative funding under WIA Title I to a 10% cap. The 10% administrative funds may be used to support administrative costs at the WIA Title I service provider level, as well at the grant recipient/board staff/operator level. Therefore, it is anticipated that partner organizations participating in the CareerCenter system, delivery and benefits will contribute directly to the costs of the Operator function and One-Stop operational activities, since, in the short term, only this 10% allocation can be relied upon.

**D. How does the State use the funds reserved for Statewide activities pursuant to §129(b)(2)(B) and 134(a)(2)(B)(v) to assist in the establishment and operation of One-Stop delivery systems? (§112(b)(14).)**

State level WIA Setaside funds (10%) are targeted to a variety of statewide capacity building efforts. The Governor uses his authority to ensure that these funds are spent to enhance and support the statewide operation of the workforce system. WIA 10% funds are allocated in the following manner:

- Staff support for the MJC,
- IT infrastructure costs, including maintenance and design of the One Stop Operating System,
- Centralized and coordinated staff development and training activities,
- WIA performance evaluation, and
- Collection and analysis of customer satisfaction data.

**E. How does the State ensure the full spectrum of assets in the One-Stop delivery system support human capital solutions for businesses and individual customers broadly? (§112(b)(14).)**

Previous sections of this Plan address the ongoing efforts of the state’s workforce development service providers to create a responsive and effective workforce system by promoting collaboration, partnerships, integration approaches and a constant focus on the business and job seeker customer. The MJC, MDOL, and LWBs ensure that our limited resources are leverage and channeled as effectively as possible. Leadership is involved at all levels. To ensure that job seekers and businesses get what they need programs and resources are targeted in the best possible way. We support our workforce system as well by investing in staff development and training, technology, management systems and user-friendly facilities.

**VIII. Administration and Oversight of Local Workforce Investment System**

**A. Local Area Designations**

- 1. Identify the State’s designated local workforce investment areas and the date of the most recent area designation, including whether the State is currently re-designating local areas pursuant to the end of the subsequent designation period for areas designated in the previous State Plan. (§§112(b)(5).)**

The same configuration of Local Workforce Investment Areas as the original WIA Five-Year Plan will remain in effect. Four local areas were agreed upon for operation under WIA beginning July 1, 2000, are as follows:

<b>Aroostook-Washington Local Area (Local Area #1)</b>	<b>Central/Western Local Area (Local Area #3)</b>	
Aroostook Washington	Somerset Kennebec Androscoggin	Franklin Oxford
<b>Tri-County Local area (Local Area #2)</b>	<b>Coastal Counties Local Area (Local Area #4)</b>	
Piscataquis Penobscot Hancock	Waldo Knox Lincoln	Sagadahoc Cumberland York

**2. Include a description of the process used to designate such areas. Describe how the State considered the extent to which such local areas are consistent with labor market areas: geographic areas served by local and intermediate education agencies, post-secondary education institutions and area vocational schools; and all other criteria identified in section 116(a)(1) in establishing area boundaries, to assure coordinated planning. Describe the State Board's role, including all recommendations made on local designation requests pursuant to section 116(a)(4). (§§112(b)(5) and 116(a)(1).)**

In March 2000, the Maine County Commissioners, the Chair of the WIA subcommittee recommended four local areas to the MJC. On February 17, 2000, the MJC voted in favor of including this recommendation in the final State Plan. On March 15, 2000, former Governor Angus King designated four local workforce investment areas in consultation with the MJC and Chief Elected Officials, after consideration of comments received from the public.

In making designation decisions the following was considered:



- a) Geographic areas served by local educational agencies and intermediate educational agencies;
- b) Geographic areas served by post secondary educational institutions and area vocational schools;
- c) The extent to which such local areas are consistent with labor market areas;
- d) The distance that individuals will need to travel to receive services provided in such local areas; and
- e) The resources of such local areas that are available to effectively administer the activities carried out under this subtitle.

**3. Describe the appeals process used by the State to hear appeals of local area designations referred to in §112 (b)(5) and 116(a)(5).**

This plan modification does not include any plans to revise the local area designations that were approved in 2000. The original WIA Five-Year plan outlined the following appeals process:

The Act 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 CLEO(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.

a. 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 MJC. 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 MJC will conduct a hearing on the appeal and issue a decision within thirty – 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.

b. Appeal to the United States Department of Labor

If the appeal of the decision submitted to the MJC 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 days of receipt of the decision from the MJC. The appeal to the Secretary must be consistent with the requirements of the WIA. 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. Local Workforce Investment Boards -- Identify the criteria the State has established to be used by the chief elected official(s) in the local areas for the appointment of local board members based on the requirements of section 117. (§§112(b)(6), 117(b).)**

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 policymaking 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.

### 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.
4. 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;
    - b. The appointment of the members of the Local Board from the individuals nominated or recommended to the Chief Elected Official;
    - c. Carrying out any other responsibilities assigned to the Chief Elected Official under Title I of the Workforce Investment Act of 1998;
    - d. 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;

- e. The Chief Elected Official must demonstrate that the nominations equitably represent the respective counties within a local area;
  - f. The official letter of nomination from the agency/organization nominating the individual must be kept on file at the local level;
  - g. 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;
  - h. The Chief Elected Official must notify the Department of Labor within ten 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 ten days of the change; and
  - i. 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.
5. Governor's Responsibility:
- a. The MJC 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 two 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 MJC, 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.

**C. How will your State build the capacity of Local Boards to develop and manage high performing local workforce investment system? (§§111(d)(2) and 112(b)(14).)**

The development of this WIA Strategic Plan Modification is the continuation of the Governor's effort to develop an economic and workforce development system that puts Maine people to work and allows businesses to grow and prosper. The direction that this Plan sets is the direction that is followed to build regional and local partnerships. The Local Workforce Investment Boards will be charged with developing a plan for their works for their geographic region at the same time it that carries out the state and national vision.

The MJC, MDOL and Local Workforce Investment Boards are engaged in a partnership. Leadership and support at all levels are necessary to move this plan forward. The Governor, the Workforce Cabinet, MJC, and MDOL are committed to working with the Local Workforce Boards to affect progress toward the goals expressed in this plan. Through a combination of ongoing support, guidance, technical assistance and financial resources, MDOL is committed to building a strong working alliance with the Local Workforce Boards that helps create positive outcomes and exemplary

performance at the local level. MDOL will continue to provide the support and resource necessary to ensure that our CareerCenter system is prepared to serve Maine's workforce and business community.

**D. Local Planning Process -- Describe the State mandated requirements for local workforce areas' strategic planning. What assistance does the State provide to local areas to facilitate this process, (112(b)(2) and 20 CFR 661.350(a)(13).) including:**

**1. What oversight of the local planning process is provided, including receipt and review of plans and negotiation of performance agreements?**

The Bureau of Employment Services provides written guidelines for developing local plans for Title I funds under WIA and in accordance with the WIA Strategic Plan Modification. The local area plan must be developed in response to the Governor's Vision and national strategic priorities must provide evidence that the Local Workforce Board has incorporated all the statutory and regulatory requirements of WIA.

The plan for Wagner-Peyser and its collaboration with Unemployment Insurance is completed at the State level with local and State input. The plans of other partners, such as Carl Perkins Act and Rehabilitation Services respond to the specific federal planning requirements of their agencies. Local Workforce Boards are not required to submit Unified Plans.

LWIBs, in consultation with the local elected officials, must incorporate broad involvement in the development of the local plan. Input needs to be received from a variety of stakeholders and the public at each stage of development. An atmosphere of collaboration and partnership and an emphasis on enhancing the entire system rather than categorical programs is to be the outcome of this planning process. It is the LWIB's responsibility to provide the leadership to achieve this goal.

The specific elements of the Local Plan Guidelines follow local plan content requirements from WIA §118(b), the Final Regulations 20 CFR §661.350(a), and the State WIA Plan.

Consistent with the emphasis on creating a broad vision for collaboration and input into plan development, the local plan be made available for public comments in each county in the Local Area. The complete local plan is to be available for public comment by **May 16, 2005**. Public comment, at a minimum, is to consist of the following procedures:

1. Copies of the local plan must be made available to the public in each county in the Local Area through public hearings and local news media;
2. Members of the public and the LWIB, including business and labor organizations, must have an opportunity to comment on the plan;
3. A 30 day period, prior to the submission of the plan to the Governor, must be allowed for comment from the public;
4. The LWIB should make information about the plan available to the public on a regular basis through open meetings; and
5. Any written comments that express disagreement with the plan are to be submitted to the Governor along with the Local Plan.

Each plan is to follow the format of the specific plan guidelines issued by MDOL.

The Local WIA Plans, in their entirety, are due by **June 17, 2005**. Local plans must be previously approved by the LWIB and Grant Recipient and be jointly submitted. Four hard copies should be submitted and a copy e-mailed to:

Larinda L. Meade, Director  
Bureau of Employment Services  
55 State House Station  
Augusta, ME 04333-0055

e-mail: [Larinda.Meade@maine.gov](mailto:Larinda.Meade@maine.gov)

## 2. How does the local plan approval process ensure that local plans are consistent with State performance goals and State strategic direction?

The Bureau of Employment Services, Division of Policy and Evaluation review each of the four Local Plans for completeness. Any issues or concerns that are identified within the plan will be communicated back to the Local Workforce Board within three weeks upon receipt of the plan. The content of plans will be completely reviewed and approved within 30 days of submission unless the MJC, the MDOL, or the Governor's designee determine in writing that there are deficiencies in local workforce investment activities that have not been addressed, or the plan is determined inconsistent with Title I and the regulations of WIA, including the required public comment provisions.

Due to unforeseen changes with federal workforce systems and the issuance of additional guidance under the Workforce Investment Act, it may become necessary to revise these plan guidelines to require additional information from LWIBs. The USDOL may release additional information on performance or other policy. The Maine Jobs Council may also require additional information.

As required by 20 CFR §661.355, the Governor will establish procedures for modifying local plans. Modifications will be requested through additional planning instructions when the planning resources are in place and the system is sufficiently developed to make planning decisions useful and workable.

Local plans contain details of the regional workforce system and the operations of administration and programs. As stated above, the focus of the review by MDOL and MJC will be on the strategic aspect of building upon the Governor's Economic Vision and the national priorities. This encompasses three areas:

1. **Vision and goals** in context with the local analysis of need as it relates to:
  - Opportunities for low-income, low-skilled workers to achieve economic stability,
  - Focuses on WIA youth investments, and



- Response to system reform to eliminate duplicative administrative costs and increase training investments.
- 2. **System design** to meet demand side expectations
- 3. **Strategic alliances** to enhance system design and provide

**E. Regional Planning (§§112(b)(2), 116(c).)**

1. Describe any intra-State or inter-State regions and their corresponding performance measures.

None

2. Include a discussion of the purpose of these designations and the activities (such as regional planning, information sharing and/or coordination activities) that will occur to help improve performance. For example, regional planning efforts could result in the sharing of labor market information or in the coordination of transportation and support services across the boundaries of local areas.

Not Applicable

3. For inter-State regions (if applicable), describe the roles of the respective Governors and State and local Boards.

Not Applicable

**F. Allocation Formulas (112(b)(12).)**

1. If applicable, describe the methods and factors (including weights assigned to each factor) your State will use to distribute funds to local areas for the 30% discretionary formula adult employment and training funds and youth funds pursuant to §§ 128(b)(3)(B) and 133(b)(3)(B).

- i. Adult Funds

Of the total amount of funds allocated for Adult Training under WIA §132(b)(1), MDOL 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):

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

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

MDOL's Labor Market Information Services will produce data for the first two requirements. The Employment and Training Administration (ETA) will provide data for the third element from census data.

MDOL will employ the discretion given by the Secretary of Labor to utilize the "hold harmless" clause (WIA §133(b)(2)(A)(ii)).

Minimum percentage: Effective at the end of the second full fiscal year after the date on which a local area is designated under section 116, the local area shall not receive an allocation percentage for a fiscal year that is less than 90% of the average allocation percentage of the local area for the two preceding fiscal years. Amounts necessary for increasing such allocations to local areas to comply with the preceding sentence shall be obtained by reducing the allocations to be made to other local areas under this

subparagraph.

ii. Youth Funds

Of the total amount of funds allocated for Youth training under WIA §127(b)(1), MDOL 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):

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

MDOL will not employ the discretionary option described in WIA §128(b)(3).

MDOL’s Labor Market Information Services will produce data for the first two requirements. The Employment and Training Administration (ETA) will provide data for the third element from census data.

MDOL will employ the discretion given by the Secretary of Labor to utilize the “hold harmless” clause cited in WIA §128(b)(2)(A)(ii) and described above.

**2. Describe how the allocation methods and factors help ensure that funds are distributed equitably throughout the State and that there will be no significant shifts in funding levels to a local area on a year-to-year basis.**

The allocation methods and factors described have been used since the inception of WIA and were used for many years before that under JTPA. The allocation formula has been reviewed and approved as the best method for equitable distribution by the state council for each of these years. The “hold harmless” clause described above limits significant shifts in funding from one year to another.

**3. Describe the State’s allocation formula for dislocated worker funds under §133(b)(2)(B).**

Of the total amount of funds allocated for Dislocated Worker training under WIA §132(b)(2), MDOL 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 non durable

goods manufacturing by county is aggregated by local area and divided by the total to arrive at a percentage for each local area.

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

MDOL's Labor Market Information Services will produce data for these elements. Each of the above elements is weighted equally.

The remaining factors named in §133(b)(2)(B)(ii), "plant closing and mass layoff data" and "farmer-rancher economic hardship data" 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.

**4. Describe how the individuals and entities on the State board were involved in the development of the methods and factors, and how the State consulted with chief elected officials in local areas throughout the State in determining such distribution.**

At the **March 18, 2005**, meeting, the Policy Committee of the MJC reviewed the funding options under WIA §128 and §133 and made the decisions noted in this section. At the MJC meeting scheduled for **April 22, 2005**, the Council is expected to vote to accept the Planning Committee's recommendations.

CLEOs are represented on the MJC and have the responsibilities to Local Boards described in the WIA. The MJC acting for the Governor, and after consulting with chief elected officials in the local areas, allocates funds in accordance with the State Plan.

**G. Provider Selection Policies (§§112(b)(17)(A)(iii), 122, 134(d)(2)(F).)**

**1. Identify the policies and procedures, to be applied by local areas, for determining eligibility of local level training providers, how performance information will be used to determine continuing eligibility and the agency responsible for carrying out these activities.**

The intent of the WIA is to allow a job seeker who qualifies for training services through WIA to have freedom of choice in selecting any qualified training provider. The Act also intends for 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 WIA. WIA §122 requires the Governor to establish policy for 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 there is:
  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 Maine State Apprenticeship Council or 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 Maine State Apprenticeship Council or 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 LWIBs 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 MDOL a list of providers submitting applications 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.

**2. Describe how the State solicited recommendations from local boards and training providers and interested members of the public, including representatives of business and labor organizations, in the development of these policies and procedures.**

The MJC serves 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 MDOL (staff to the MJC) facilitated workgroup meetings consisting of representatives from labor, Local Workforce Investment Boards, private and public education, and not-for-profit organizations and CareerCenter partner agencies. Information from these sessions was considered in writing the State's "Policy for Determining Eligible Providers of Training Services Under The Workforce Investment Act."

**3. How will the State maintain the State's eligible training provider list?**

The MDOL is responsible for notifying training entities of the opportunity to apply for status as approved training providers through a combination of direct mailings, and notification posted on the CareerCenter website ([www.mainecareercenter.com](http://www.mainecareercenter.com)). The LWIBs may solicit training providers from outside of the Workforce Investment Area, including other states. When soliciting training providers outside their local area, LWIBs are expected to coordinate outreach activities with the LWIB that operates within the provider area. In the case of out-of-state providers, the LWIB should check first with the appropriate state entity to ensure that the provider has not already applied through an LWIB in their location.



Maine has implemented a single statewide Internet based application to be used by all training providers seeking approval by the LWIBs to provide WIA funded training in their local area. The application is a component of the Internet based Maine Employment Info Guide (MEIG) which is accessed through the CareerCenter website ([www.mainecareercenter.com](http://www.mainecareercenter.com)). A copy of the school/program application is attached, however, all potential training providers must make an application through the on-line Consumer Data Collection System (CDCS) component of MEIG. Those training providers that do not currently have data entry access to the CDCS component of MEIG should contact the MDOL ETPL Coordinator to obtain the necessary security access.

This statewide, standardized system eliminates duplication and provides uniformity in the provider information gathered for the statewide list. Each training provider completes one single application containing all required information on the training institution and on each program being proposed to receive WIA training funds.

Upon determination by MDOL that a complete application meets the eligibility requirements, the MDOL ETPL Coordinator will record its approval or disapproval of the application including the reasons it was rejected. MDOL will electronically transmit this information to the training provider no later than 60 days from receipt of the information. Training programs/providers will appear on the statewide list after MDOL verifies the eligibility, or 30 days have elapsed, whichever occurs first. MDOL will certify, compile and publish the statewide list through MEIG. Training providers will be eligible to apply throughout the year. As new programs are submitted and approved throughout the year, the statewide list will be updated on an ongoing basis. If the program is found to be ineligible for the statewide list, the LWIB will cease to approve additional Individual Training Accounts (ITAs) for that program until the program meets minimum eligibility requirements.

- 4. Describe the procedures the Governor has established for providers of training services to appeal a denial of eligibility by the local board or the designated State agency, a termination of eligibility or other action by the board or agency, or a denial of eligibility by a One-Stop operator. Such procedures must include the opportunity for a hearing and time limits to ensure prompt resolution.**

Training providers can have a training program denied inclusion in the statewide training provider list by either the local LWIB or MDOL. MDOL also has the right to remove the training provider from the training provider list if it is determined that the provider knowingly supplied inaccurate information or otherwise violated requirements under the WIA. The training provider has appeal rights to both of these denials.

The training provider has 14 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 MDOL). The request for appeal must clearly indicate that the training provider wants to appeal the denial and must clearly identify the training program being denied. The request for appeal must be signed and should include the reasoning for the appeal. Such appeal must be submitted in writing. The LWIB or MDOL (as appropriate) 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 training provider changes the basis on which the original decision was issued. This initial process will be referred to as an administrative reconsideration and must be completed within five workdays 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 MDOL for inclusion on the Statewide list and will also notify the training entity in writing that they have reversed their original decision. If the MDOL reverses its prior decision, MDOL will notify both the LWIB and the training provider of the reversal and will follow the appropriate procedures to incorporate the training provider into the statewide list.

If after the review process, the LWIB does not reverse their original decision, they must forward the appeal to the Maine Department of Labor's Division of Administrative Hearings. This must be done within five workdays of the receipt of the letter requesting the appeal. The Division of Administrative Hearings will conduct a hearing, at which the training provider and party denying the training request will be allowed to present their case. The Division of Administrative Hearings will issue an independent decision based on the information gathered at the hearing. A written decision will be issued to the training provider and other interested parties.

If the Division of Administrative Hearings reverses the denial, the LWIB and/or MDOL will comply with the decision in a prompt and efficient manner. Procedures outlined above for certifying training programs, inclusion of the training program in the statewide list, and written notification to the training provider will be followed.

The LWIB and the MDOL will abide by the decision of the Division of Administrative Hearing. The decision by the Division of Administrative Hearings will be final.

**5. Describe the competitive and non-competitive processes that will be used at the State level to award grants and contracts for activities under title I of WIA, including how potential bidders are being made aware of the availability of grants and contracts. (§112(b)(16).)**

The grants for which MDOL contracts with the LWIBs are WIA Title I adult, dislocated worker, and youth programs. Competitive and noncompetitive procurement processes and policies are contained in the MDOL Financial Management Manual.

**6. Identify the criteria to be used by local boards in awarding grants for youth activities, including criteria that the Governor and local boards will use to identify effective and ineffective youth activities and providers of such activities. (§112(b)(18)(B).)**

An LWIB identifies eligible providers of youth activities by awarding grants or contracts on a competitive basis, based on Youth Council recommendations 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.

Based on experience, the needs of the youth population will greatly outweigh the resources available to serve them. The LWIBs and their youth councils conducted, over the first year of WIA operation, a systematic assessment of local youth populations and existing services and identified the gaps in services that could best be filled by these resources.

MDOL does not support the use of WIA funds to underwrite the cost and development of new or additional stand-alone categorical programs. MDOL does envision the development of a closer working relationship between existing programs and activities and the provision of a menu of varied services at different times, which are coordinated through the CareerCenters. Present service providers of WIA youth activities are evaluated on an ongoing basis. Youth Councils engage in community discussions on improving the youth services system.

Requests for Proposals have been and will continue to be issued with grants awarded by LWIBs using 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.

Additional criteria may be developed by LWIBs relating to their local goals and objectives.

Results of the evaluation of achievement of stated goals will be used to identify effectiveness of providers.

## **H. One-Stop Policies (§112(D)(14).)**

- 1. Describe how the services provided by each of the required and optional One-Stop partners will be coordinated and made available through the One-Stop system. Include how the State will consolidate Wagner-Peyser Act funds to avoid duplication of core services. (§112(b)(8)(A).)**

Section VI.C., above provides a detailed description of the State's effort to build a truly integrated CareerCenter system. The level of coordination between WIA, Wagner-Peyser, TAA, and many community-based partners is unprecedented.

Relative to most states, Maine is small enough in size and has, for the most part, been successful at confronting the challenges of building a truly integrated system. The primary organizations involved in CareerCenter development have developed productive professional relationships for initiating incremental change.

The degree of coordination among partners housed within CareerCenter facilities is extensive. The text of this plan sets the context for expanding this collaboration to other required and non-required partners. As already stated, many partners have been engaged by the MDOL and LWIB and as such, have accomplished much of what has been the focus of the WIA Five-Year Plan. Most of the services described in the Plan are provided jointly by WIA and Wagner-Peyser staff within the CareerCenter with a purpose:

- To provide integrated intake;
- To provide core services;
- To provide customers access to all partner programs and activities;
- To make intensive services accessible to adults and dislocated workers; and,
- To provide ITAs to adults and dislocated workers.

New program designs that have been implemented, 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 exclusive of and separately from one another. EIS promotes a coordinated approach for serving the needs of employers.

The Wagner-Peyser program is an important component to the CareerCenter labor exchange 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 21<sup>st</sup> 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 are 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; or a dislocated worker looks to change careers, a public assistance recipient tries to enter the labor market, or for anyone else seeking employment.
- Labor exchange services contribute to the system by administering a number of statutorily mandated programs for targeted populations including veterans, migrant and seasonal farmworkers, 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 system development.

- Self-directed access to products and services are available and are being expanded as system 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 required under 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 continue to provide the majority of labor exchange services within the CareerCenters. Self-directed and functionally supervised work teams may include non-state employees and state employees who all 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.

**2. Describe how the State helps local areas identify areas needing improvement and how technical assistance will be provided.**

MDOL, in close partnership with the LWIBs, provides a high level of technical and continuous improvement support to the CareerCenter partners. The MDOL staff provides primary facilitation support to the CareerCenter leadership team and frontline staff in a variety of ways:

- Centralized and coordinated staff training and development activities,
- Leadership development for the CareerCenter management team,
- Specialized training and technical assistance for adult, dislocated worker and youth services,
- Technical assistance with performance management practices,
- Business assistance team support to design, develop and implement effective practices
- Case management training and support in the areas of assessment and plan development practices,
- Assistance with curriculum development, and
- Maintenance and improvement of the One Stop Operating System.

This WIA Strategic Plan Modification will continue and expand on this level of system support. Specifically, the MDOL is committed to developing a stronger level of staff development and training coordination. The MDOL will also be making significant improvements to the CareerCenter website to provide staff and customers greater ease and flexibility to navigate services.

MDOL has been working closely with the LWIB Directors in the area of performance management to provide improved performance outcomes. This Plan will maintain a high level of support and technical assistance to the LWIBs implementation of effective performance management strategies.

**3. Identify any additional State mandated One-Stop partners (such as TANF or Food Stamp Employment and Training) and how their programs and services are integrated into the One-Stop Career Centers.**

The chart below summarizes the relationship the Required Partners have to the services provided through the CareerCenters:

Required Partners	Partners Colocated at Maine Career Centers	Partners Delivering Core Services	Comments
Adults, Dislocated Workers and Youth (WIA Title I-B)	X	X	
Job Corps (WIA Title I-C)			Available through referral from CareerCenters
Dislocated worker programs funded by National Emergency Grants (WIA Title I-D)	X	X	
Migrant Seasonal Farmworkers Program (WIA Title I-D)	X	X	
Native Americans (WIA Title I-D)			Available through referral
Youth Opportunity Grants (WIA Title I-D)			Available in some local areas
Adult Education and Literacy Programs (WIA Title II)		X	Available through referral
Employment Services (Wagner-Peyser Act WIA Title III)	X	X	
Vocational Rehabilitation (WIA Title IV)	X	X	
Unemployment Insurance			UI is delivered through call centers
Welfare-to-Work grants	X	X	
Senior Community Service Employment Programs		X	Available through referral



Employment and training activities of Postsecondary Vocational Education (Perkins)		X	No program obligation to CareerCenters
NAFTA and Trade Adjustment Assistance Programs	X	X	
Veterans Programs (Disabled Veterans Outreach Programs/Local Employment Veteran Representatives/Competitive Veterans Programs (Chapter 41 of title 38, United States Code)	X	X	
Employment and training activities of Community Services Block Grants			No program obligation to CareerCenters
HUD Employment and Training activities			MDOL has established linkages with the Maine State Housing Authority to develop workforce development projects in coordination with the local housing authorities and the CareerCenters

**I. Oversight/Monitoring Process -- Describe the monitoring and oversight criteria and procedures the State utilizes to move the system toward the State's vision and achieve the goals identified above, such as the use of mystery shoppers, performance agreements. (§112(b)(14).)**

MDOL has developed a comprehensive monitoring and evaluation process that will continue under this WIA Strategic Plan modification. In 2004, the MDOL created a Division of Policy and Evaluation, which will have primary responsibility for overseeing the implementation of effective statewide monitoring and evaluation activities.

The formal monitoring process includes a series of scheduled monitoring by MDOL staff of all for the following programs:

- WIA Title I Adult
- WIA Title I Youth
- WIA Title I Dislocated Worker Programs
- Wagner-Peyser Labor Exchange
- Migrant and Seasonal Farmworkers (MSFWs)
- Trade Adjustment Assistance

Program monitoring has two primary purposes: 1) to ensure that the CareerCenter system is in compliance with the intent and substance of the rules governing funding streams, and; 2) to provide an understanding of the systems operating to achieve the overall workforce investment goals.

The first purpose satisfies the mandate of the MDOL oversight agency to ensure that statutes, regulations, and policies are being followed. While comparatively narrower in scope than the second purpose, monitoring for compliance supports the MJC goal of accountability and meets legislated oversight requirements.

The second purpose allows the monitoring effort to take a strategic perspective. Monitoring becomes a way to develop an understanding of the systems the CareerCenters draw upon to deliver information and services to customers. Presumably, the systems in place are a result of efforts to achieve State and local board goals. The systems are composed of the working relationships with public and private entities and may take forms such as partnerships, agreements, collaborations, coalitions, and protocols. Working relationships may be internal or external to the CareerCenter facility. They may have been established by a local board for the entire area or established independently by a CareerCenter.

Monitoring tools have been designed to explore the working relationships that make a difference to the customer in terms of the breadth and depth of services. As monitoring experience is gained, the relationships among partners can be compared to the outcomes that customers typically receive. The objective of this type of monitoring is to learn how the partners are working together for seamless integration of services, not to make a determination of whether the level of integration is above or below an arbitrary level.

Monitoring for quality may reveal strengths that can be used to illustrate "best practices." Best practices models derived from empirical evidence, rather than from national literature, can be shared among local boards and service providers and can thus have more relevance. This type of

monitoring results in an analysis of system development that can be useful to management at all levels.

When desirable system practices are discovered, the intention is to celebrate and promote them beyond simply including them in the monitoring process. In this way, monitoring will yield a value to advisory boards and program operators not otherwise gained, or obtained through traditional compliance monitoring.

**J. Grievance Procedures. Attach a copy of the State's grievance procedures for participants and other affected parties (including service providers.) (§122(g) and 181(cc).)**

A copy of the CareerCenter Grievance Policy and Procedures is included in Appendix IV.

**K. Describe the following State policies or procedures that have been developed to facilitate effective local workforce investment systems (§§112(b)(17)(A) and 112 (b)(2),):**

**1. State guidelines for the selection of One-Stop providers by local boards;**

The oversight responsibilities for WIA are connected to the programmatic and fiscal responsibilities of the County Commissioners and LWIBs. MDOL recommendations are based on the knowledge that the County Commissioners will have 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. When the WIA Five-Year Plan was approved in 2000, MDOL recommended a functional alignment that supports the following oversight roles.

**Grant Recipient** – The CLEO, which may be an 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 is 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 MOUs, providing program oversight and reporting on performance).

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

The Act provides for several different operational roles and responsibilities. The MDOL 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 the CareerCenter system, services and program operating costs.

**One-Stop Operator** – The investing partner, for all programs contributing to the local CareerCenter 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 a Request for Proposal (RFP), selected as a consortium or by agreement between the Local Board and consortia. The One-Stop Operator is responsible for implementing the LWIB plan and its associated MOUs in its jurisdictional area.

## **Operator Selection Options under the Act**

### **1. Option #1: Request For Proposal (RFP)**

The LWIB/CLEO selects an organization to serve as the One-Stop Operator through a formal Request For Proposals (RFP) process. The One-Stop Operator provides staff resources to ensure that the pooled resources are targeted to support Center 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.

## **2. Option #2a: 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 consortium. As a consortium, the investing partners would identify a lead entity as a One-Stop Operator. The designated CareerCenter lead entity ensures that the pooled resources are targeted 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.

## **3. Option #2b: Consortia**

WIA provides, that in this option where at least three of the required partners request designation of consortium 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 consortium. As a consortium, the investing partners could work collaboratively with the grant recipient organization to mutually agree upon a One-Stop Operator. MDOL would encourage the CareerCenter investing partners and the CLEO/LWIB to designate the grant

recipient organization as the One-Stop Operator Under this option, the designated grant recipient/board staff would serve as the operator/staff resource to ensure that pooled resources targeted to One-Stop activities developed and articulated in the local area plan and MOUs, and delivered within the CareerCenters, are used to support Center activities. The grant recipient/board staff is responsible for monitoring the performance of those CareerCenters on an ongoing basis. The designated grant recipient/board staff serving as the operator/staff resource 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 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 to ensure plan implementation, using the local area’s plan and CareerCenter MOU as an operational document.

#### **4. 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 of the previously stated options 1 and 2.

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

#### **Operator Selection Criteria**

MDOL considers three criteria critical in the selection of One Stop Operator. They are:

- **Functional alignment** -- The fiscal oversight activities associated with the grant recipient are related to the system oversight responsibilities of the LWIB. In addition, the negotiations and

subsequent accountability built into the Local Area Plan and Memorandums of Understanding are a responsibility of the Board staff *and* the Operator.

- **Cost-savings** -- The Act limits administrative funding under WIA Title I to a 10% cap. The 10% administrative funds may be used to support administrative costs at the WIA Title I service provider level, as well as at the grant recipient/board staff/operator level. Therefore, it is anticipated that partner organizations participating in the One-Stop design, delivery and benefits will contribute directly to the costs of the Operator function and One-Stop operational activities, since, in the short term only this 10% allocation can be relied upon.
- **Accountability** -- As referenced earlier, the primary function of the Operator is to ensure that the resources identified for One-Stop services go to support that initiative and that the One-Stop and program performance negotiated through the MOUs is on target. The LWIB staff will have to work closely with the Operator to provide reports to the LWIB on performance, community options, relevance, spending and so forth.

The option selected in July 2000, by all four local areas was **Option #2b** outlined above. This option most clearly provides the functional alignment, cost-savings, and accountability that MDOL desires.

Conflict of interest issues are avoided through the nature of the oversight. The function of the operator is nothing more than what a grant recipient should be doing as part of its duties. In Maine, the One Stop Operator is the Local Board Director (LBD). The LBD/grant recipient does not run programs. Eligible providers manage programs on a daily basis. LBDs conduct strategic and operational planning, manage providers through performance-based contracts, and monitor and evaluate that performance. LBDs and their staff monitor and evaluate the effectiveness of their MOUs much the same way they monitor and evaluate the rest of their performance-based contracts.

While the WIA Strategic Plan Modification will retain the Operator option chosen in 2000, the role of one of the CareerCenter partners will be designated to serve as the primary communication link between the State, LWIB and the CareerCenter partners. The CareerCenter Coordinator's role will be limited to communicating key policy and guidance issuances to the partners and will facilitate

effective communication back to the LWIB. The designation of the CareerCenter Coordinator will increase local level accountability and promote greater service integration

**2. Procedures to resolve impasse situations at the local level in developing memoranda of understanding (MOUs) to ensure full participation of all required partners in the One-Stop delivery system;**

See response in Section K.2., above

**3. Criteria by which the State will determine if local Boards can run programs in-house;**

The WIA Five-Year Plan states that no Local Board shall provide direct services (see §117(f)(2)).

**4. Performance information that on-the-job training and customized training providers must provide;**

Providers of On-the- ob Training (OJT) are not subject to the requirements for Eligible Training Providers found in WIA §122(a) through (e). However, CareerCenters are responsible for collecting performance information from OJT providers as the Governor may require (WIA §122(h)).

The development of the On-the-Job Training (OJT) contract must be limited to the period of time required for a participant to become proficient in the occupation for which the training is being provided. The LWIBs are encouraged to develop policies and procedures for determining the average training duration and for monitoring and evaluation the OJT contract. Consideration should be given to information from the employer; the Specific Vocational Preparation (SVP) information through O\*NET Online for each occupation, including skill requirements of the occupation; the academic and occupational skill level of the participant; prior work experience and the participant's individual employment plan.



Providers of customized training are not subject to the requirements for Eligible Training Providers found in WIA §122 (a) through (e). However, CareerCenters are responsible for collecting performance information from customized training providers as the Governor may require (WIA §122(h)).

#### **5. Reallocation policies;**

MDOL may reallocate youth, adult and dislocated worker funds among local areas in accordance with 20 CFR § 667.160 and WIA § 128(c) and 133(c). MDOL policy is that to qualify for receiving funds, an LWIB and CareerCenter providers must maintain auditable records, with the most recent financial audit completed without significant issues, have stayed within administrative cost limitations the previous program year, and have no major uncorrected monitoring findings for fiscal or program compliance issues.

LWIBs may also voluntarily deobligate funds from any program at any time, but are asked to keep in mind the timeframes necessary for funds to be reallocated and expended by receiving areas. Such funds would be reallocated, following the above procedures. Local areas will be given an opportunity to justify retaining funds by documenting obligations on behalf of current participants and showing enrollment trends that could reasonably be expected to require increasing expenditures.

#### **6. State policies for approving local requests for authority to transfer funds (not to exceed 20%) between the Adult and Dislocated Worker funding streams at the local level;**

The transfer of funds between adult and dislocated worker funding streams will be approved by the Governor, and not exceed 20%, as outlined in the planning instructions to local areas.

**7. Policies related to displaced homemakers, nontraditional training for low-income individuals, older workers, low-income individuals, disabled individuals and others with multiple barriers to employment and training;**

This WIA Strategic Plan Modification was developed with a specific focus on the current and emerging needs of Maine's workforce. The Plan is explicit in terms of providing Maine's workforce with every opportunity available to acquire the job skills they need to not only get a job but to advance in their careers. The Plan also addresses the need to narrow, if not close, the gap that exists between high wage and low wage workers. The focus on helping families to become economically stable is a strategic goal within the WIA Plan Modification.

We know that trends in Maine's economy are going to impact the available workforce over the next decade. The workforce is not growing and the general population is aging. The workforce that will be needed to grow Maine's economy will come from our efforts to promote opportunities for new labor force entrants. This plan will specifically target services to those who are more likely to benefit from the training and education services we can provide. CareerCenters will recruit individuals who are displaced homemakers, low-wage, low-skilled, individuals with disabilities and persons whose native language is not English. The most important service we can provide to members of the disadvantaged workforce is skills training and career pathways leading to economic stability. We will continue to work on efforts to raise women's wages, particularly through non-traditional employment.

To direct outreach and recruitment efforts, the MJC in 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:

- Individuals served in Intensive Services and Training Services with WIA Title I funds shall be income-eligible adults (this does not apply to dislocated workers and youth). Partner programs, such as Wagner-Peyser, may contribute resources to serve anyone in Core Services and Intensive Services without regard to income.

- The priority system will promote maximum customer access and inclusiveness by recognizing Temporary Assistance for Needy Families (TANF) funds as available resources to supplement WIA Title I money. Linking TANF dollars with WIA Title I funds allows access by income-eligible customers who are not welfare recipients. Maine service providers already leverage TANF dollars by contributing training dollars to Individual Service Strategies (ISSs), while looking to the welfare system to pay for all income support needs. LWIBs will be expected to continue this practice, to be codified in MOUs, if necessary. This does not prohibit using WIA Title I funds to support employment plans for TANF or welfare customers.
- Local areas shall serve customers in Intensive and Training services 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. LWIBs 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 eighth 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.

Maine has established policies regarding services by establishing priority criteria for low-income individuals to receive a subsidized service or support through Level II (Intensive) and Level III (Training). Formal eligibility determinations occur during Level I (Core B) services. At the time of application an individual must report family income to determine eligibility to receive Intensive and Training Services. Family income eligibility is determined by **one** of the following six economically disadvantaged standards:

1. Cash welfare recipient,
2. Family income is at or below poverty line or the 70% Lower Living Standard Income Levels (LLSIL).
3. Receives Food Stamps or was determined eligible to receive in the last six months,
4. Homeless per Section 103(a) & (c) of the McKinney Act,
5. Foster Child, or
6. Individual with a disability whose income is at or below poverty line, or the 70% Lower Living Standard Income Levels (LLSIL).

The State's current policy for determining an earnings standard is defined as employment that pays at least 100% of the LLSIL. Placements leading to economic stability for a dislocated worker may be defined in relation to a percentage of the layoff wage. As local plans are developed, MDOL will negotiate with the LWIBs to assess reasonable earnings measures for both Adults and Dislocated workers, based on local economic conditions and family size. With the first year of the WIA Strategic Plan Modification, the MJC will be adopting new "livable wage" goals based on individual family budget needs. While establishing a "livable wage" standard as a goal toward economic stability is both necessary and desirable, the MJC does not expect that the CareerCenters will be in a position to exit participants who only find employment based on the higher "livable wage" standard. As such, we will continue to encourage individuals to seek training and employment that leads toward the attainment of true economic stability.

**8. If you did not delegate this responsibility to local boards, provide your State's definition regarding the sixth youth eligibility criterion at section 101(13)(C)(iv) ("an individual who requires additional assistance to complete an educational program, or to secure and hold employment"). (§§ 112(b)(18)(A) and 20 CFR 664.210.)**

The LWIBs have the discretion to establish additional criteria as long as they meet three tests: 1) the factor must address a barrier to achieving a WIA performance standard (such as average earning increases); 2) it must be included in the local plan; and, 3) it must be a reportable item within the State's One-Stop automated reporting system.

**IX. Service Delivery -- Describe the approaches the State will use to provide direction and support to local Boards and the One-Stop Career Center delivery system on the strategic priorities to guide investments, structure business engagement, and inform service delivery approaches for all customers. (§§112(b)(17)(A) Activities could include:**

**A. One-Stop Service Delivery Strategies: (§112(b)(2) and 111(d)(2).)**

**1. How will the services provided by each of the required and optional One-Stop partners be coordinated and made available through the One-Stop system? (§112(b)(8)(A).)**

Consistent with the economic and workforce development goals included in this plan, partner contributions to the system and the identification of resources to support CareerCenter costs will be approached from an open and collaborative perspective.

The forum for defining roles and responsibilities will be led and initiated by the MDOL. Decisions that impact the operation of the CareerCenter system are shared among the MDOL, LWIBs and CareerCenter service providers. Major policy parameters and the content of system will be decided at these levels.

LWIBs work with the CLEOs and CareerCenter service providers to approve budgets that outline the resource allocation mix among Core, Intensive and Training Services funded through WIA Title I funds.

Local Memorandum of Understanding (MOU) will serve as the basis for defining specific program or financial contributions of all the partners who operate from the CareerCenter. The MOU will be developed that explicitly defines 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. For each location, a budget will be developed that defines overall costs and how they will be funded. Additional 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 W/P funds to ensure universal access to Core and Intensive services; aligning training policies and subsidies from TAA, WIA Title I, and the Bureau of Rehabilitation Services to maximize resources and streamline service delivery.

There are three primary tools for coordinating and facilitating system delivery of common services, and providing access to partner and community programs. Each tool will be developed jointly and be freely available to all system partners. The first is **common intake**. All demographic and service-use information obtained from system users will be collected, based on informed consent, and be freely available to all partners. The second is **common scheduling**. Common scheduling will enable partners to provide activity and scheduling information to each other on an ongoing basis. The third tool is **case management**. Information pertaining to joint services to individual customers will 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 to reduce overall implementation costs.

## **2. How are youth formula programs funded under §128(b)(2)(A) integrated in the One-Stop system?**

For youth, as with adults, the vision for the CareerCenter system is that it becomes the resource of choice for all who need labor market information and services. The four Local Workforce Area Youth Councils worked to develop comprehensive programs for youth services that are integrated with all of the services provided through Maine's CareerCenter system. Youth programs are organized at the local level to provide all young people with access to the resources and skills they need to achieve and maintain self-sufficiency and economic stability.

The four Local Areas have implemented services and strategies to achieve the vision through the following:

- Developed and expanded programs to include the ten elements of youth programs listed in WIA §129(c)(2).
- Developed programs that draw upon the complete array of youth services available in the Local Area in order to provide more holistic services to individuals. By so doing, the duration of service has been extended as necessary to provide the youth with a solid basis for being able to maintain independence.
- CareerCenters have expanded services to schools and alternative programs to assure that students have access to the information necessary to make career decisions.
- Collaborated with a wide array of statewide organizations serving youth, e.g., the Department of Education, Bureau of Rehabilitation Services, Job Corps, Jobs for Maine's Graduates, and community based organizations, to assure expanded access quality services for youth and reduce duplication of efforts.

The LWIBs and Youth Councils have engaged in a full assessment of existing youth services and partnerships. In Maine, there are a number of very successful categorical youth programs, each with their own special target populations and program expertise and specialties. The Jobs for Maine's Graduates is a statewide in-school program for seniors who are not going on to college. There are also excellent alternative education programs. The Hospital Industries Program works with youth with disabilities. Maine's two Job Corps Centers have some state-of-the-art vocational offerings. We will continue to work toward effective collaborations with these and other organizations to fulfill the vision of focusing youth investments on those who are most in need.

A comprehensive assessment of all the resources and youth services has been conducted within each local workforce area.

The WIA youth funding stream has contributed to creating a system that can tie programs together by using the CareerCenters as a clearinghouse to match the needs of individual youth to the appropriate programs and services on an ongoing basis.

### 3. What minimum service delivery requirements does the State mandate in a comprehensive One-Stop Centers or an affiliate site?

The full range of services described in WIA §129 and §134 are offered within Maine's CareerCenter system. The following outline summarizes three major service levels, which align closely with WIA definitions of Level 1–Core Services, Level 2–Intensive Services, and Level 3–Training Services that make up the minimum service offerings with the CareerCenters:

Level 1, **Core Services** are basically informational in nature and are to be made available to anyone or any business requesting them. They include the following as examples, which may include services from partner programs for purposes of illustration:

#### **For Employers**

- Listing and marketing job orders.
- Access to the O\*NET Online Job Description Writer.
- Electronic access to the Maine and America's Job Bank.
- Information about several topics, including occupational licensing, processing work permits, health and safety, labor law information, OSHA regulations, industry-specific LMI, UI, and access to rapid response services.
- Business surveys regarding economic expansion, recruitment plans and workforce training needs.
- Referrals to private and public sector organizations regarding business-specific needs or problems.
- Information about acquiring economic development assistance

#### **For the General Public, including Job Applicants**

- Individualized staff assistance to help customers acquire needed services.
- Individual counseling that promotes the role that aspirations play in career decision-making, and promoting higher learning.



- Common intake and eligibility determinations for Title I and partner programs.
- Marketing and outreach for workforce development programs and services.
- Referrals to partner programs.
- Access to O\*NET Online Assessment Tools such as the Interest Profiler and Work Importance Profiler
- Access to computer applications such as word processing, spreadsheets, data base development and presentations.
- Performance information about Title I and partner programs.
- Information about Maine Labor Laws.
- Information about the availability of, and how to access Supportive Services, Intensive and Training Services, and all partner programs.
- Access to computer applications for personal and career development such as keyboarding, self-assessment and career decision-making.
- Internet access.
- Initial assessment to help customers link their vocational aptitudes and abilities to jobs.
- Career counseling unrelated to developing individual employment plans.
- Information about obtaining post-secondary financial aid.

Level 2, **Intensive Services** are intended to prepare people for successful participation in the labor market and can be provided in either group or individual settings. Regarding Title I supply side funds, services are limited to income-eligible job seekers who are unemployed, or are employed but are unable to obtain gainful employment. Partner program resources, such as Wagner-Peyser, can be used to provide Intensive Services to the general public to enhance universal access to those not income-eligible. Examples:

**For Employers – Workshops and Seminars regarding:**

- ADA effective practices and policies.
- Maine Labor Laws.
- OSHA and “Safety Works” (Maine Bureau of Labor Standards).
- Industry-specific labor market trends.

- Effective practices for recruiting and retaining workers.
- Writing effective job advertisements.
- Using O\*NET Online to write job orders and collect occupational skill profiles
- Understanding and navigating the UI system.
- Economic development proposals and grant writing.

### **For Job Applicants**

- Comprehensive and specialized vocational assessments.
- Development of employment plans.
- Career decision-making.
- Career counseling.
- Case management for people seeking training services.
- Short-term prevocational services such as job getting; life work management assistance; employer expectations of new employees (punctuality, personal maintenance, professional conduct, performance expectations, labor laws); learning skills development; basic communication skills.
- Out-of-area job search assistance.
- Relocation assistance.
- Work experience.
- Internships.
- Basic literacy and adult basic education training not related to specific occupational skills training.

Level 3, **Training Services** are intended for Title I income-eligible customers who are unable to obtain or retain employment through Intensive Services, or whose jobs provide inadequate wages, and who can benefit from such training. On the demand side – Employer Assistance – services are highly specialized and customized to businesses’ needs without an eligibility test.

## **For Employers**

- Apprenticeship development.
- Customized training for new hires.
- Incumbent worker development and training.
- OJT subsidies.
- Organizational analyses to identify workforce skill development needs.
- Out-placement rapid response information and services.
- Customized recruitment including marketing and applicant testing.
- On-site health and safety consultations and assessments.
- On-site consultations regarding job accommodations for applicants with special needs.
- WOTC consultations.
- Technical assistance regarding America's Learning Exchange (ALX).
- Consulting services available to businesses such as economic development resources, environmental protection polices, international trade assistance.
- Consultations regarding the development of Community Agreements for Local Workforce Investment.
- Advocacy assistance in linking employers and their needs with activities of local chambers and LWIBs.
- Providing technical assistance on developing supply side change management strategies.

## **For Job Applicants**

- Programs that combine workplace training with related instruction, which could include cooperative education and employer-based training.
- Occupational skills training, including training for non-traditional occupations.
- Skill upgrading and retraining.
- Job readiness training.
- Adult education and literacy activities provided in combination with any type of occupational skills training.
- Follow up services.
- Entrepreneurial training.

Customers are expected to be able to transition between and among the three levels. The delivery of these services is intended to be seamless among the program partners. No time limits exist before applicants can move to Intensive or Training services. Staff representing programs currently housed in CareerCenter facilities have had experience with learning how to structure their services to ensure that customer needs for more structured counseling and training are identified and met.

**4. What tools and products has the State developed to support service delivery in all One-Stop Centers Statewide?**

MDOL has acted as the lead to facilitate the development and implementation of all the services described in A.3. above.

**5. What models/templates/approaches does the State recommend and/or mandate for service delivery in the One-Stop Centers? For example, do all One-Stop Centers have a uniform method of organizing their service delivery to business customers? Is there a common individual assessment process utilized in every One-Stop Center? Are all One-Stop Centers required to have a resource center that is open to anyone?**

All of the services described above in A.3., are offered uniformly throughout the state. Maine operates a comprehensive statewide CareerCenter delivery system. MDOL has introduced the use of O\*NET Career Assessment Tools and O\*NET Online as the basis for standardizing job seeker and business occupational profiles. Throughout 2005-2007, MDOL will incorporate, through staff training and development, a more widespread use of O\*NET and America's Career Information Network (ACINet) to provide a standard for working with both job seekers and employers to establish a common connection between worker skills and business needs.

**B. Workforce Information – A fundamental component of a demand-driven workforce investment system is the integration and application of the best available State and local workforce information including, but not limited to, economic data, labor market information, census data, private sources of workforce information produced by trade associations and others, educational data, job vacancy**

surveys, transactional data from job boards, and information obtained directly from businesses. (§§111(d)(8), 112(b)(1), and 134(d)(2)(E).)

**1. Describe how the State will integrate workforce information into its planning and decision-making at the State and local level, including State and local Boards, One-Stop operations, and case manager guidance.**

The Division of Labor Market Information Services (DLMIS) is the designated agency to administer the Employment Statistics program in Maine. DLMIS provides a number of various products that aid State planning and policy setting efforts, LWIB Plan development and CareerCenter staff with tools they need to explain local labor market dynamics. The DLMIS has convened an LMI Advisory Work Group consisting of LMI staff, DOL and CareerCenter partners to develop and evaluate core products and services to ensure coordination between LMI and workforce training.

DLMIS staff through regular personal contact, user training, publications, and the Division's web sites, provides a wide range of information and data services. These services are provided to:

- **Individuals**, including young people, parents and adults, to make informed choices about careers, education, training, and jobs.
- **Businesses and Economic Developers** to make decisions about products, marketing, business location, and employee recruitment, compensation, and training.
- **Intermediaries**, including career counselors, teachers, mentors, placement specialists, human resource staff, and case workers, to assist others in choosing education and training opportunities, and in finding employment.
- **Workforce Investment Boards and Program Planners** to determine what workforce and training services to provide and to evaluate program performance.
- **Education and Training Providers**, including teachers and curriculum specialists, to design, deliver, and evaluate programs that develop students' knowledge and skills.
- **Elected Officials and Policy Makers** to be informed and to make decisions about law, policy, budgets, and regulations.
- **Researchers** to study how the labor market works, and conduct policy research.

The type of information services that DLMIS provides includes:

- **Occupational Employment Statistics (OES)** – annual employment and wage estimates for over 700 occupations for Maine, metropolitan areas and other regions, including data for specific industries.
- **Local Area Unemployment Statistics (LAUS)** - monthly statistics on the civilian labor force, number of persons employed and unemployed, and the unemployment rate for Maine, metropolitan areas, labor market areas, counties, and cities/towns.
- **Current Employment Statistics (CES)** - monthly statistics on the nonfarm employment by industry and manufacturing hours and earnings for Maine and metropolitan areas.
- **Quarterly Census of Employment and Wages (QCEW)** - quarterly counts of employment and wages reported by employers for Maine, metropolitan areas, labor market areas, workforce investment areas, counties, and cities/towns by industry.
- **Mass Layoff Statistics (MLS)** – monthly reports of major job cutbacks identifying the industry, location, time period, size, duration and reason for layoff.
- **Industry and Occupational Employment Projections** – outlook of industry and occupational employment for Maine, metropolitan areas, and non-metro regions, including average annual number of job openings due to growth and replacement.
- **Current Population Survey (CPS)** - monthly survey of households conducted by the U.S. Bureau of Census to provide a comprehensive body of data for Maine on the labor force, employment, and unemployment.
- **Commuting Patterns** – decennial series of tables by the U.S. Bureau of Census showing all points of origin for workers employed in each locality in Maine and the number of workers who live in each city/town and work in another locality.
- **Consumer Price Index** - Price indexes are developed by the U.S. Department of Labor, Bureau of Labor Statistics, for the U.S., the four census regions, size of cities, and 26 local areas. The Consumer Price Index (CPI) represents the changes in prices of all goods and services purchased for consumption by all urban consumers (CPI-U) and urban wage earners and clerical workers (CPI-W).
- **Personal Income** - State and county personal income and per capita personal income estimates are prepared by the U.S. Department of Commerce, Bureau of Economic Analysis.

In addition to estimates of total personal income, statewide components of income are available including wage and salary disbursements by industry; proprietors' income; transfer payments; and dividends, interest, and rent.

- **Output, Employment, and Earnings Multipliers** - Multipliers for industries in Maine are developed by the U.S. Department of Commerce, Bureau of Economic Analysis. These multipliers are used to determine the statewide impact of a project or program on output, employment, and earnings.
- **Fringe Benefit Surveys** - periodic survey of fringe benefits provided by Maine employers and reported statewide, by employer size class, industry sector and Workforce Investment Area.
- **Nonagricultural Prevailing Wage Determinations** - annual prevailing wages for nonagricultural activities employing temporary, specialty, and permanent labor under various Foreign Labor Certifications programs in Maine.
- **Job Vacancy Survey** – periodic survey of job vacancies in Maine reported by industry sector, occupational group, workforce investment area, and for Maine statewide. Vacancy data is also provided for mean hourly wages, full/part-time employment, temporary/seasonal employment, experience/education required and selected fringe benefits.
- **Occupational and Career Information** - numerous fliers, posters and brochures are designed to assist job seekers, employers and the general public with their occupational/career information needs.
- **Unemployment Insurance (UI) Statistics** - monthly reports derived from administrative data collected on the characteristics of individuals receiving UI benefits, and actuarial studies of legislative proposals.
- **Local Employment Dynamics Program (LED)** – quarterly reports tracking workers by industry, age and gender that provide statistics on job creation, separation, turnover, and wages for Maine and workforce investment area. LED is available in Maine through a partnership with the U.S. Census Bureau.
- **Staff gives workshops** on the availability and use of labor market information. These workshops, provided through the Labor Market Information Services Academy are of particular interest to policy makers, those engaged in economic/business development, training and career counseling, and socioeconomic research.

Information and guidance for planners and policy makers is also available through the USDOL/ETA WIA State Planning OnLine Coach at <http://staffcoach.onestopcoach.org>.

**2. Describe the approach the State will use to disseminate accurate and timely workforce information to businesses, job seekers, and employment counselors, in easy to use formats that are readily accessible within One-Stop Career Centers and at remote locations such as libraries, schools, worksites, and at home.**

In addition to the workforce information services provided through DLMIS described above, MDOL will ensure that customers are able to access information through the CareerCenter Information Centers which have a variety of flyers and publications that are user-friendly and readily available. Labor market and workforce information is also prominently displayed at the CareerCenter website ([www.mainecareercenter.com](http://www.mainecareercenter.com)). The CareerCenter website is linked to the America's Career Information Network (ACINet) LMI database and the new CareerOneStop portal ([www.CareerOneStop.org](http://www.CareerOneStop.org))

Specific information regarding high growth industries and occupations is disseminated in CareerCenters, workshops, job fairs, and through the use of pamphlets. Pamphlets include: *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 incorporated into the Maine Employment Information Guide.

In June 2004, the Division of Labor Market Services (DLMIS) and BES launched a joint venture to standardize the instruction that the DLMIS local analysts are providing to the CareerCenters and making it a more professional-quality training. The Labor Market Information Systems Academy is in the developmental stages and will be launched within Program Year 2005. BES has a number of



people who have been involved with curriculum design for major training initiatives and will assist the DLMIS with the development of this LMI training.

The goal of this training is to acquaint CareerCenter staff with the various major resources that LMIS produces. By means of a job-seeker assistance case study, various resources will be introduced and training participants will have an opportunity to access these electronically and learn to make decisions based on the data contained in these resources.

**3. Describe how the State's Workforce Information Core Products and Services Plan is aligned with the WIA State Plan to ensure that the investments in core products and services support the State's overall strategic direction for workforce investment.**

The Economic and Labor force Analysis in Section IV., is the foundation for setting the goals and strategic direction for the WIA Strategic Plan Modification. The Director for the Division of Labor Market Information Services meets with the four Local Workforce Investment Board Directors on a monthly basis to ensure that the Workforce Information Core Products and Services Plan is coordinated with the workforce trends and labor market information needs, both regionally and statewide.

The context for Maine's high-growth, high-wage initiative is based on a detailed analysis of labor market forecasts and trends. The information and data that was collected to align the Governor's Economic Strategy with the occupational projections served as the basis for developing the core products and services that are offered within the CareerCenters for assisting job seekers with skills training and business with understanding the training investments that must be made with existing employees.

As mentioned above, specific information regarding high growth industries and occupations has been identified, and will be promoted within the CareerCenters through workshops, job fairs, and a variety of published materials. For most job seekers, current and emerging labor market trends and projections will be made available through DLMIS publications such as: *Hot Jobs in Maine*, *Careers in Maine for College Graduates*, and *100 Highest Paying Jobs in Maine*. Through the LMI Academy, CareerCenter staff will be trained to understand and utilize both electronic and printed data.

In 2004, a new series of small posters, entitled *Job Journeys*, captured occupations by industry clusters in a career lattice format. The brochure, *Today's Work Competencies*, was produced to identify what competencies employers look for and how a job seeker can self-evaluate for these. Improvements in form and content were made to two publications, *Occupational Profiles for Careers in Maine* (using O\*NET) and *Occupations in Demand*, which identifies the best career opportunities for each county within the four Workforce Investment Areas.

**4. Describe how State workforce information products and tools are coordinated with the national electronic workforce information tools including America's Career Information Network and Career Voyages.**

The CareerCenter staff received training on the use of valuable web-based resources such as O\*NET Online and the CareerOneStop portal. The LMI Advisory Work Group meets regularly to ensure that that national and electronic information interfaces with DLMIS product development, and that all information is widely disseminated through publications and ongoing training. During the course of this plan MDOL will provide CareerCenter and partner staff training on the use of Career Voyages as an optional assessment tool.

**C. Adults and Dislocated Workers**

**1. Core Services. §112(b)(17)(a)(i).**

**a. Describe state strategies and policies to ensure adults and dislocated workers have universal access to the minimum required core services as described in §134(d)(2).**

See Section IX., A., 3. above for a summary of Core Services provided to all CareerCenter customers. Note that Maine's CareerCenter system is a comprehensive delivery system that makes all core services available to all customers.

- b. Describe how the state will ensure the three-tiered service delivery strategy for labor exchange services for job seekers and employers authorized by the Wagner-Peyser Act includes: (1) self-service, (2) facilitated self-help service, and (3) staff-assisted service, and is accessible and available to all customers at the local level.**

One of the primary goals of this Plan is to promote the full integration of programs and services providing a seamless system of services for customers at the local level, while assuring consistency of services in every CareerCenter across the state. The description provided in Section IX, H.1., describes the specific role that Wagner-Peyser has in delivering services through the CareerCenters.

Labor Exchange services funded through Wagner-Peyser contribute to the mix of CareerCenter services 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 21<sup>st</sup> 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; or a dislocated worker looks to change careers, a public assistance recipient tries to enter the labor market, or anyone else seeking employment.

- Labor Exchange services contribute to the system by administering a number of statutorily mandated programs for targeted populations including veterans, migrant and seasonal farmworkers 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 system development.

- Self-directed access to products and services are available and are being expanded as system 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 required under 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.

**c. Describe how the state will integrate resources provided under the Wagner-Peyser Act and WIA Title I for adults and dislocated workers as well as resources provided by required One-Stop partner programs, to deliver core services.**

One of the six goals of this Plan is to continue our progress toward the 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 Wagner-Peyser program is central to the overall CareerCenter service delivery system. Labor Exchange services provide the primary job finding source, especially for unemployment insurance (UI) claimants. The CareerCenters are designed to provide 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.

Maine State employees provide Labor Exchange services within the CareerCenters. Self-directed and functionally supervised work teams may include non-state employees and state employees who can all 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.

**2. Intensive Services. (§112(b)(17)(a)(i).) Describe State strategies and policies to ensure adults and dislocated workers who meet the criteria in §134(d)(3)(A) receive intensive services as defined.**

Intensive Services are intended to prepare people for successful participation in the labor market and can be provided in either group or individual settings. WIA Title I Intensive Services are limited to income-eligible job seekers who are unemployed, or are employed but are unable to obtain gainful employment. Partner program resources, such as Wagner-Peyser, are typically used to provide Intensive Services to the general public to enhance universal access to those not income-eligible for WIA enrollment.

The type of Intensive Services that are available through the CareerCenters is outlined in Section IX. 3., above.

**3. Training Services. (§112(b)(17)(A)(i).)**

**a. Describe the Governor's vision for increasing training access and opportunities for individuals including the investment of WIA Title I funds and the leveraging of other funds and resources.**

Training Services are intended for WIA Title I participants who are low income (70% of LLSIL Guidelines)<sup>19</sup> who are unable to obtain or retain employment through Intensive Services, or whose jobs provide inadequate wages, and who can benefit from such training. On the demand side – Employer Assistance – services are highly specialized and customized to businesses’ needs without an eligibility test.

The type of training services to be provided through the CareerCenters is outlined in Section IX. 3., above.

## **b. Individual Training Accounts:**

### **i. What policy direction has the State provided for ITAs?**

A copy of the State’s ITA Policy and Guidelines is included in Appendix V. The policy is designed to provide the LWIBs the flexibility to target training toward high-growth, high demand occupational training within their respective regions.

### **ii. Describe innovative training strategies used by the State to fill skills gaps. Include in the discussion the State’s effort to broaden the scope and reach of ITAs through partnerships with business, education, economic development, and industry associations and how business and industry involvement is used to drive this strategy.**

The MJC has been reorganized to respond to the operational demands of the state’s workforce development system. The subcommittee structure of the MJC includes the Industry Associations Subcommittee to provide for the opportunity to collaborate and

---

<sup>19</sup> WIA Title I Adult eligibility income guidelines. For some adult applicants, earnings limits have been raised in 2004 from 70% LLSIL to 185% of HHS’ poverty level. The higher guidelines will enable CareerCenters to serve employed people and segments of the working poor. Applicability:

- Up to 25% of WIA Title I Adult funds may be used; 75% of WIA adult funds shall be reserved for those at or below the 70% LLSIL figures.
- All statewide 10% funds may be used to serve adults at the 185% income levels.
- All General Fund CareerCenter money may be used to serve adults at the 185% income levels.

coordinate training across a range of industries. The ITA is just one tool that is being used to drive training toward the demands of businesses for a skilled workforce. The Industry Association Subcommittee is examining the use of multiple strategies to support the training investments for workers, including the Governor's Training Initiative, Apprenticeship, National Emergency Grants, Trade Adjustment Assistance as well as Industry Association membership sponsored training. The primary goal is to ensure that all training resources are targeted to help Maine's growing industry sectors to tap into a skilled workforce.

**iii. Discuss the State's plan for committing all or part of WIA Title I funds to training opportunities in high-growth, high-demand, and economically vital occupations.**

The State's ITA Policy requires the LWIBs to utilize training funds including WIA Title I to support opportunities in high-growth, high demand occupations. The State, per se, does not specifically commit WIA Title I funds for these activities. The availability of state general revenue funds through GTI does target training investments with industries that have the greatest potential for growth. The TAA program is overseen centrally through MDOL and as such, training investments are routinely reviewed to ensure that training is occurring to prepare workers in occupations that promote both the Governor's Economic Strategy and the regional high-growth, high demand industries.

**iv. Describe the State's policy for limiting ITAs (e.g., dollar amount or duration)**

The LWIBs are responsible for setting policies within their region that limit the amount and duration of ITAs.

**v. Describe the State's current or planned use of WIA Title I funds for the provision of training through Apprenticeship.**

MDOL does not currently plan to use limited WIA Title I funds for the provision of training through Apprenticeship.

**vi. Identify state policies developed in response to changes to WIA regulations that permit the use of WIA Title I financial assistance to employ or train participants in religious activities when the assistance is provided indirectly (such as through an ITA) (20 CFR § 667.266(b)(1).)**

Section 188(a)(3) of the Workforce Investment Act indicates:

“Prohibition on Assistance for Facilities for Sectarian Instruction or Religious Worship - Participants shall not be employed under this title to carry out the construction, operation, or maintenance of any part of any facility that is used or to be used for sectarian instruction or as a place for religious worship (except with respect to the maintenance of a facility that is not primarily or inherently devoted to sectarian instruction or religious worship, in a case in which the organization operating the facility is part of a program or activity providing services to participants).”

MDOL acknowledges that effective July 12, 2004, WIA Final Regulations have been revised with regard to the possible role of sectarian/religious organizations as service providers. We understand the new regulations mean that:

- All social service organizations are potentially eligible to become WIA service providers even though no public money may be directed by government entities or contractors to sectarian/religious purposes and
- The First Amendment rights of sectarian/religious organizations will not be compromised or infringed.

The new regulations ask states to:

- Provide the criteria by which sectarian/religious organizations may be eligible as service providers and/or training facilities,
- Prevent direct use of public money for sectarian/religious purposes, and
- Protect faith-based and sectarian/religious organizations from discrimination.



The need to balance the above factors, while also allowing for participant choice, is met by the federally established distinction between 'direct funding' and 'indirect funding.' (20 CFR 667.275) MDOL understands this distinction to mean that:

- Direct Department of Labor (DOL) support may not be used for inherently religious activities, such as worship services or prayer meetings.
- Service providers receiving direct DOL support may offer inherently religious activities such as worship services or prayer meetings only when they are separated in time or location from government funded activities.
- Participation of WIA enrollees in inherently religious activities must be entirely voluntary.
- These restrictions do not apply when DOL support is received indirectly, such as by means of an Individual Training Account (ITA).

MDOL is currently examining the subject of Sectarian/Religious Activity very carefully to describe State policies on the use of religious organizations as training and service providers. A specific policy on this matter will be developed no later than August 1, 2005.

**c. Eligible Training Provider List. Describe the State's process for providing broad customer access to the statewide list of eligible training providers and their performance information including at every One-Stop Career Center. (§112(b)(17)(A)(iii).)**

Section VIII, G.1-4., provides a detailed summary of the process that MDOL has in place for notifying customers of the availability of WIA approved training opportunities.

**d. On-the-Job (OJT) and Customized Training (§§112(b)(17)(A)(i) and 134(b).). Based on the outline below, describe the State's major directions, policies and requirements related to OJT and customized training.**

- i. Describe the Governor's vision for increasing training opportunities to individuals through the specific delivery vehicles of OJT and customized training.**

The goals established within the WIA Strategic Plan Modification process were developed in response to promoting the Governor’s Economic Strategy. Specifically, these goals, objectives and strategies expect to utilize OJT and Apprenticeship as effective training tools for addressing the workforce and business needs in Maine. Each of the following goals makes specific use of OJT as a strategy for promoting the Governor’s vision:

1. Position ***low-income individuals, unemployed and entry-level incumbent*** workers to more effectively participate in the workforce and benefit from the economy.  
**OBJECTIVE:**  
Develop public/private partnerships that create opportunities for unemployed, low-wage, low skilled workers to gain employment and move up job and career lattices throughout their lifetime.  
**Strategy:** Utilize On-the-Job Training as a first step toward Registered Apprenticeship as a dual skill development and income growth strategy.  
  
**OBJECTIVE:** Increase opportunities for young disadvantaged people to learn how to build their careers through career and technical education opportunities.  
**Strategy:** Promote On-the-Job training, Pre-Apprenticeship and Registered Apprenticeship to create a structured career path for youth.
2. Promote employment and skills training opportunities that provide *livable* wages leading to worker ***economic security***.  
**OBJECTIVE:** Increase access to educational and training opportunities for low-income and low-wage workers who are seeking post-secondary education  
**Strategy:** Utilize On-the-Job Training as a first step toward Registered Apprenticeship as a dual skill development and income growth strategy.
3. Build a stronger *demand-side involvement* through business and industry participation as partners, collaborators, advisors and investors in workforce hiring and training.  
**OBJECTIVE:** Increase the number of businesses who utilize CareerCenter services for recruiting and hiring employees.

**Strategy:** Engage businesses to mentor and hire youth through work experience, On-the-Job training, Pre-apprenticeship and Registered Apprenticeship.

**ii. Describe how the State:**

- **Identifies OJT and customized training opportunities;**
- **Markets OJT and customized training as an incentive to untapped employer pools including new business to the State, employer groups;**
- **Partners with high-growth, high-demand industries and economically vital industries to develop potential OJT and customized training strategies;**
- **Taps business partners to help drive the demand-driven strategy through joint planning, competency and curriculum development; and determining appropriate lengths of training, and**
- **Leverages other resources through education, economic development and industry associations to support OJT and customized training ventures.**

On-the-Job Training and Customized Training activities support the development of the comprehensive workforce investment system envisioned under WIA and Maine's economic and workforce development vision, by providing additional training options for both employer and employee customers. The LWIBs have the primary responsibility to encourage the development and marketing of OJT and Customized Training as a tool for promoting skills attainment within high growth, high wage industries.

MDOL has provided the LWIBs with policy and guidance for promoting OJT with respect to both worker and business responsibilities. MDOL has issued the following guidelines to the LWIBs:

- On-the-Job Training can be provided to both WIA-eligible unemployed workers and to incumbent workers.

- WIA-eligible individuals are enrolled in OJT as appropriate, based on their individual employment plans.
- Training provided through use of OJT does not require the use of an Individual Training Account (ITA).
- Incumbent workers: OJT contracts may be written for employed workers when the employee is not earning a self-sufficient wage as determined by the LWIB policy, the requirements in sections II and IV of this document are met; and the OJT relates to the introduction of new technologies, introduction to new production or service procedures, upgrading to new jobs that require additional skills, workplace literacy or other appropriate purpose identified by the LWIB.
- Providers of OJT are not subject to the requirements for Eligible Training Providers found in WIA sec.122 (a) through (e). However, CareerCenters are responsible for collecting performance information from OJT providers as the Governor may require (WIA sec. 122 (h)).

Within the State's plan the use of OJT and, to a lesser extent, Customized Training is being touted as a significant tool for promoting workforce development and training. MDOL will be committing staff training resources and providing the LWIBs with technical assistance to expand the use of OJT. To the extent possible, WIA Title I funds will be used to leverage other funds that are available to support worker training. Currently, MDOL has the ability to promote the funding of training through the use of GTI, WIA, TAA, and National Emergency Grant Funds. The Industry Association Subcommittee of the MJC will be examining the expanded use of OJT and Customized Training to support the Governor's Economic Strategy. Additional policies and collaborations between workforce and economic development will be developed throughout the implementation of this plan.

#### **4. Service to Specific Populations. (§112(b)(17)(A)(iv).)**

- a. Describe the State's strategies to ensure that the full range of employment and training programs and services delivered through the State's One-Stop delivery system are accessible to and will meet the needs of dislocated workers, displaced homemakers, low-income individuals such as**

**migrants and seasonal farmworkers, women, minorities, individuals training for non-traditional employment, veterans, public assistance recipients and individuals with multiple barriers to employment (including older individuals, people with limited English-speaking proficiency, and people with disabilities.)**

Section VI. C., above outlines the State's policy to promote universal access for all customers. Again, it is the mission of the CareerCenters to operate a customer-focused service that *empowers all* adults to obtain the information and training they need whether they are employed or unemployed. The CareerCenters and partner agencies continue to face demands from a diverse array of customer groups ranging from highly educated adults to individuals with severe disabilities and serious learning deficits. Preparing job seekers to be effective workers, empowering them to achieve their employment goals, and training them to participate fully as community leaders requires innovative training approaches and educational programs that address their skills, interests, educational levels, personal background, aptitudes, and supportive service needs.

In this environment, with the economic diversity of Maine, the needs of employers and business owners are complex, constantly shifting, and quickly realigning. Responding to their needs will require all of Maine's economic and workforce development resources working together. The CareerCenters will continue to be open and accessible to all workers and the success of the CareerCenters' efforts will depend in large part on better coordination of policies and resources from all aspects of the state's workforces systems. Meanwhile several disparate and unique worker groups visit our CareerCenters with the hope that we will be there to provide guidance and training. Among them are:

### **Underemployed**

MDOL believes that we need to do a better job at serving Maine's underemployed. This group is tapped to be the emerging workers and is the workforce of the future. Whether in or out of school, they need to develop the academic and vocational skills that will prepare them for employment and further education. Some underemployed workers have barriers to labor market success and thus require special assistance. A sample of these barriers include:

- Low aspirations
- Unsuccessful education experiences
- Low basic skills
- Severe disabilities
- Homelessness
- Criminal records
- Pregnancy

Intervention strategies, to be successful, require a systems approach among all partners and may include: school-based programs that provide additional support around positive peer networks, additional resources to find employment, and intensive basic skills development; Core and Intensive services that focus on the role that aspirations play in training and career decision-making, to include promotion of higher learning; joint case management for hard-to-serve youth, such as homeless teens, that provides training resources from Title I and job retention and social support from community-based agencies; mentoring; financial aid to obtain higher education; work experience and internships that provide real-world feedback about aligning their vocational aptitudes and abilities to jobs in the labor market; long-term supportive services, financial and otherwise; using work as a pathway from homelessness to independence; occupational skills training within growing industries.

The CareerCenter system service providers (MDOL, Bureau of Rehabilitation Services, Aroostook Community Action, Coastal Economic Development, Training Development Corporation, Western Maine Community Action, Training Resource Center, and others) have worked with youth agencies to meet the needs of their customers. The LWIB Youth Councils have opportunities to build on these successes, and to build newer linkages with the Job Corps Centers here in Maine.

### **Transitional and Disadvantaged Workers**

These are adults who are unemployed, underemployed, seasonal workers, or relatively new to the labor market, such as displaced homemakers. Individual needs may vary widely but they generally

need assistance in preparing for, finding, and retaining employment. Some of their specific barriers are summarized here.

- Potential for extended unemployment

Despite Maine's low unemployment rate, workers in occupations from declining industries, or from economically sluggish parts of the state continue to face difficult transitions between jobs. Dislocated workers, who are unlikely to return to their jobs or even to their industries, generally have a wide variety of needs. Some have considerable education, skills, and work experience and simply need information and assistance in finding reemployment. Others have limited education and skills, or obsolete skills and require substantial assistance in preparing for new jobs and careers. Many dislocated workers also need income support and thus may have to combine retraining with work. The MDOL, the Maine AFL-CIO, and the Adult Education system have been working diligently to develop a coordinated systems approach for serving dislocated workers.

Migrant and Seasonal Farm Workers often face chronic unemployment and substandard living conditions. They generally need the rapid assistance of social services and health care along with more long-term support in preparing for alternative employment. The Training Development Corporation, and the Maine Bureau of Labor Standards serve this population as described in Section IX.4.i.: Services to the Agricultural Community.

Many veterans, too, may face difficult labor market transitions, particularly upon reentering civilian life. They may require specialized employment and training services to boost their job prospects. VETS and MDOL have established effective program designs that include other providers such as the Togus Veteran's Rehabilitation program. Additionally, veterans with more severe adjustment difficulties may require counseling, social services, and more in-depth support from specialists who are more familiar with their needs.

Older workers who are displaced from jobs may experience significant difficulty in reentering the labor market, and therefore may be more likely to withdraw from the labor force. They are also prone to age discrimination. With the aging baby boom generation, increasing numbers of low-

income, unemployed older workers will require assistance. With the support of the Bureau of Elder and Adult Services and other Older Americans Act prime sponsors, senior citizens employment and training programs have been very active in Maine and in some cases, provide on-site staff at CareerCenters. The Maine Job Council's Older Worker Committee sponsored statewide Older Worker job fairs for "Employ An Older Worker Week" in September 2004, and is currently developing educational materials on hiring older workers, including curriculum and a public service announcement campaign.

Customers with low basic skills or without high school diplomas are at a major disadvantage in today's economy. Without these skills, it will be almost impossible for them to obtain jobs with adequate wages or acquire the additional education and training they will need to get ahead. They are also more likely than the average citizen to have low incomes and receive public assistance. Adult Education programs are critical to addressing this need. These programs have the capacity to customize services for job seekers, and are quite responsive to conducting on-site instruction for employers. Adult education has also established effective linkages with service providers such as the Maine Centers for Women, Work and Community (MCWWC), Women Unlimited, and job training system service providers.

- Low income adults

Low-income adults, the target population of TANF, Food Stamp programs, WIA, and public assistance programs face a number of barriers to labor market success; most probably have low basic skills and education, and thus require basic education and literacy services. They often lack marketable work experience and employability skills. Low-income working adults frequently are stuck in entry-level jobs with no plan to advance a career. Program designs have to take into account their intensive and long-term support needs in acquiring and retaining employment. This plan will specifically focus on this population to provide enhanced career advancement services with programs such as Lifelong Learner Accounts (LiLAS).



- People with disabilities

These customers face a wide range of obstacles to labor market success, including lack of support services to facilitate employment, and discrimination in the workplace. These customers may also have deficits in basic skills or low levels of education and may require further education and training to find suitable employment. Additional barriers include visual and hearing impairments, mental illness, and developmental disabilities. The Bureau of Rehabilitation Services (BRS) is housed within the CareerCenters and has proved invaluable in contributing to leveraging resources for serving people with disabilities. The MJC and LWIBs look forward to building on these successes with other community agencies that serve this population, such as Supported Employment, Alpha One, the Iris Network and other advocacy groups. Creative Work Systems is represented on MJC and has been very active in providing effective services in Southern Maine. MDOL is currently operating a Program Navigator project in collaboration with the BRS to expand access within the CareerCenter for people with disabilities. Staff training is a key component of the State's effort to assist people with disabilities.

- Single parents and Displaced Homemakers

In addition to the traditional employment and training services, this group generally requires childcare services while working or while learning new skills. Significant numbers within this population need intensive prevocational assistance with career decision-making, building self-esteem and learning how to translate their family-management skills to opportunities in the labor market. Women Unlimited provides occupational skills training in non-traditional occupations. Maine Centers for Women, Work and Community (MCWWC) provides high quality services that empower displaced homemakers in acquiring new jobs and economic independence.

- Individuals with limited English proficiency

People within this category, including those speaking languages other than English, face unique challenges. They must master reading, as well as improve their speaking and listening comprehension abilities. The CareerCenter partnerships with local adult education programs and

faith-based organizations are especially important to build effective linkages for serving these diverse needs.

- Criminal offenders in correctional institutions

This population faces numerous barriers in reentering the work force. A major barrier is low educational attainment. Estimates of those without high school diplomas or with major literacy deficiencies range from one-third to one-half. MDOL and the CareerCenters are working collaboratively with the Department of Corrections to develop effective prisoner re-entry programs.

**b. Describe the reemployment services you will provide to unemployment insurance claimants and the Worker Profiling services provided to claimants identified as most likely to exhaust their unemployment insurance benefits in accordance with section 3(c)(3) of the Wagner-Peyser Act.**

MDOL has two significant initiatives underway to promote re-employment services for unemployment insurance claimants. In 2004, MDOL developed a modified Reemployment Services Plan to focus on profiled claimants. In 2005, the MDOL Bureau of Unemployment Compensation (BUS) was awarded a demonstration grant to provide staff to conduct significant claimant assessments and eligibility review services through the CareerCenter. Both of these efforts are providing resources to be able to focus on Maine's unemployed population.

Through collaboration between the CareerCenters and the BUC, an intense level of Reemployment Services will be provided to targeted beneficiaries (both profiled and non-profiled) with relevant reemployment services and job search assessments to minimize their length of unemployment. The four principles underlying the organization of Maine's CareerCenters - Universal Access, Customer Choice, Program Integration, and Accountability - ensure that beneficiaries have knowledge of, and access to, the full spectrum of reemployment services available to meet his/her needs identified by the assessment. Primary employment-generating services available to anyone regardless of eligibility or program include:

- Staff assistance to help customers acquire needed services.
- Limited counseling assistance that promotes the role that aspirations play in career decision-making, and promoting higher learning.
- Common Intake for Labor Exchange registration, eligibility determinations for Workforce Investment Act and other programs.
- Access to computer applications such as word processing, spreadsheets, data base development and presentations.
- Performance information about Workforce Investment Act, Trade Adjustment Assistance and other programs.
- Information about Maine Labor Laws.
- Information about the availability of, and how to access supportive services, career counseling and training services, and all partner programs.
- Access to computer applications for personal and career development, such as keyboarding, self-assessment and career decision-making.
- Internet access and enhanced Internet access using Employment Job Search Portal
- Core assessment to help customers link their vocational aptitudes and abilities to jobs.
- Career counseling unrelated to developing individual employment plans.
- Information about obtaining post-secondary financial aid.

While the services described above are available to those who choose to utilize them, the enhanced services are to be provided to profiled BUC beneficiaries. The Reemployment Services Project is delivered by the CareerCenters through the Wagner-Peyser program. The Reemployment Services program is offered through two unique services levels, each designed to provide beneficiaries with the appropriate amount of assistance relevant to individual needs and geared toward greatly improving their chances of returning to work.

Claimants are notified in writing by the BUC that they are required to contact designated CareerCenter locations in their area to begin an assessment of their current work search activities, review a variety of reemployment options, and to develop individual work search plans. Beneficiaries identified by the BUC are directed to attend an in-person orientation at the CareerCenter on a scheduled time and day. .

The ten designated CareerCenters involved in the Reemployment Services Project were selected based on the volume of benefit claims with no recall date and greater than four weeks compensation. The ten areas are Saco, Portland, Bath, Lewiston, Wilton, Augusta, Skowhegan, Bangor, Ellsworth, and Presque Isle.

**c. Describe how the State administers the unemployment insurance work test and how feedback requirements (under §7(a)(3)(F) of the Wagner-Peyser Act) for all UI claimants are met.**

See the previous section.

**d. Describe the State's strategy for integrating and aligning services to dislocated workers provided through the WIA rapid response, WIA dislocated worker, and Trade Adjustment Assistance (TAA) programs. Does the State have a policy supporting co-enrollment for WIA and TAA?**

Again, Maine operates a comprehensive CareerCenter delivery system. All WIA, Wagner-Peyser, and related services are accessed via an integrated service delivery system. The integrated services strategy that is outlined in other sections of this Plan does incorporate the TAA program. In many locations, both Wagner-Peyser and WIA staff jointly deliver the TAA program. TAA resources are leveraged whenever possible with WIA Title I Dislocated Worker and National Emergency Grant resources. Currently, Maine does not have a specific policy supporting co enrollment between TAA and WIA Title I. A policy will be developed during Program Year 2005.

**e. How is the State's workforce investment system working collaboratively with business and industry and the education community to develop strategies to overcome barriers to skill achievement and employment experienced by the populations listed in paragraph (a.) above and to ensure they are being identified as a critical pipeline of workers?**

Section VI.D., above outlines the efforts of the State of Maine to build and support a truly integrated and collaborative CareerCenter system. At the core of this design is the ongoing development of an effective business services practice. The role of the CareerCenters is to facilitate the connection between workers and businesses, while important, is not enough. The MJC, LWIBs, Departments of Education, Labor, and Economic and Community Development must continue to identify ways in which to work together.

The presence of the Governor's Workforce Cabinet is a bold and aggressive step in the direction of requiring leadership to work together to forge strong public and private partnerships that address the question of how we can improve the state's productivity and contribute to Maine's economic success.

The MJC is another critical link to bringing together business, education and workforce service providers to address how MDOL is going to invest its resources to ensure that we have a highly skilled workforce and productive economy. The connection points are critical. The Workforce Cabinet and the MJC are working together to create policies that align workforce skills through training and education with the demands of Maine's high growth, high demand business environment.

In January 2005, the Departments of Education, Labor and Economic and Community Development hosted an important conference to continue the dialogue about how we bridge the connection between education, skill achievement and business productivity. The ***Education, Technology and Future of Maine's Economy Conference*** provided a unique opportunity for state level discussions on the role that education, labor and economic development can come together to plan and execute strategies more effectively. The conference was designed to promote specific action plans so all state level systems can be

working more collaboratively between agencies and the private sector. A summary of the conference action plan strategies is included in Appendix VI.

**f. Describe how the State will ensure that the full array of One-Stop services are available to individuals with disabilities and that the services are fully accessible?**

Maine's CareerCenters operate to provide access to all individuals who request assistance. For the past five years, the CareerCenter system has been working collaboratively among all of the partners to coordinate, integrate and streamline services to benefit common customers. In most locations, the Bureau of Rehabilitation Services is colocated within the CareerCenter and has provided advice and technical assistance to ensure that people with disabilities are able to receive the essential Core Services that are offered within the CareerCenter Information Centers. The specific Core Services, which are available for all customers and other services tailored to those with disabilities, include 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 Vocational 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.
- Conducting cross information and training sessions for joint staff.

Additionally, MDOL has been actively engaged in developing service strategies that are specifically designed to increase access to the CareerCenters for people with disabilities. In an effort to improve access for people with disabilities, the Bureau of Rehabilitation Services is operating the *AbleME* project. The *AbleME* goal is to improve the CareerCenter system for jobseekers with disabilities, improve access to CareerCenter services, facilitate coordination

and collaboration of multiple providers, and improve employment outcomes for jobseekers with disabilities. *AbleME* is funded for two years by the U.S. Department of Labor. *AbleME* is a statewide initiative that includes the Maine Jobs Council, all 23 CareerCenters and the four local Workforce Investment Boards. *The Leadership Council, Access Committee, two Program Navigators, and the Project Lead in the Department of Labor will support AbleME.*

### **Strategies**

- Implementation of Program Navigator Strategies;
- Increase outreach and marketing to citizens with disabilities;
- Outreach to business organizations;
- Increase capacity of non-VR staff to more effectively serve consumers with disabilities;
- Increase access to CareerCenter programs through updated assistive technology;
- Increase capacity to assist consumers with disabilities in understanding employment and benefits;

### **Issue Areas**

Physical Accessibility: Overall, Maine's CareerCenters provide architectural accessibility in compliance with the ADA. Maine's ADA Accessibility Coordinator in coordination with MDOL Accessibility Coordinator will complete a survey of the CareerCenter's architectural access by Summer 2004.

Programmatic Accessibility: Maine's CareerCenters system has made various accommodations to increase programmatic access to people with disabilities. Unfortunately programmatic supports are not consistent throughout the system. Through *AbleME*, Maine will create a standard for all CareerCenters with regard to accessibility. Assistive technology needs will be assessed and new or upgraded technology will be purchase and installed and staff will be trained on utilization. Staff will participate in training and awareness building activities which will challenge them to ask: "*How does what I am doing affect access?*"

Communication Accessibility: *AbleME* partners recognize that customers should have a choice regarding the communication access that is best for them. Unfortunately communication supports are not available in all CareerCenter. Communication supports that will be implemented under the *AbleME* initiative include:

- Alternate formats of materials made available in all CareerCenters.
- Reception and Information Center staff will receive refresher training in the use of the TTY and a copy of *FAQ and General TTY Etiquette Tips for New TTY Users* will be distributed to all staff.
- Basic ASL training will be provided for Reception and Information Center staff.
- Assistive listening devices will be purchased for each CareerCenter and staff will be trained in their use and demonstrate competency.
- Assess the capacity to support video interpreting services and make the necessary system changes to support service delivery.

**g. Describe the role LVER/DVOP staff have in the One-Stop Delivery System? How will the State ensure adherence to the legislative requirements for veterans' staff? How will services under this Plan take into consideration the agreement reached between the Secretary and the State regarding veterans' employment programs? (§§112(b)(7), 112 (b)(17)((B); 322, 38 U.S.C. Chapter 41; and 20 CFR §1001.120).)**

The integration of services has been MDOL's goal since the inception of WIA, and the provision of veterans' services has been a part of that effort. Given that the overarching goal of the state's CareerCenter system is to offer job seekers and employers the option to choose a level of core, intensive or training services that respond to their need, this philosophy has been incorporated into the Veteran's Services Plan.

Maine is committed to creating a seamless system for all workforce programs through its CareerCenters. To achieve this, we have:



- Created comprehensive Information Centers containing labor market information (LMI), human resource information, self-directed assessments, and other prevocational modules relating to all participating programs.
- Created a single point of contact for employers to prepare job orders, pursue job development, and develop employer-based training.
- Created an intake system so that CareerCenter customers will fill out a minimum of duplicated forms for participating programs.
- DVOPs and LVERs are already fully integrated into the CareerCenter offices, thereby enhancing veterans' services.

Some of the activities shared by CareerCenter partners are shown below:

<b>WIA Activities Shared by Partners</b>	<b>WIA</b>	<b>Wagner-Peyser (Including TAA &amp; VETS staff)</b>	<b>Bureau of Rehab Services</b>
Common Intake	X	X	
Core Services	X	X	X
Intensive Services	X	X	X
Common Scheduling	X	X	X
Case Management	X	X	X
Individual Training Accounts	X	X	

One of the most frequently used linkages to other services is the Veterans' Workforce Investment Program (VWIP), operated by the Training Resource Center at the Portland CareerCenter. Training funds are used for veterans of target populations, such special disabled veterans with significant barriers to employment, and homeless veterans. Training funds are available for a variety of types of training in this program. VWIP-funded counselors are collocated in the CareerCenter offices in Augusta, Bangor, Lewiston, as well as Portland.

In addition, Adult Education, Pell Grants, the Maine Enterprise Option (self-employment for UI recipients), public and private scholarships, grants and loans, local community services, and many other resources are utilized to customize a package of services appropriate for an individual veteran's

needs. These resources are periodically updated in an eligible training provider list available on the web.

LVERs and DVOPs work exclusively with veterans and will facilitate their access to all programs and services for which they are eligible. Specific services to veterans include Core, Intensive and Training Services. Veterans may be referred to any available training service open to the general public regardless of funding source. Priority of service to veterans applies to any CareerCenter program.

The Department of Labor has entered into a formal agreement with the Veterans' Administration's Vocational Rehabilitation and Employment (VR&E) Program, whereby its clients are referred within 90 days of training completion to the DVOP or LVER closest to where the veteran lives or wants to work. Each VR&E client is registered with the CareerCenter and case managed by a DVOP or LVER in order to help them obtain suitable employment.

DVOP and LVER staffs are part of an integrated team in each CareerCenter that includes programs and services funded by the Wagner-Peyser program, WIA youth, adult and dislocated worker programs, the TAA program, the VWIP program and others. Programs and services are marketed by all partners for all services and populations as CareerCenter services. In other words, all promotional materials, brochures and other marketing efforts developed by any one of the partners include all the services and activities available through the CareerCenter, including special services available to veterans. In addition, all employer visitations, whether conducted by staff funded by WIA Wagner-Peyser, or LVER, will provide information to employers about the Veterans Services available at the CareerCenters.

**h. Department of Labor regulations at 29 CFR 37, require all recipients of Federal financial assistance from DOL to provide meaningful access to limited English proficient (LEP) persons. Federal financial assistance includes grants, training, equipment usage, donations of surplus property, and other assistance. Sub-recipients are also covered when Federal DOL funds are passed through from one recipient to a sub-recipient. Describe how the State will ensure access**

**to services through the State's One-Stop delivery system by persons with limited English proficiency and how the State will meet the requirements of ETA Training and Employment Guidance Letter (TEGL) 26-02, (May 29, 2003) which provides guidance on methods of complying with the Federal rule.**

As previously discussed people speaking languages other than English, face unique challenges. To become successful workforce participants these individuals must acquire English reading skills as well as improve their speaking and listening comprehension abilities. The CareerCenter partnerships with local Adult education programs and faith-based organizations are especially important to build effective linkages for serving these diverse needs.

Over the past several years the in-migration of significant numbers of persons who are limited English proficiency has largely been limited to southern and central Maine. The MDOL, Coastal Counties Workforce Board, Central/Western Workforce Board and the CareerCenters in the Cities of Lewiston and Portland have provided a high level of support to the Portland/Lewiston Refugee Collaborative in terms of both human and financial resources. Through the CareerCenters, MDOL and its partners were able to coordinate considerable staff resources to provide job preparation, job placement and support and overall community coordination for non-English speaking groups such as Somalis and other new arrivals.

### **Community Approach to Helping “New Mainers”**

#### **Maine CareerCenters have worked with the Collaborative to offer a full array of services:**

- Workplace Readiness and Academic Credentialing, including ESOL
- Adapting Workplace Essential Skills and GED services to the needs of new arrivals (coordinated through Adult and Community Education programs)
- Occupational skills training
- Job placement, coaching and retention
- On-site employee assistance
- Self-employment support
- Supportive services (childcare, transportation, clothing, and other employment-related expenses)

#### **The CareerCenter staff also provides support and technical assistance to the Portland/Lewiston Collaborative by convening and facilitating a number of significant partnerships, including:**

- University of Southern Maine’s Center for Workplace Learning
- Catholic Charities of Maine
- Portland and Lewiston Adult Education
- Department of Human Services
- Lewiston Business Advisory Group
- AmeriCorps\*VISTA

- i. Describe the State’s strategies to enhance and integrate service delivery through the One-Stop delivery system for migrant and seasonal farm workers and agricultural employers. How will the State ensure that migrant and seasonal farm workers have equal access to employment opportunities through the State’s One-Stop delivery system? Include the following:**

- **The number of Migrant and Seasonal Farmworkers(MSFWs) the State anticipates reaching annually through outreach to increase their ability to access core, intensive, and training services in the One-Stop Career Center System.**

Due to staff changes in the Migrant and Seasonal Farmworker (MSFW) program MDOL was not able to complete a full assessment of need for the agricultural community for this WIA Strategic Plan Modification. As assessment of outreach activities will be completed by the end of the first quarter in Program Year 2005 and will be submitted as a modification to this plan

## **5. Priority of Service**

- a. What procedures and criteria are in place under 20 CFR 663.600 for the Governor and appropriate local boards to direct One-Stop operators to give priority of service to public assistance recipients and other low-income individuals for intensive and training services if funds allocated to a local area for adult employment and training activities are determined to be limited? (§§112(b)(17)(A)(iv) and 134(d)(4)(E).)**

Maine WIA Title I funds are extremely limited and the statutory and regulatory standards for providing services on a priority basis will apply. It is also one of the major goals of the WIA Strategic Plan Modification to target services to low-income, low-skilled workers. Additionally, the MJC has adopted the broader goal of promoting economic stability by helping workers to acquire the skills and employment they need to command a “livable wage”.<sup>20</sup> To this end, local plans will comply with the following standards:

---

<sup>20</sup> Note: Income eligible veterans are given priority for services and all other income eligible participants will follow.

- Individuals served in Intensive Services and Training Services with WIA Title I funds shall be income-eligible adults (this does not apply to dislocated workers and youth). Partner programs, such as Wagner-Peyser, may contribute resources to serve anyone in, Core Services and Intensive Services without regard to income. **Note: Income eligible veterans are given priority for services and all other income eligible participants will follow.**
- The priority system will promote maximum customer access and inclusiveness by recognizing Temporary Assistance for Needy Families (TANF) funds as available resources to supplement WIA Title I money. Linking TANF with WIA Title I funds allows access by income-eligible customers who are not welfare recipients. Maine service providers already leverage TANF dollars by contributing training dollars to Individual Service Strategies (ISSs) while looking to the welfare system to pay for all income support needs. LWIBs will be expected to continue this practice, to be codified in MOUs, if necessary. This does not prohibit using WIA Title I funds to support employment plans for TANF or welfare customers.
- Local areas shall serve customers in Intensive and Training services according to three classifications: significant segments, barriers to employment, and program-specific eligibility requirements.
  1. Within each local area, providers must serve people by age, race and sex according to their incidence in their labor markets. LWIBs will be given a range within which to operate with corrective action required if they are exceeded.
  2. Within significant segment classifications, customers must face one or more of the following barriers to employment: literacy skills below the eighth grade, non-marketable education and work histories, lack of transferable occupational skills, physical or emotional conditions, pregnancy, homelessness, and poor legal histories.
  3. People will be enrolled according to target group status when funding streams dictate, such as youth, veterans, dislocated workers, etc.

- b. What policies and strategies does the State have in place to ensure that, pursuant to the Jobs for Veterans Act (P.L.107-288)(38 USC 4215), that priority of service is provided to veterans (and certain spouses) who otherwise meet the eligibility requirements for all employment and training programs funded by the U.S. Department of Labor, in accordance with the provisions of TEGL 5-03 (9/16/03/)?**

Veterans who are low income will receive priority of service status in accordance with the State's policy on "Priority of Service" found in Section 5.a., above.

CareerCenters will employ priority procedures in accordance with federal mandates that cover all federal and state-funded programs. LVER and DVOP staffs are working exclusively with veterans and will facilitate their access to all programs and services for which they are eligible.

- D. Rapid Response. (112(b)(17)(A)(ii).) Describe how your State provides Rapid Response services with the funds reserved under section 133(a)(2).**

- 1. Identify the entity responsible for providing Rapid Response services. Describe how Rapid Response activities involve local boards and Chief Elected Officials. If Rapid Response activities are shared between the State and local areas, describe the functions of each and how funds are allocated to the local areas.**

Implementation of Rapid Response is a shared responsibility between the MDOL, the LWBs, the Dislocated Worker Service Providers in the CareerCenters, and other State and Local Agencies.

In consultation and negotiation with LWIBs, MDOL is responsible for developing 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 Emergency Grant Applications, negotiating alliance-based contracts that support Rapid Response capacity, and providing policy direction for rapid response delivery and its integration with TAA and WIA dislocated worker programs.

Regional Rapid Response Services are contracted through each of Maine's four Local Workforce Investment Boards. Funds to support **one** full time Rapid Response representative (wages, benefits, overhead, travel, etc.) are allocated to each of the following: LA1-Aroostook and Washington counties, LA2-Hancock, Penobscot, and Piscataquis counties, LA3-Androscoggin, Franklin, Kennebec, Oxford, and Somerset counties. Funds to support **two** full Rapid Response representatives are allocated to Local Area 4-Cumberland, Knox, Lincoln, Sagadahoc, Waldo, and York counties.

MDOL has developed important alliances since the inception of rapid response services. A partnership with Maine AFL-CIO, promotes Rapid Response services to affected union officials and their workers, helps conduct workshops and manages the statewide Peer Support Worker program jointly with MDOL/BES.

Furthering the State's goal of developing capacity of the CareerCenter system, State-funded rapid response efforts will be implemented in consultation with LWBs and CLEOs. In addition to provision of policy direction and functional oversight, MDOL also provides staff development and training through a statewide Rapid Response Coordinator. Local rapid response staff is 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, conduct reemployment orientations and workshops, and facilitate transition into training and job development activities offered by the local CareerCenter.

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



## **2. Describe the process involved in carrying out Rapid Response activities.**

### **a. What methods are involved in receiving notice of impending layoffs (include WARN Act notice as well as other sources)?**

Maine has built an extremely effective communication system for identifying and responding to potential and actual dislocations. A number of avenues exist for identifying companies that may be impacted by downsizing:

- a) A confidential list identifies companies from which UI has documented 20 or more initial claims.
- b) Formal notices required by the WARN act or the Maine Severance Law that are submitted by the affected company to the Dislocated Worker Unit and the Bureau of Labor Standards.
- c) Websites that monitor and package information about mergers, downsizing, development or investment in offshore facilities that affect the corporate parent companies of Maine subsidiaries are scanned on a regular basis. Along with state and local press releases that provide similar information.
- d) Credible rumors and disclosures are routinely followed up on.
- e) Early information sharing from economic development and other business assistance entities at the state, regional and local levels is also encouraged; they are usually the first to know when companies are facing issues that may result in job loss.

### **b. What efforts does the Rapid Response team make to ensure that rapid response services are provided, whenever possible, prior to layoff date, onsite at the company, and on company time?**

Credible rumors and WARN notices or any information generated from the above sources trigger an immediate contact with the affected company by the local rapid response representative who gathers information about the nature and size of the layoff.

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

- a) General company information, including type of sector is used to track industry patterns.
- b) Reason for downsizing - prompts a referral to CareerCenter business assistance services who already partner with local, regional, and state economic development entities, if trade adjustment assistance for firms is warranted a direct referral to NETAAC may be triggered along with other services that may avert additional layoffs.
- c) Affirmative responses to Trade Petition questions result in facilitation of a petition for trade certification.
- d) Information regarding severance packages (i.e.: number of weeks of vacation pay, average cost of health insurance and types of health packages to be offered by the company) provides guidance to prepare U.I. representatives for specific employee questions that may be fielded.
- e) Demographic information about the workers who will be attending the session is gathered to customize each session to the particular worker audience (i.e.: age and education levels, length of time with company, language or other barriers and whether any affected are on active duty).
- f) Worker task statements are gathered and used to scan for skill demand (or lack thereof) in the local labor market and to determine the anticipated retraining or skill development that may be necessary for reemployment purposes.
- g) Company is asked to facilitate a worker needs survey that is scanned for coordination of transitional resources and need for allocation of financial resources.

State rapid response staff determines the mix of appropriate responses. Businesses are informed of layoff aversion possibilities such as employee buyouts, skill retooling where appropriate for layoff aversion purposes, 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 directly to the Governor's office for similar reasons. Finally, the information is used to develop a

customized package of services from Rapid Response orientations and workshops to training to job development.

- c. What services are included in Rapid Response activities? Does the Rapid Response team provide workshops or other activities in addition to general informational services to affected workers? How do you determine what services will be provided for a particular layoff (including layoffs that may be trade-affected)?**

Maine has incorporated a “Jump Start” approach to rapid response allowing workers to pursue immediate readjustment/reemployment pathways. At the close of each initial RR session participants are encouraged to sign up for next steps.

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

Outplacement is conducted almost immediately via referral to the jobs that have been identified through the initial LMIS labor market scan and via customized job fairs – now also a part of the Rapid Response Jump Start for larger companies. Maine CareerCenters promote the customized job fairs as a service to the affected company. Often affected companies are inundated with calls from other companies wishing to hire their exiting workers. The affected company is usually too overwhelmed to coordinate such services. The CareerCenters have been instrumental in taking on this additional worry by coordinating job fairs that link the interested employers with the specific laid off workers. In several instances these have been offered right at the worksite of the affected company. These job fairs have proved very successful, with over 25% of employees gaining immediate reemployment and company allowing affected workers to attend the job fairs and workshops while on company time.

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

The “Jump Start” model uses the individual needs surveys to customize and schedule the above series prior to the initial session by requesting that the company encourage completion of the surveys in advance. Many companies have provided long term advance notice, in cases like these the Rapid Response team is able to work with company and affected workers on an ongoing basis to provide info sessions, workshops and/or TAA briefings at appropriate times and generally on company site and on company time.

If effectively put in place, the “Jump Start” model also allows for exceptional information gathering for NEG request purposes and/or linkage with economic development activities that may benefit large numbers of affected workers. MDOL has also developed a formal NEG application process.

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

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

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

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

### **3. How does the State ensure a seamless transition between Rapid Response services and One-Stop activities for affected workers?**

During program year 2004/2005 the Rapid Response team worked with individual CareerCenters to encourage development of a formal strategy for dealing with large layoffs. The primary goal was to assure CareerCenters would be prepared in advance to serve large numbers at once. These strategies also include the assistance of the full statewide Rapid Response team who would provide the initial workshop series and assessment services allowing CareerCenters to ramp up and ready staff to meet with affected workers to formulate reemployment plans. The goal is to provide enough up-front activity through the Jump Start process to enable a job counselor to guide development of an individual plan using data gathered from the initial assessments and workshops.

Broad-based cross training has been taking place at most CareerCenters enabling all staff involved in plan development/management to understand and facilitate service plans that utilize TAA, NEG and/or WIA funding streams. Some Centers are currently working under an integration

team model, whereby, teams of staff are able to facilitate a broad array of services for any individual participants.

**4. Describe how Rapid Response functions as a business service? Include whether Rapid Response partners with economic development agencies to connect employees from companies undergoing layoffs to similar companies that are growing and need skilled workers? How does Rapid Response promote the full range of services available to help companies in all stages of the economic cycle, not just those available during layoffs? How does the State promote Rapid Response as a positive, proactive, business-friendly service, not only a negative, reactive service?**

For the past four years MDOL has contracted with LWBs for the provision of Employer Assistance Services. These contracts have stipulated that CareerCenter business services representatives work hand in hand with their regional rapid response counterparts to assist companies, with the following goals in mind:

- a) Encourage a direct referral from Rapid Response to CareerCenter business assistance representatives who can explain and facilitate company utilization of the complete menu of workforce related or other business services available in Maine.
- b) Ensure that Rapid Response representatives are involved in and act as participatory members of the Business Assistance teams in their region, in order to:
  - Connect affected workers with expanding and/or locating businesses.
  - Connect exiting companies with regional business service/attraction agents such as DECD or Maine & Company in order to promote utilization or purchase of soon to be vacant buildings, infrastructure, or equipment; and which can be used by those entities as an additional lure to attract new or expanding businesses, with an emphasis on attracting similar industry sectors that would also consider hire of the affected workforce.
  - Provide an explanation of the existing skill sets of the affected labor force to: business groups considering expanding, labor exchange representatives providing customized recruitment services to businesses having difficulty finding skilled workers, and most importantly to business attraction agents working with potential new businesses whose primary interest is access to a quality labor force.

- c) Provide cross training through individual training sessions or via the Statewide Employer Assistance Team meeting venues to ensure employer assistance representatives and rapid response representatives so that each can understand and employ the services of the other on behalf of economic development and/or workforce development purposes.
- d) Ensure Rapid Response representatives are familiar with and can promote the Maine Apprenticeship Program (MAP) and the Governor's Training Initiative (GTI) and/or introduce Lean Concepts, ISO Certification, or customized business consulting available through the Trade Adjustment Assistance for Firms Program, in order to help the affected company remain competitive potentially avert layoffs.

In addition to the Employer Assistance contracts, the rapid response team meets on a regular basis to discuss their role in facilitating business assistance or layoff aversion strategies and replicating best practices. The statewide Rapid Response coordinator currently staffs the Industry Association Committee an ad hoc committee of the Maine Jobs Council, where strategies are discussed that will promote use of resources such as NEG, TAA, WIA, GTI, and MAP to promote expansion of Maine's high growth, high wage sectors and direct referral and training of dislocated workers.

**5. What other partnerships does Rapid Response engage in to expand the range and quality of services available to companies and affected workers and to develop an effective early layoff warning network?**

Rapid Response has an ongoing relationship with Maine's congressional staffers from the offices of Senators Snowe and Collins and Representatives Allen and Michaud, who have worked directly with the State Coordinator of Rapid Response to support and promote services for affected workers and advocate at the federal level for assistance for Maine workers, companies or industries in trouble. Confidential information sharing at this level has promoted early intervention and more rapid assistance for Maine companies and workers.

Rapid Response representatives participate as members of regional Community Action Teams (CATs). Several of these teams continue to meet on a quarterly basis to be ready in the event of a

downsizing and/or to improve how they provide community services. CATs in three Local Areas are consistently ready to respond and link workers with assistance from Heat and Housing to Employment Start Up. Teams have recently implemented the practice of hosting Resource Fairs for large layoffs and invite 20 or more regional and local resource providers to one location so that affected workers can access a variety of resources in a one-stop location.

Marketing through a variety of sources (Web, pamphlets, public venues, word of mouth, and more) has encouraged companies to contact us directly for downsizing and outplacement services. An employer assistance CD that has been marketed across the state explains the full array of services available to businesses that must downsize. Cultural changes within the Maine CareerCenter system supported by staff development efforts promoted by MDOL and LWIBs has significantly changed how staff perceives businesses that must lay off. CareerCenter staff have an ever broadening understanding of economic development and the needs and issues faced by businesses customers which has significantly expanded the use of CareerCenters for business services overall.

An upcoming staff development initiative is currently being developed that will broaden staff understanding of how to better utilize economic and business assistance partners as job development partners.

**6. What systems does the Rapid Response team use to track its activities? Does the State have a comprehensive, integrated Management Information System that includes Rapid Response, Trade Act programs, National Emergency Grants, and One-Stop activities?**

Maine does have a Management Information System known as OSOS (One Stop Operating System), however, not all layoff events are integrated into this system. Integration takes place for large groups that qualify for TAA, NEG or specific funding streams and are tracked via an alphabetical code that identifies their former employer. An excel spreadsheet is currently used to track each layoff that occurs during a calendar year. Information tracked includes:

- Local Area, Town, and County in which the event takes place



- Date MDOL received info of layoff
- Company Contact Info
- Product or Service and SIC/NAICS codes
- Union affiliation
- Number of Workers to be affected and effective date of layoff
- WARN submittal or lack thereof if required
- Type of layoff: Closure, Permanent, or Temporary w/out recall date.
- TAA - ATAA status
- NEG status
- Dates, Times and Locations of initial RR sessions. Also tracked separately:
- Worker contact info
- Worker task statements
- Transitional Service Plans (workshops, linkage to economic development, etc.).
- NEG application steps completed
- TAA petition status

**7. Are Rapid Response funds used for other activities not described above; e.g., the provision of additional assistance to local areas that experience increased workers or unemployed individuals due to dislocation events?**

MDOL does not anticipate allocating additional Rapid Response funds for activities other than service model described in D.3., above.

**E. Youth. ETA's strategic vision identifies youth most in need, such as out of school youth and those at risk, youth in foster care, youth aging out of foster care, youth offenders, children of incarcerated parents, homeless youth, and migrant and seasonal farmworker youth as those most in need of service. State programs and services should take a comprehensive approach to serving these youth, including basic skills remediation, helping youth stay in or return to school, employment, internships, help with attaining a high school diploma or GED, post-secondary vocational training, apprenticeships and enrollment in community and four-year colleges. (§112(b)(18).)**

**1. Describe your State's strategy for providing comprehensive, integrated services to eligible youth, including those most in need as described above. Include any State requirements and activities to assist youth who have special needs or barriers to employment, including those who are pregnant, parenting, or have disabilities. Include how the State will coordinate across State agencies responsible for workforce investment, foster care, education, human services, juvenile justice, and other relevant resources as part of the strategy. (§112(b)(18).)**

Maine offers comprehensive services to young people directly through the Maine CareerCenter system in collaboration with many partners. The array of services needed to implement the legislation to effectively serve youth at risk requires a comprehensive youth development system in order to be able to assist youth who have special needs or barriers to employment. It is a collaborative approach, with differing partners in differing locations statewide, offering a broad range of coordinated and individualized services. Each LWIB has an active Youth Council to work within their communities to create a coherent, comprehensive youth policy and foster best practices in serving local youth.

Memoranda of Agreements (MOAs) are in place and continue to be developed, that enhances and increases coordination of CareerCenters across State and other agencies responsible for local foster care, education, human services, juvenile justice, and other relevant resources.

**2. Describe how coordination with Job Corps and other youth programs will occur. (§112(b)(18)(C).)**

Maine's Job Corps Centers and MDOL are currently engaged in preparing a grant to further increase and enhance collaboration between the Penobscot and Loring Job Corps Centers and local CareerCenters. The proposal is for a demonstration project to improve efficiency, engage employers, and create a model youth employability network.

Every Youth Services RFP by Youth Councils of Local Boards to date has required the collaboration of at least three youth service providers. This requirement has resulted in partnerships with various

entities such as providers of services to youth with disabilities; Volunteers of America; Job Corps; alternative education provider; Jobs for Maine's Graduates; Maine Conservation Corps; Upward Bound and various other local youth serving agencies.

Memoranda of Agreements are currently being written with agencies serving specific populations of youth. For example, MDOL is an active partner in the Serious and Violent Offender ReEntry grant and a complementary agreement to promote this collaboration at the local level is in effect. An MOA between Maine's Departments of Health and Human Services and Labor was recently instituted, to promote services to youth in foster care. MDOL has worked for several years with the Maine Youth Opportunities Initiative, also a signatory of the DHHS MOA. Legislation was amended last year to include MDOL on Maine's Children's Cabinet, which oversees and coordinates delivery of services to children, families and communities. The Commissioners of Labor, Health and Human Services, Corrections, Education and Public Safety are charged with leading the effort to collaborate, promote a seamless service delivery system for children and families, and maximize limited resources.

**3. How does the State plan to utilize the funds reserved for Statewide activities to support the State's vision for serving youth? Examples of activities that would be appropriate investments of these funds include:**

- a. Utilizing the funds to promote cross agency collaboration;**
- b. Demonstration of cross-cutting models of service delivery;**
- c. Development of new models of alternative education leading to employment; or**

State level WIA Setaside funds (10%) are targeted to a variety of statewide capacity building efforts. The Governor uses his authority to ensure that these funds are spent to enhance and support the statewide operation of the workforce system.

Over the past year, the following initiatives have been funded through the WIA 10% set aside funding:

**Statewide Data Collection System:** The staff of Office of Information Processing's (OIP) Systems Design and Development Group provides computer application support for mission critical CareerCenter systems. This support includes all programming relating to maintaining existing functionality as well as the development of new system modules. OIP staff is responsible for all aspects of the One-Stop Operating System (OSOS) computer application, including the screens in use by Bureau staff and the public, development of web interfaces to MDOL information, all Federal and State reporting, ad-hoc reporting, data verification, research, and application security. In addition to programming activities, this work involves frequent interaction with staff in the context of design discussions and help desk assistance and trouble-shooting.

**Maine Jobs Council:** The Maine Jobs Council provides statewide policy support and vision. This coordinating body is critical to the public workforce system, as this body advises the Governor and Workforce Cabinet on workforce policy issues.

**Improving Women's Wages:** Encouraging non-traditional employment opportunities for women are a proven strategy to bring woman out of poverty. A staff person has been hired to promote system support and changes to encourage successful strategies to improve women's wages.

**Grant writing:** This function allowed for capacity building by researching and applying for discretionary monies. This function has migrated to a local board function in order to respond more effectively to local needs.

**Evaluation:** We are in the second of a three-year contract to design, implement and analyze customer satisfaction surveys to CareerCenter customers. This information is used to inform programming decisions on the local level.

The following initiatives are envisioned for the future:

**Incentive Policy:** Currently an incentive/sanction policy does not exist. We propose the development of an incentive/sanction policy and that a certain percent of set aside funds be for this purpose.

**Staff Development:** Providing a coordinated and robust staff development system for the CareerCenter network will ensure systemic approaches to quality service delivery. Convening CareerCenter staffs (especially front line staff) on a statewide and regional basis will support system goals. This activity has not occurred since the WIA re-authorization and is a request from the field.

**a. Describe how your State will, in general, meet the Act's provisions regarding youth program design. (§§112(b)(18) and 129(c).)**

MDOL is responding to the ETA's New Strategic Vision for the Delivery of WIA Youth Services with the assistance and support of the Regional office. MDOL is working at the State level to promote true cross-agency collaboration while it supports local Youth Councils as they look at gaps in services and means of collaboration with partners. The goal is to continue to build systems that meet the mutual needs of youth and local employers.

Each Youth Council is currently evaluating its youth program design requirements. Preliminary results indicate an increased local emphasis on demand-driven opportunities for youth and employers, such as stronger connection with local "feeder" industries to provide enhanced opportunities for transitions to careers, through a combination of work experience, occupational certification, on the job training and apprenticeships.

Maine sees the overall issues as ones of transition: successfully transitioning offenders, youth in foster care and other youth at risk into safe and productive adulthood.

**F. Business Services. (§§112 (a) and 112(b)(2).) Provide a description of the state's strategies to improve the services to employers, including a description of how the State intends to:**

**1. Determine the employer needs in the local areas and on a Statewide basis.**

In addition to the leadership provided by the Employer Services Division, the MDOL has successfully launched an expanded Career and Workforce Development Consultation Certification Course

that provides CareerCenter and partner staff with 120 hours of Career Development Facilitator Instruction and 40 hours of Workforce Development Consultation instruction. The Workforce Development Consultation Course is designed to certify CareerCenter staff in professional consulting work that includes planning, implementing and evaluating CareerCenter workforce development services provided to employers, businesses, and youth and adult job seekers. Responsibilities encompass the provision of workforce development services listed below in a way that satisfies customer expectations and promotes the development of a seamless integrated system between and among the various CareerCenter partner organizations.

The MJC, MDOL, LWIBs and our partners value businesses as key partners in workforce development. We serve business by facilitating the supply of potential employees with relevant skills and partnering to support training opportunities for new and existing employees. MDOL offers important services to business through readily available information and key programs designed to meet the businesses needs. For example:

**Information** is provided in several forms:

- Labor Market Information – available at all levels from national to statewide to local;
- Job Matching and Placement;
- Training Options – a variety of programs for pre-employment, new employees and existing employees;
- Economic Development Connections – partnerships that leverage services for new, growing and older established businesses; and
- Human Resource Recruitment – job descriptions and analysis, wage data, screening and interviewing techniques.

**Services** consist of, but are not limited to:

- Meeting and Interviewing facilities;
- Full CareerCenter Information Center Access – Internet, computers, phones, fax;
- Human Resources – testing, screening, resume' storage, advice on Employee Orientations;

- Customized Training – for new and incumbent employees; and
- Business Consultation – business planning and development, safety training/regulations, application of ADA and EEO standards.

MDOL also operates the **Business Visitation Program**. Created in 1993, the **Business Visitation Program (BVP)** has been the primary vehicle for promotion of integrated approaches to community, economic, and workforce development in Maine. BVP assists employers, communities, industries, and workforce development systems to identify key issues and facilitate comprehensive strategic responses by convening appropriate resource providers and business partners.

BVP is a multiphase program, usually initiated by the community, industry, or business sector, wishing to evaluate issues and trends that may need to be addressed. Implementation of BVP consists of four phases:

1. Gathering key information via surveys conducted by mail or in person.
2. Immediate follow-up to issues identified or concerns expressed by survey responses.
3. Analyzing response data and compiling a report to be used as an action-planning guide.
4. Convening the sponsor group (community or business/industry association) and other pertinent parties to facilitate development of a strategic action plan that will address priority issues.

Originally, BVP offered a comprehensive community business audit, which was limited in its ability to examine an issue or selected industry in depth. Building on the capacity of BVP to provide participating communities or sectors with broad information about their economic and business climates, a customizable survey software program has been developed with the capacity to identify specific issues and provide business and education stakeholders with in-depth information. There are several advantages to the new BVP approach; it is a single universally accessible tool (*the survey software program is housed in all 23 Maine CareerCenters*) able to provide detailed or broad focus, which is customizable and capable of generating timely and accurate information. The new software offers BVP the capacity to examine all data for integrated statewide, regional or

local planning purposes. Specific query pools can be created increasing the scope of results to the survey sponsor. Survey results can be made available to selected users or remain strictly confidential. The new software can query by:

- Town (including town size),
- County (including multiple counties/regions),
- Employer Size,
- Type of Business Ownership, or
- Standard Industry Code (*SIC query can be broken down to focus on any grouping of four factors within the code: Example - Manufacturing > Metal Manufacturing > Sheet Metal Manufacturing > Sheet Metal Heating Duct Producers*).

Numerous Maine communities have taken advantage of the comprehensive BVP, resulting in over 8,500 immediate business assistance referrals. Additional outcomes have included: timely and accurate information for businesses intending to locate and/or expand in Maine; identification of factors encouraging to new business; identification of workforce development issues and non-workforce needs; early warnings of plant downsizing, increase in community awareness and involvement in workforce and economic development; increased competitiveness of regional businesses; and increased capacity of resource providers to accurately address business and community needs.

Community BVP projects have been the impetus for several established community workforce development task force teams around the state. As a result of BVP these teams, made up of partners from education and training, economic development, community resource providers, and businesses, were established prior to the state's new workforce investment boards, laying the foundation for a community partnership model and educating localities on the value of pursuing workforce development as stratagem for sustainable local economies.

The most recent project was conducted statewide for the Maine Metal Products Association (MMPA). Over 430 companies were contacted, with over 65% percent responding. A summary of findings has been compiled and particular steps have already been promoted, including a



partnership approach between trade associations (*MTAG - Maine Trade Association Group*) to share workforce development strategies and expedite direct referral of interested dislocated workers to metals industry training and job opportunities. This model resulted in significant benefit to both CareerCenter participants and Metals Industry employers. Multiple trade associations have expressed an interest in replicating the model. It is hoped these associations will also take advantage of packaged CareerCenter services that in turn, promote effective linkage between Maine's workers, workforce development initiatives, and businesses wishing to participate as partners in worker development.

## **2. Integrate business services, including Wagner-Peyser Act services, to employers through the One-Stop system.**

A detailed discussion of the efforts by MDOL to expand Business Services within the CareerCenter and in collaboration with the Division of Economic and Community Development is included in the section above and in Section VI. D.

Additionally, the Bureau of Employment Services (BES), and Employer Assistance Division (EAD) has been working for past several years to expand the role of Maine's 23 CareerCenters with regard to providing our business customers with the services they need to recruit, hire, train, retain and grow their workforce.

Under the leadership of the EAD, the CareerCenters have become the focal point in many Maine communities that employers can turn to for assistance with a variety of needs such as information, recruitment, training, workforce needs consultation, tax credit assistance, industry assessment surveys and comprehensive outplacement services. The EAD has organized the CareerCenters locally, regionally and statewide, to address the services that are provided to the business community.

Among the most significant accomplishments of the EAD is the level of support and capacity building the unit has provided to the CareerCenters' local staff. Through training and ongoing technical assistance, the State Employer Assistance Team (SEAT) and Regional Employer Assistance

Teams (REAPs) have successfully integrated the provision of employer services into the overall service delivery strategy of the CareerCenters. One key example of how the EAD has been able to accomplish this is through contracts that are developed annually with each of the four Local Workforce Investment Boards. A sample of a typical EAD contract is included in Appendix VII. In keeping with our overall efforts to operate in a seamless, integrated environment many REAPs are Wagner-Peyser funded staff.

**3. Streamline administration of Federal tax credit programs within the One-Stop system to maximize employer participation? (20 CFR part 652.3(b), §112(b)(17)(A)(i).)**

The Regional Employer Assistance Teams (REAPs) provide businesses with technical assistance and information about the availability of the Federal Tax Credit programs. The BVP discussed above is another avenue from which businesses learn about the Federal Tax Credit programs. The Work Opportunity Tax Credit (WOTC) Coordinator is located centrally at BES, where all requests for Federal Tax Credit services are processed.

**G. Innovative Service Delivery Strategies (§112(b)(17)(A).)**

**1. Describe innovative service delivery strategies the State has or is planning to undertake to maximize resources, increase service levels, improve service quality, achieve better integration or meet other key State goals. Include in the description the initiative's general design, anticipated outcomes, partners involved and funds leveraged (e.g., Title I formula, Statewide reserve, employer contributions, education funds, non-WIA State funds).**

The WIA goals identified within this plan serve as the basis for significant enhancements and/or improvements impacting the delivery of effective services to both the workforce and the business community. The goals are the foundation for which many innovative approaches will be launched within the next two years. The activities outlined within this plan are expected to support the Governor's Economic Strategy and the national priorities to build a demand-driven system,

eliminate duplicative and unnecessary administrative costs and to enhance the integration of services through the CareerCenter system.

Section II and IV discuss the specific goals and strategies that are envisioned for Maine's workforce and economic system over the next few years. A summary of the strategic focus of the goals and expected outcomes are as follows:

- a. Reposition **low-income and under-employed** workers to more effectively participate in the workforce and benefit from the economy.

**We expect that:**

- o The workforce system will offer assistance to low wage earners in entry-level employment to identify "career lattices" and strategies for better jobs.
  - o The CareerCenters will use on-the-job training as a strategy that leads to apprenticeship
  - o Similar to the "rapid response" model, we adopt a "whole person" approach that provides a network of services that support the whole person, update/enhance local resource directories/engage community partners. The CareerCenters and partners will establish a "priority of service" to invest in workers who are trapped in entry-level, low paying jobs. The Bureau of Employment Services will have implemented the Maine Lifelong Learning Account (LiLA) Partnership project to help workers achieve their career goals through employer-matched individual investment accounts
  - o The State of Maine will implement the NGA Pathways to Advancement Academy – a joint effort among the Maine Departments of Labor, Education, Economic and Community Development, Finance Authority of Maine and several other statewide organizations to promote greater post-secondary education access, completion and advancement for working adults.
- b. Promote employment and training opportunities that provide **livable wages** leading to worker **economic security**.

**We expect that:**

- All workforce and economic development entities will establish a common a set of metrics for defining a “livable” wage
  - Workforce programs will establish effective income growth strategies that enable low income/under employed workers to reach the goal of economic stability.
  - Workforce programs will create job placement policies that support workers and their families to achieve economic security.
- c. Build a stronger ***demand-side involvement*** through business and industry participation as partners, collaborators, advisors and investors in workforce hiring and training.

**We expect that:**

- The CareerCenters and other workforce programs will specifically target training and job placement with employers in growing sectors.
  - The business community will become engaged as advisors, educators and training providers to help develop workforce policy.
  - The LWIBs, in partnership with the education, economic development and the CareerCenters, will develop a worker “certification” process that is endorsed by the business community.
- d. Provide system support for workforce development through ***professional practices and capacity building*** within the CareerCenters.

**We expect that:**

- MDOL will develop a centralized staff development and training coordination system to support CareerCenter and partner staff professional development.
- All of the partners of the workforce development system will participate in identifying dedicated funding mechanisms for supporting ongoing staff development and training

- It will become a requirement that all CareerCenter staff possess minimum core competencies
- e. Provide a focus on *program alignment* between CareerCenter and community partners to *reduce duplication and inefficiencies* through greater levels of *service integration*.

**We expect that:**

- The Maine Jobs Council and the Local Workforce Investment Boards will develop a Memorandum of Understanding that articulates the roles and responsibilities for governance and policy setting.
  - The Maine Department of Labor and the Local Workforce Investment Boards will develop a Memorandum of Understanding that articulates the roles and responsibilities for CareerCenter oversight, resource allocation and program evaluation.
  - The internal Department of Labor partners will develop a Memorandum of Understanding to articulate roles and responsibilities, leveraged resources, and service integration plans.
- f. Insure that CareerCenters and community partners deliver relevant services that are **results driven** and include a high level of **accountability**.

**We expect that:**

- The CareerCenters will develop level service integration strategies that include shared staffing configurations, joint training plans and shared resources.
- The CareerCenters will take steps to improve service by collecting and evaluating feedback from job seekers and businesses and adjusting service strategies as necessary.
- MDOL will maintain and expand the One Stop Operating System to accommodate the needs of all CareerCenter partners.
- MDOL will develop and implement statewide policies that promote alignment with program and services eligibility.
- MDOL and LWIBs will adopt common performance measures.

- MDOL in partnership with the LWIBs and the CareerCenters develop an integrated Business Services strategy that provides a coordinated response to delivering services that are streamlined and easy to navigate.

A detailed strategic plan that outlines the resources, responsible parties and specific outcomes is undergoing development and will be submitted as an update to the WIA Strategic Plan Modification when it is completed in August 2005.

**2. If your State is participating in the ETA Personal Re-employment Account (PRA) demonstration, describe your vision for integrating PRAs as a service delivery alternative as part of the State's overall strategy for workforce investment.**

Maine does not have any short-term plans to implement the ETA Personal Re-Employment Account demonstration.

**H. Strategies for Faith-based and Community Organizations (§112(b)(17)(i).) Enhancing outreach opportunities to those most in need is a fundamental element of the demand-driven systems goal to increase the pipeline of needed workers while meeting the training and employment needs of those most at risk. Faith-based and community organizations provide unique opportunities for the workforce investment system to access this pool of workers and meet the needs of business and industry. Describe those activities to be undertaken to:**

**(1) increase the opportunities for participation of faith-based and community organizations as committed and active partners in the One-Stop delivery system; and**

**(2) expand the access of faith-based and community-based organizations' clients and customers to the services offered by the One-Stops in the State. Outline those action steps designed to strengthen State collaboration efforts with local workforce investment areas in conducting outreach campaigns to educate faith-based and community organizations about the attributes and objectives of the**

**demand-driven workforce investment system. Indicate how these resources can be strategically and effectively leveraged in the State's workforce investment areas to help meet the objectives of the Workforce Investment Act.**

Maine's Plan focuses on three major activities to bring about greater collaboration with faith-based (FBO) and grassroots community-based organization (CBO) – outreach, education and policy development. The key stakeholders in this effort to create meaningful partnerships with these groups include the Maine Department of Labor/Bureau of Employment Services (MDOL/BES), the Maine Jobs Council (MJC), which operates as the state workforce board and the four local workforce investment areas in the state.

The Plan, becomes effective July 1, 2005 through June 30, 2006, begins the process of outreach and education at the state, regional and local level and is followed by broader policy development to implement strategies for engaging the CareerCenters with linkages to the faith-based and community-based organizations at the local level.

## **I. Outreach and Education**

MDOL will re-initiate discussions with the MJC and the LWIBs about the importance of establishing better linkages with FBOs and CBOs to identify the unique opportunities that exist. Similar discussions and presentations will begin with the local CareerCenter management teams. The outcome of these discussions will begin to establish formal linkages between unmet service needs and the potential for these expanded partnerships to bridge the gaps. The elements of this outreach effort will include:

1. The MDOL will make presentations to the MJC, LWIBs and CareerCenter partners explaining the FBO/CBO Initiative and the opportunity to create important partnerships.
2. Local CareerCenter will be requested to develop a schedule for inviting FBOs/CBOs to tour their offices and to cross inform each other of the services/programs provided, who is served, and to explore strategies to link services that bridge existing gaps.
3. The MDOL will convene and facilitate at least four regional forums inviting FBOs/CBOs and CareerCenters to learn more about how they can work together.

4. Encourage LWIBs to appoint members who are connected to local grassroots faith-based organizations to work alongside representatives who are familiar with a broad range of other community groups and service providers.
5. MDOL will work with the LWIBs to create a marketing campaign that will educate appropriate local faith-based and community-based organizations about the workforce investment system, including available grants and opportunities for participation and partnership with CareerCenters.
6. The MDOL will work jointly with the LWIBs to develop outreach materials designed to educate FBOs and CBOs about the workforce investment system and the service provided through the CareerCenters.
7. MDOL will work with the MJC and LWIBs to ensure that information about applying for grants or becoming service providers exists on our website and is easy to find and understand for those non-profit organizations that are seeking to partner with the workforce system.

A complete copy of the Faith-Based and Community Initiative Plan is included in Appendix VIII

## **X. State Administration**

### **A. What technology infrastructure and/or management information systems does the State have in place to support the State and local workforce investment activities such as a One-Stop operating system designed to facilitate case management and service delivery across programs, a State job matching system, web-based self service tools for customers, fiscal management systems, etc.? (§§111(d)(2), 112(b)(1), and 112(b)(8)(B).)**

A complete discussion of the State's technology and management information systems infrastructure is included in Section VI., A. Additional information regarding the plan to enhance the State's data collection and reporting infrastructure is included in Appendix IX

### **B. Describe the State's plan for use of the funds reserved for Statewide activities under WIA §128 (a)(1).**

See Section VII.D.



**C. Describe how any waivers or workflex authority (both existing and planned) will assist the State in developing its workforce investment system. (§§189(i)(1), 189 (i)(4)(A), and 192 .)**

MDOL currently has a waiver in place to delay the application of “Subsequent Eligibility of Training Providers” requirement for all students, which expires on June 30, 2005. MDOL is requesting an extended waiver to postpone the application of “Subsequent Eligibility of Training Providers” requirements for “all students” until June 30, 2007. Granting this waiver will enable MDOL to establish an effective statewide system for consistently and uniformly collecting performance information among all training providers. Despite that, an aggressive effort has been underway since 2001, to design a system that promotes the intent and spirit of WIA, to provide informed customer choice and provider accountability, training providers are struggling to adopt uniform systems for collecting and reporting performance information for “all students”. In consultation with the state’s relatively small training provider community we are committed to fulfilling the requirements of the Act and will continue in accordance with Maine’s plan to implement a Subsequent Eligibility application, review and approval process.

**D. Performance Management and Accountability. Improved performance and accountability for customer-focused results are central features of WIA. To improve, states need not only systems in place to collect data and track performance, but also systems to analyze the information and modify strategies to improve performance. (See Training and Employment Guidance Letter (TEGL) 15-03, Common Measures Policy, December 10, 2003.) In this section, describe how the State measures the success of its strategies in achieving its goals, and how the State uses this data to continuously improve the system.**

**1. Describe the State’s performance accountability system, including any state-system measures and the state’s performance goals established with local areas.**

All CareerCenter programs are routinely evaluated and monitored to ensure that program outcomes and service delivery options are aligned with the State’s and Federal goals. The quarterly review process includes program evaluation and monitoring of WIA Title I, Wagner-Peyser and Trade Assistance Act (TAA) for compliance and quality. Maine statutes governing the Maine

Apprenticeship and Governor's Training Initiative (GTI) Programs also have quarterly reporting and review requirements.

In addition to program level management reporting MDOL conducts desktop and onsite monitoring within a local area at least once per quarter. Program monitoring has two main purposes: 1) to ensure that the CareerCenter system is in compliance with the intent and substance of the rules governing funding streams, and; 2) to provide an understanding of the systems operating to achieve the overall workforce investment goals.

The first purpose satisfies the mandate of MDOL oversight agency to ensure that statutes, regulation, and policies are being followed. While comparatively narrower in scope than the second purpose, monitoring for compliance supports the MJC goal of accountability and meets legislated oversight requirements.

The second purpose allows the performance evaluation effort to take a strategic perspective. Formalized monitoring becomes a way to develop an understanding of the systems the CareerCenters draw upon to deliver information and services to customers. Presumably, the systems in place are a result of efforts to achieve State and local board goals. The systems are composed of the working relationships with public and private entities and may take forms such as partnerships, agreements, collaborations, coalitions, and protocols. Working relationships may be internal or external to the CareerCenter facility. They may have been established by a local board for the entire area or established independently by a CareerCenter.

The monitoring tools are designed to explore the working relationships that make a difference to the customer in terms of the breadth and depth of services. As monitoring experience is gained, the relationships among partners can be compared to the outcomes that customers typically receive. The object of this type of monitoring is to find out how the partners are working together for seamless integration of services, not to make a determination of whether the level of integration is above or below an arbitrary level.

Monitoring for quality may reveal strengths that can be used to illustrate "best practices." Best practices models derived from empirical evidence, rather than from national literature, can be shared among local boards and service providers and can thus have more relevance.

This type of monitoring results in an analysis of system development that can be useful to management at all levels.

When exemplary system practices are discovered, the intention is to celebrate and promote them beyond simply including them in the monitoring process. In this way, monitoring will yield a value to advisory boards and program operators not otherwise gained, or obtained through traditional compliance monitoring.

With respect to regular program performance evaluations, WIA §184(a)(5) and 20 CFR Sec. 667.410 describes the oversight roles and responsibilities of recipients and subrecipients. It also requires the Governor to take prompt corrective action if any substantial violation is found and impose sanctions in the event of a subrecipient's failure to take required corrective action. MDOL has implemented a sanctions policy.

Local boards report WIA program performance to MDOL on a quarterly basis. There are two types of reports, one being financial reports. The requirements for the financial reports are specified by the Bureau of Employment Services Administrative Manual and are submitted to the MDOL. The other is the participant or customer report, which follows a format provided by MDOL. This report compares the planned service levels (enrollments, exits, entered employment, etc.) to actual service levels and compares actual performance to the standards. All planned data is taken from the contract and entered into the form. Actual data is available through the One-Stop Operating System (OSOS).

Reports are submitted for each program contracted with the local board. These include the Adult, Youth, and Dislocated Worker Programs, any National Emergency Grants for Dislocated Workers, and any other contracted programs that have participant activity.

The submission must include a cover letter that includes a narrative for performance, which is more than 15% higher or lower from the standard or planned level. The purpose of the narrative is to: 1) demonstrate an understanding of the issue, 2) analyze the impact that continued similar performance could potentially have on the program, if not corrected, and; 3) describe plans to correct the situation.

In situations of underperformance, MDOL will work with the local area and the program operator to discover the reason for underperformance and help correct it. MDOL will ensure that data is available for local staff to identify the problem, analyze it, and devise a plan to correct the deficiency.

In some cases, underperformance identified in one quarter continues in subsequent quarters without an adequate way for staff to analyze data relevant to the problem. The expectation of the narrative is not to simply repeat previous explanations, but to advance the understanding of the issue for the purpose of discovering the root of the problem and taking remedial action.

**Identify the performance indicators and goals the State has established to track its progress toward meeting its strategic goals and implementing its vision for the workforce investment system.**

This section is incomplete at the time the Plan was distributed for public comment. MDOL has not yet negotiated expected levels of performance with USDOL. Negotiated WIA performance levels will be included in the Plan no later than June 1, 2005.

Although negotiations have not been completed a proposal of planned levels for each of the WIA Title I measures is included within this plan in the section below. The additional state goals, objectives and strategies are discussed in detail in Section IV of this Plan.

**For each of the core indicators, explain how the State worked with local boards to determine the level of the performance goals. Include a discussion of how the levels compare with the State's**

**previous outcomes as well as with the State-adjusted levels of performance established for other States (if available), taking into account differences in economic conditions, the characteristics of participants when they entered the program and the services to be provided. Include a description of how the levels will help the State achieve continuous improvement over the two years of the Plan. (§§112(b)(3) and 136(b)(3).)**

MDOL relied on a detailed analysis of performance data from Program Years 2000 through 2004. These data provided the basis for understanding the planned versus actual indicators for each measure by local area. This information also revealed specifically where local area performance was weak and where it was strong.

Throughout the four full years of performance management process MDOL worked closely with the LWBs to provide technical assistance and support for improving performance outcomes. The MDOL conducted several training and technical assistance sessions with a local area that was under performing which included evaluating reporting requirement and service strategies. In many instances local program performance has improved following technical support and training. Section 136(b)(3)(A)(vi) of the Workforce Investment Act (WIA) specifies that a Governor may request revisions to state negotiated levels of performance in the event “unanticipated circumstances arise in a state resulting in a significant change in the factors” that include factors described in section 136(b)(3)(A)(iv)(II) of the Act. Additionally, 20 CFR 666.130(a) states the change in factors is to be determined from when the initial plan was submitted and approved. These factors are widely accepted variables known to impact resulting outcomes on one or more of the 17 WIA performance measures. These factors include differences in economic conditions, the characteristics of participants, and the services provided. The State’s policy guidance for negotiating and/or revising WIA performance levels is included in Appendix X.

**2. Describe any targeted applicant groups under WIA Title I, the Wagner-Peyser Act or Title 38 Chapters 41 and 42 (Veterans Employment and Training Programs) that the State tracks. (§§111(d)(2), 112(b)(3) and 136(b)(2)(C).)**

Maine tracks all the applicant groups required in the above legislation, but does not collect any additional data. A detailed discussion of the various target groups and “priority of service” strategy is included in Section VIII., L.7.

**3. Identify any performance outcomes or measures in addition to those prescribed by WIA and what process is the State using to track and report them?**

Maine’s One Stop Operating System (OSOS) is configured to capture only the performance outcomes prescribed by WIA. Maine does not track any other performance measures.

**4. Describe the State’s common data system and reporting processes in place to track progress. Describe what data will be collected from the various One-Stop partners (beyond that required by DOL), use of quarterly wage records (including how your State accesses wage records), and how the Statewide system will have access to the information needed to continuously improve. (§112(b)(8)(B).)**

To facilitate the flow of information among the Labor Exchange, Rehabilitation Services, and WIA partners, the MDOL has developed a One-Stop Operating System (OSOS), which is a statewide, computerized database that tracks the individuals served under WIA Title I and Wagner-Peyser. Data from TAA/TRA and WOTC programs are also included in OSOS. In addition, there is shared data from programs unique to Maine: the Business Visitation Program, the Apprenticeship Program, and the Governor’s Training Initiative.

The Federal WIA Title I-B Standardized Record Data (WIASRD) elements and the required reports have been incorporated into OSOS. Data collection is continuous on a “live” on-line system.

Employers doing business in Maine are required to report UI wages quarterly to the MDOL, Bureau of Unemployment Compensation. The wage data is available to verify UI status and produce the required performance reports. These reports can be produced as needed to monitor performance. This will enable MDOL and local areas to operationalize the concept of continuous improvement. MDOL queries the Wage Record Interchange System (WRIS) periodically to obtain

wage records from other states to enhance performance. MDOL is also exploring the possibility of joining the Federal Employment Data Exchange System (FEDES) to capture federal wage data.

OSOS is fully operational as the primary WIA customer information system of the Department. Currently, WIA and Labor Exchange partners are using the full OSOS; BRS uses the scheduling portion of OSOS.

The next major challenges on the horizon are the implementation of Common Measures and ETA Management Information Longitudinal Evaluation System (EMILE). Although Common measures are somewhat similar to the current WIA standards, they will still require some significant reconfiguration of our system. EMILE will require a great deal of effort to implement. A summary of the changes necessary to create the participant and employer records for EMILE. Is included in Appendix XI.

System partners will be encouraged to access OSOS for the purpose of facilitating common access and common intake. We will also encourage partner use of OSOS for common tracking and reporting.

**5. Describe any actions the Governor and State Board will take to ensure collaboration with key partners and continuous improvement of the Statewide workforce investment system. (§§111(d)(2) and 112(b)(1).)**

Over the past several years MDOL has been actively engaged in promoting program improvement strategies through effective performance management practices. MDOL has conducted numerous training sessions at the front-line and management/leadership level to promote a broader understanding of the impact that service design; retention and follow-up can have on improving performance outcomes. This work will continue over the course of this planning cycle. The

The six state workforce system goals that are included within this Plan are expected to promote services that are much more focused and relevant to helping workers increase access to skills training and careers leading to economic stability and for business to be able to hire the workers they need to grow and succeed. The specific strategies that have been identified are orientated toward collaboration, partnerships and continuous improvement strategies. The impact will be on programming and service delivery.

The Governor collaborates with key partners to ensure continuous improvement of the system by his relationship to the LWIBs and County Commissioners described in Section III.C.1. Organization and structure of MJC.

**6. How do the State and local boards evaluate performance? What corrective actions (including sanctions and technical assistance) will the State take if performance falls short of expectations? How will the State and Local Boards use the review process to reinforce the strategic direction of the system? (§§111(d)(2), 112(b)(1), and 112(b)(3).)**

See D.1., above. MDOL and LWIBs will use the 17 WIA Title I performance standards to evaluate WIA Title I performance. LWIBs will provide MDOL with a quarterly performance report. This report will include actual performance to date on the 17 WIA Title I performance standards in addition to other performance information outlined in the local plans and contained in the MOUs. This additional performance information will consist of plan versus actual expenditure and service levels in addition to other participant outcome data. For all data items that show deviations of 15% from the plan, the LWIBs will be asked to provide an explanation of why such deviations are occurring and any corrective action steps they will be taking. The MJC and the MDOL will review these reports to stay informed of local developments and progress towards planned performance goals. Technical assistance will be provided to LWIBs upon request or based on continuing major deviations from planned levels.

The performance focus that WIA has on earnings gain and retention are critical to the workforce systems efforts to promote economic stability and livable wage outcomes for low-wage, low skilled workers. The intent of WIA to assist workers to acquire the necessary skills to command better



paying jobs with career mobility and income growth potential are in alignment with the goals set forth in this Plan.

- 7. What steps, if any, has the State taken to prepare for implementation of new reporting requirements against the common performance measures as described in Training and Employment Guidance Letter (TEGL), 15-03, December 10, 2003, Common Measures Policy. NOTE: ETA will issue additional guidance on reporting requirements for common measures.**

The Department's IT and administrative staff have begun the process of examining the changes that will be required of the OSOS to incorporate the elements of EMILE. Staff has been conducting analysis of the currently reported data elements and the potential new data elements

- 8. Include a proposed level for each performance measure for each of the two program years covered by the Plan. While the plan is under review, the state will negotiate with the respective ETA Regional Administrator to set the appropriate levels for the next two years. At a minimum, states must identify the performance indicators required under section 136, and, for each indicator, the State must develop an objective and quantifiable performance goal for two program years. States are encouraged to address how the performance goals for local workforce investment areas and training provides will help them attain their statewide performance goals. (§§112(b)(3) and 136.)**

## Proposed Performance Indicators

APPLICABLE PROGRAM GROUP	WIA Requirement at Section 136(b)	PY '03 STATE LEVEL	PY '04 STATE LEVEL	PROPOSED PERFORMANCE GOALS	
				PY '05	PY '06
<b>ADULT</b>	<b>1. Adult Entered Employment Rate</b> (Of those adult exiters not employed at registration, the number who have entered employment by the end of the 1 <sup>st</sup> quarter after exit) <i>Section 136(b)(2)(A)(i)(I)</i>	82%	83%	87%	88%
<b>ADULT</b>	<b>2. Adult Employment Retention Rate</b> (Of those adult exiters who are employed at registration or in the 1 <sup>st</sup> quarter after exit, the number who are employed in the 2 <sup>nd</sup> and 3 <sup>rd</sup> quarter after exit) <i>Section 136(b)(2)(A)(i)(II)</i>	85%	85%	84%	86%
<b>ADULT</b>	<b>3. Adult Earnings Gain Rate</b> (For those who are employed at registration or in the 1 <sup>st</sup> quarter after exit, the total post-program earnings received in the 2 <sup>nd</sup> and 3 <sup>rd</sup> quarters after exit less the total preprogram earnings received in the 2 <sup>nd</sup> and 3 <sup>rd</sup> quarters before registration) <i>Section 136(b)(2)(A)(i)(III)</i>	\$2,879	\$3,000	\$2,400	\$3,100
<b>ADULT</b>	<b>4. Adult Employment and Credential Rate</b> (Of adult exiters who were enrolled in training, the number who are employed in the 1 <sup>st</sup> quarter after exit and received a credential by the end of the 3 <sup>rd</sup> quarter after exit) <i>Section 136(b)(2)(A)(i)(IV)</i>	58%	62%	63%	66%

APPLICABLE PROGRAM GROUP	WIA Requirement at Section 136(b)	PY '03 STATE LEVEL	PY '04 STATE LEVEL	PROPOSED PERFORMANCE GOALS	
				PY '05	PY '06
DISLOCATED WORKERS	<b>5. Dislocated Worker Entered Employment Rate</b> (Of those dislocated worker exiters, the number who have entered employment by the end of the 1 <sup>st</sup> quarter after exit) <i>Section 136(b)(2)(A)(i)(I)</i>	86%	87%	89%	90%
DISLOCATED WORKERS	<b>6. Dislocated Worker Retention Rate</b> (Of those dislocated worker exiters who are employed in the 1 <sup>st</sup> quarter after exit, the number who are employed in the 2 <sup>nd</sup> and 3 <sup>rd</sup> quarter after exit) <i>Section 136(b)(2)(A)(i)(II)</i>	90%	90%	91%	93%
DISLOCATED WORKERS	<b>7. Dislocated Worker Earnings Change</b> (For those dislocated worker exiters who are employed in the 1 <sup>st</sup> quarter after exit, the total post-program earnings received in the 2 <sup>nd</sup> and 3 <sup>rd</sup> quarters after exit less the total preprogram earnings received in the 2 <sup>nd</sup> and 3 <sup>rd</sup> quarters before registration) <i>Section 136(b)(2)(A)(i)(III)</i>	88%	89%	\$-1,300%	\$-1,200%
DISLOCATED WORKERS	<b>8. Dislocated Worker Employment and Credential Rate</b> (Of the dislocated worker exiters who were enrolled in training, the number who are employed in the 1 <sup>st</sup> quarter after exit and received a credential by the end of the 3 <sup>rd</sup> quarter after exit) <i>Section 136(b)(2)(A)(i)(IV)</i>	55%	58%	65%	67%
YOUTH AGES 19 TO 22	<b>9. Older Youth Entered Employment Rate</b> (Of those older youth exiters not employed at registration and do not move on to postsecondary education or advanced training, the number who have entered employment by the end of the 1 <sup>st</sup> quarter after exit) <i>Section 136(b)(2)(A)(i)(I)</i>	74%	74%	81%	82%

APPLICABLE PROGRAM GROUP	WIA Requirement at Section 136(b)	PY '03 STATE LEVEL	PY '04 STATE LEVEL	PROPOSED PERFORMANCE GOALS	
				PY '05	PY '06
YOUTH AGES 19 TO 22	<b>10. Older Youth Retention Rate</b> (Of those older youth exiters who are employed at registration or in the 1 <sup>st</sup> quarter after exit and do not move on to postsecondary education or advanced training, the number who are employed in the 3 <sup>rd</sup> quarter after exit) <i>Section 136(b)(2)(A)(i)(I)</i>	75%	76%	78%	81%
YOUTH AGES 19 TO 22	<b>11. Older Youth Earnings Gain Rate</b> (For those who are employed at registration or in the 1 <sup>st</sup> quarter after exit and do not move on to postsecondary education or advanced training, the total post-program earnings received in the 2 <sup>nd</sup> and 3 <sup>rd</sup> quarters after exit less the total preprogram earnings received in the 2 <sup>nd</sup> and 3 <sup>rd</sup> quarters before registration) <i>Section 136(b)(2)(A)(i)(III)</i>	\$2,900	\$3,000	\$3,030	\$3,200
YOUTH AGES 19 TO 22	<b>12. Older Youth Credential Rate</b> (Of the older youth exiters who were in employment, postsecondary education, advanced training by the end of the 1 <sup>st</sup> quarter after exit, the number who received a credential by the end of the 3 <sup>rd</sup> quarter after exit) <i>Section 136(b)(2)(A)(i)(IV)</i>	52%	52%	55%	57%
YOUTH AGES 14 TO 18	<b>13. Younger Youth Skill Attainment Rate</b> (Of the total number of basic skills goals, work-related skills goals, and occupational skills goals for each registrant, the number of those skills attained) <i>Section 136(b)(2)(A)(iii)(IV)</i>	84%	85%	97%	98%
YOUTH AGES 14 TO 18	<b>14. Younger Youth Diploma or Equivalent Attainment Rate</b> (Of those younger youth exiters who registered without a diploma or equivalent, except those still in secondary school, the number who attained a diploma) <i>Section 136(b)(2)(A)(ii)(IV)</i>	52%	53%	62%	64%

APPLICABLE PROGRAM GROUP	WIA Requirement at Section 136(b)	PY '03 STATE LEVEL	PY '04 STATE LEVEL	PROPOSED PERFORMANCE GOALS	
				PY '05	PY '06
YOUTH AGES 14 TO 18	<b>15. Younger Youth Retention Rate</b> (Of the younger youth who exited, except those still in secondary school, those who are in postsecondary education or advanced training or employment or military service or apprenticeship in the 3 <sup>rd</sup> quarter following exit) <i>Section 136(b)(2)(A)(ii)(II)</i>	57%	57%	65%	67%
PARTICIPANT	<b>16. Customer Satisfaction</b> (Customer satisfaction of employers and participants with services received from the workforce investment activities) <i>Section 136(b)(2)(B)</i>	78%	78%	79%	80%
EMPLOYER	<b>17. Customer Satisfaction</b> (Customer satisfaction of employers and participants with services received from the workforce investment activities.) <i>Section 136(b)(2)(B)</i>	73%	73%	74%	76%

## E. Administrative Provisions

### 1. Provide a description of the appeals process referred to in §116(a)(5)(m).

#### ii. Appeals Process for Designation of Local Areas

The Act 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 CLEO(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 MJC. 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 MJC will conduct a hearing on the appeal and issue a decision within thirty-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 MJC 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 days of receipt of the decision from the MJC. The appeal to the Secretary must be consistent with the requirements of the WIA. 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.

## **2. Describe the steps taken by the State to ensure compliance with the non-discrimination requirements outlined in §188.**

The State of Maine has developed a Methods of Administration to ensure that its WIA Title I financially assisted programs, activities and recipients comply with the nondiscrimination and equal opportunity requirements of WIA and its implementing regulations.

MDOL has developed a complaint policy for all CareerCenters. The policy provides specific guidance on how to process and record complaints of discrimination from informal resolution through formal State, Regional, and National channels. See assurances 8, 9, and 10.

## **XI. Assurances**

1. 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 MDOL through the allotments made under sections 127 and 132. (§112(b)(11).)
2. The State of Maine assures that, in compliance with section 184(a)(6), the Governor shall, every two years, certify to the Secretary, that:
  - a. MDOL has implemented the uniform administrative requirements referred to in section 184(a)(3);
  - b. MDOL has annually monitored local areas to ensure compliance with the uniform administrative requirements as required under section 184(a)(4); and Same
  - c. MDOL has taken appropriate action to secure compliance with section 184 (a)(3) pursuant to section 184(a)(5). (§184(a)(6).)
3. MDOL 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).)

4. MDOL assures that veterans will be afforded employment and training activities authorized in section 134 of the Workforce Investment Act, and the activities authorized in chapters 41 and 42 of Title 38 US code. MDOL assures that it will comply with the Veterans priority established in the Jobs for Veterans Act. (38 USC 4215.)
5. MDOL assures that the Governor shall, once every two years, certify one local board for each local area in the State. (§117(c)(2).)
6. MDOL assures that it will comply with the confidentiality requirements of WIA section 136(f)(3). Same
7. MDOL assures that no funds received under the Workforce Investment Act will be used to assist, promote, or deter union organizing. (§181(b)(7).)
8. MDOL 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 (§188.)
9. MDOL assures that it will collect and maintain data necessary to show compliance with the nondiscrimination provisions of section 188. (§185.).
10. MDOL assures that it will comply with the grant procedures prescribed by the Secretary (pursuant to the authority at section 189(c) of the Act), 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 MDOL 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 Requirements for State and Local Governments (as amended by the Act)
    - 29 CFR part 96 (as amended by OMB Circular A-133) --Single Audit Act
    - OMB Circular A-87 --Cost Principles (as amended by the Act)



- Assurances and Certifications:

- SF 424 B --Assurances for Non-construction Programs

- 29 CFR part 37 --Nondiscrimination and Equal Opportunity Assurance (and regulation)

- 29 CFR § 37.20 -CFR part 93 --Certification Regarding Lobbying (and regulation)

- 29 CFR part 98 --Drug Free Workplace and Debarment and Suspension Certifications (and regulation)

- Special Clauses/Provisions:

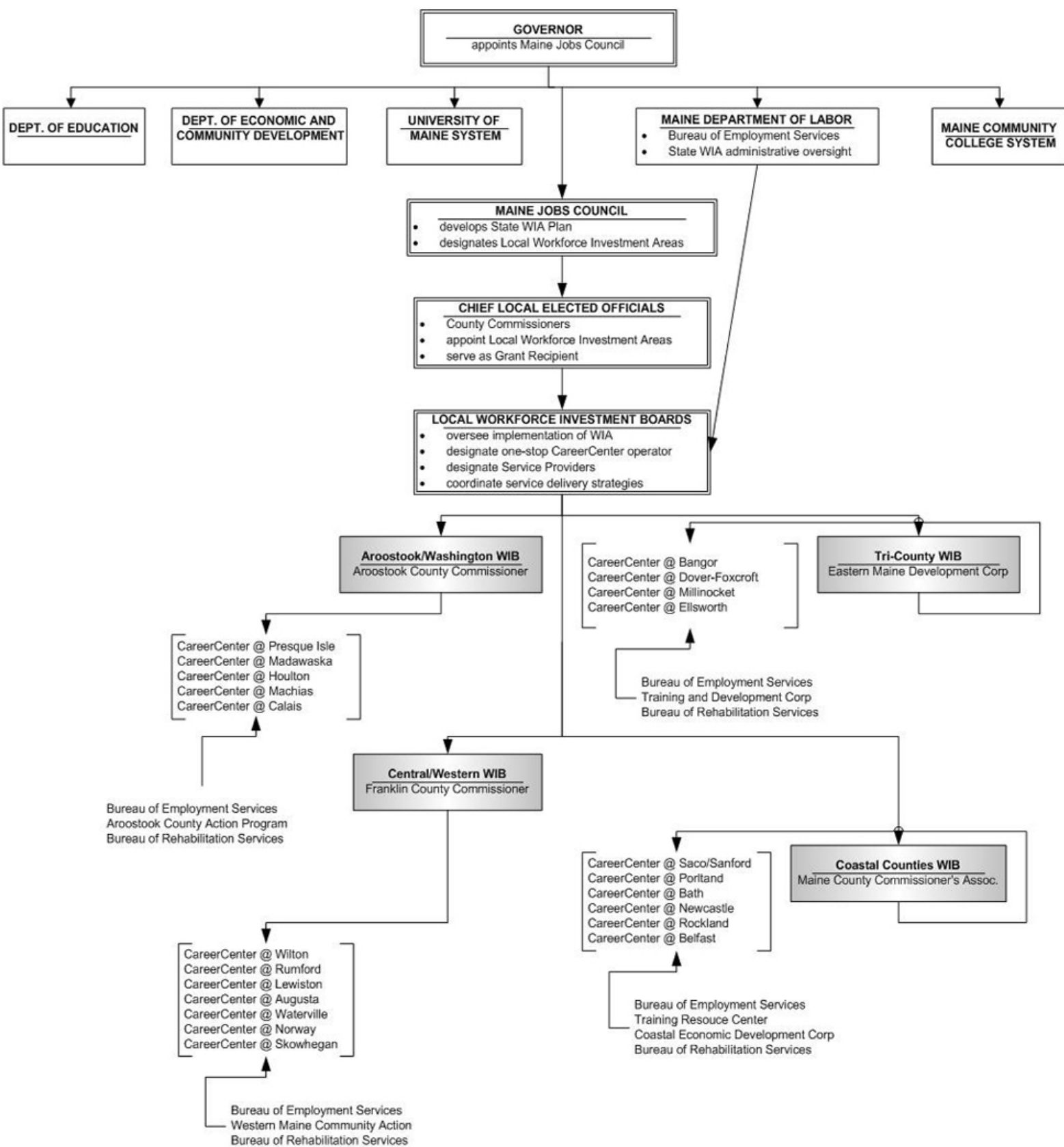
Other special assurances or provisions as may be required under Federal law or policy, including specific appropriations legislation, the Workforce Investment Act, or subsequent Executive or Congressional mandates.

11. MDOL certifies that the Employment Security Administrator has certified the Wagner-Peyser Act Plan, which is part of this document.
12. MDOL 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.
13. MDOL certifies that merit-based public employees in accordance with MDOL regulations will provide Wagner-Peyser Act funded labor exchange activities.
14. MDOL assures that it will comply with the MSFW significant office requirements in accordance with 20 CFR part 653.
15. MDOL certifies it has developed this Plan in consultation with local elected officials, local workforce boards, the business community, labor organizations and other partners
16. As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity

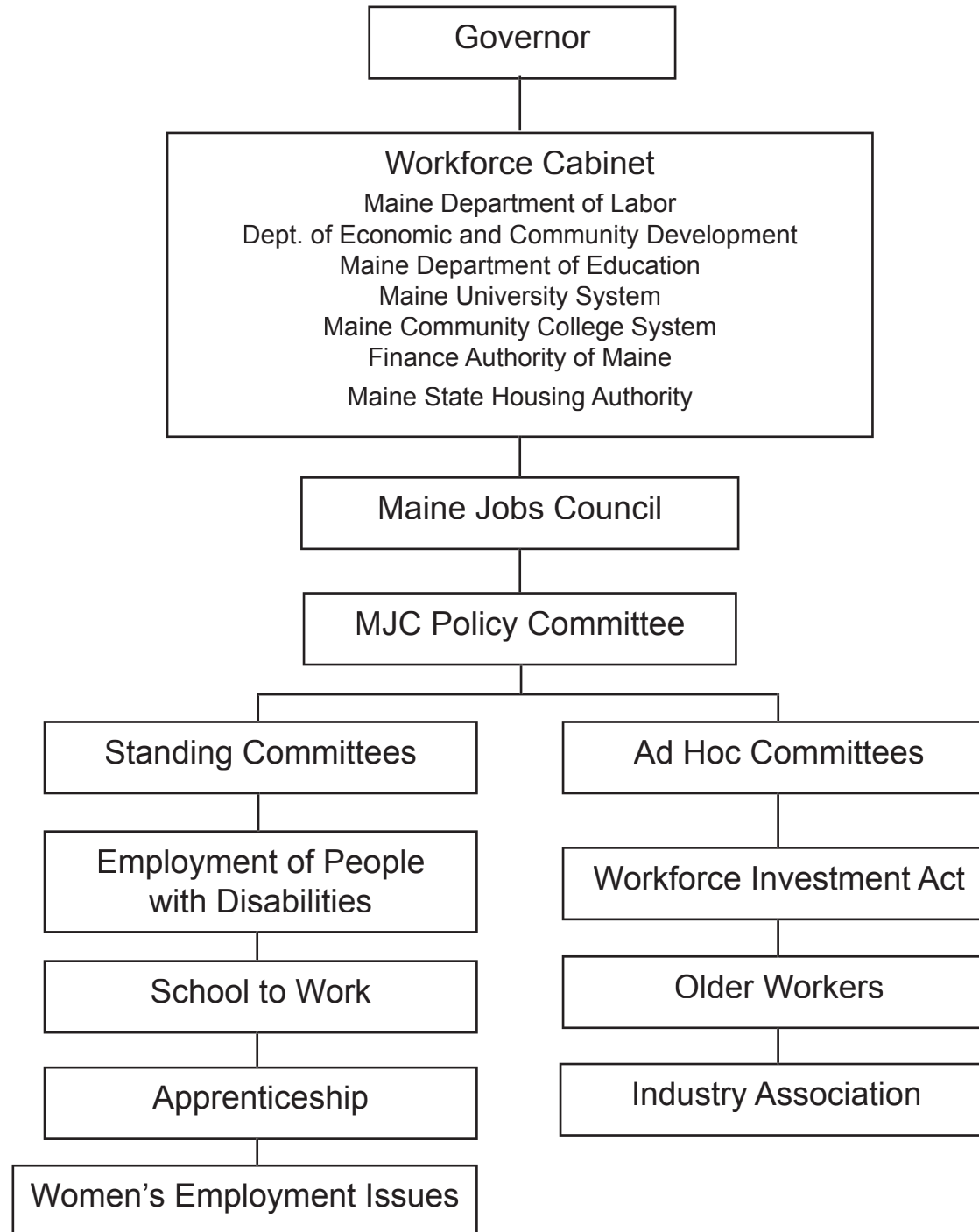
provisions of the following laws: -- Section 188 of the Workforce Investment Act of 1998 (WIA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I--financially assisted program or activity; -- Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color and national origin; -- Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; -- The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and -- Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs. The grant applicant also assures that it will comply with 29 CFR part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I--financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA Title - financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

17 MDOL assures that funds will be spent in accordance with the Workforce Investment Act and the Wagner-Peyser Act and their regulations, written Department of Labor Guidance implementing these laws, and all other applicable Federal and State laws and regulations

# Maine's Public Workforce Investment System



# Maine Jobs Council Structure



## CareerCenter Staff / Core Services Delivery

### Functional Teams

#### The System/CareerCenter Access Team

<b>Membership:</b>
Managers; Supervisors; MIS and Technology Staff; Marketing Staff; Info Center Staff (Dedicated/Assigned)
<b>Mission:</b>
Develop CareerCenter outreach and orientation strategy; assignment and support for team assignments / rotations; schedules for intake/registration; identify initial assessment components; determine supportive services information and referral guidelines; assure facilities and systems are operating efficiently; monitor customer flow within the CareerCenter and between programs.
<b>Area(s) of Responsibility:</b>
Core, Intensive and Training Services; Administration; MIS/Technology; Facility

#### Information Center Team

<b>Membership:</b>
All program and CareerCenter staff dedicated / assigned to provide services within the Information Center; Referral Specialist; Financial Aid Specialist; Tech support staff; Intake Staff.
<b>Mission:</b>
Universal media and resources for businesses and individuals; equipment (usage and maintenance); self-service job search; financial aid assistance; labor market information; information on programs and performance; Unemployment Insurance; cross-marketing of other CareerCenter services; alternative access methods for information.
<b>Area(s) of Responsibility:</b>
Core A and B services

#### The Workshop Team

<b>Membership:</b>
All CareerCenter workshop leaders; Instructors; partner program leaders.
<b>Mission:</b>
Information workshops and seminars; job seeking workshops/job clubs; reemployment services; group assessment; short-term prevocational workshops; career development; design, develop and modify curriculum as needed; exposure to all partner and programs (cross-marketing services)
<b>Area(s) of Responsibility:</b>
Core A and B, Intensive

## The Counseling and Service Planning Team

<b>Membership:</b>
WIA Service Planning staff; W-P Employment Counselors; TAA Coordinators; LEC Staff
<b>Mission:</b>
Assessment services; plan development; financial aid planning; ITA requests
<b>Area(s) of Responsibility:</b>
Core, Intensive and Training

## The Job Referral/Development and Placement Team

<b>Membership:</b>
W-P staff; WIA staff
<b>Mission:</b>
Universal job bank; universal "talent" bank; self-service; facilitated and staff-assisted job development and placement; marketing placement services to employers/community
<b>Area(s) of Responsibility:</b>
Core and Intensive

## The Business Services Team

<b>Membership:</b>
System and CareerCenter Staff; Job Development Staff; LEAPs; REAPs; Rapid Response Staff
<b>Mission:</b>
Define system core, intensive and training services for businesses; market business services within the Center and within the community; business customer needs/satisfaction
<b>Area(s) of Responsibility:</b>
Core, Intensive and Training

### Other Functional Team Formation Options:

#### The Training Team

<b>Membership:</b>
WIA Service Planning staff; W-P Employment Counselors; TAA Coordinators
<b>Mission:</b>
Track and monitor program progress; update ISS, ITA and TAA Agreements; develop training program completion strategies; refer to other teams as appropriate, i.e., Information Center, Job Placement/Development; Workshop
<b>Area(s) of Responsibility:</b>
Training

## The Retention Services Team

<b>Membership:</b>
WIA Service Planning staff; W-P Employment Specialist; W-P Employment Counselors; TAA Coordinators
<b>Mission:</b>
Develop set of universal follow-up strategies; design tools, publications, fact sheets to provide customers after exit; coordinate with Workshop Team to offer post-employment assistance
<b>Area(s) of Responsibility:</b>
Core, Intensive and Training Services

## The Performance Management Team

<b>Membership:</b>
CareerCenter WIA and W-P staff; Program Managers
<b>Mission:</b>
Monitor and evaluate overall CareerCenter performance outcomes; develop strategies for registering and exiting decisions; publishing CareerCenter outcomes; strategies for individual and group follow-up
<b>Area(s) of Responsibility:</b>
Core, Intensive and Training Services

## CareerCenter Seamless and Integrated Service Model

### Guiding Principles

- The model provides a framework for organizing work and customer flow based on the 3 tier service levels (core, intensive and training) currently in place.
- The model organizes Wagner-Peyser and Workforce Investment Act services into “functional” teams. The team members are assigned according to function and the level of service.
- The teams “fluid” and overlap.
- The teams may be designed to rotate among the levels of services (i.e., Team “A” provides Core A/B services for 3 months and then rotates to providing Intensive Services for 3 months, etc.)
- The majority of staff in the Center engage customers in “initial assessment” and basic up-front triage services.
- All customers are shared.

<b>Group A: Career Exploration</b>		
<b>No significant work history; work history with long absences from labor market</b>		
Who:	What kind of services work:	Program/Partner Resources:
<ul style="list-style-type: none"> <li>• Youth</li> <li>• Disabled</li> <li>• Displaced Homemakers</li> <li>• Recently released from prison/jail</li> <li>• Long-term welfare recipients</li> </ul>	<ul style="list-style-type: none"> <li>• OJT</li> <li>• Skills Training, but not stand alone</li> <li>• Work experience combined with skills training</li> <li>• Volunteer work combined with skills training</li> </ul>	<ul style="list-style-type: none"> <li>• WIA Plan Managers (Training Services)</li> <li>• Wagner Peyser Employment Counselors</li> <li>• TAA</li> <li>• Rehab Services</li> </ul>

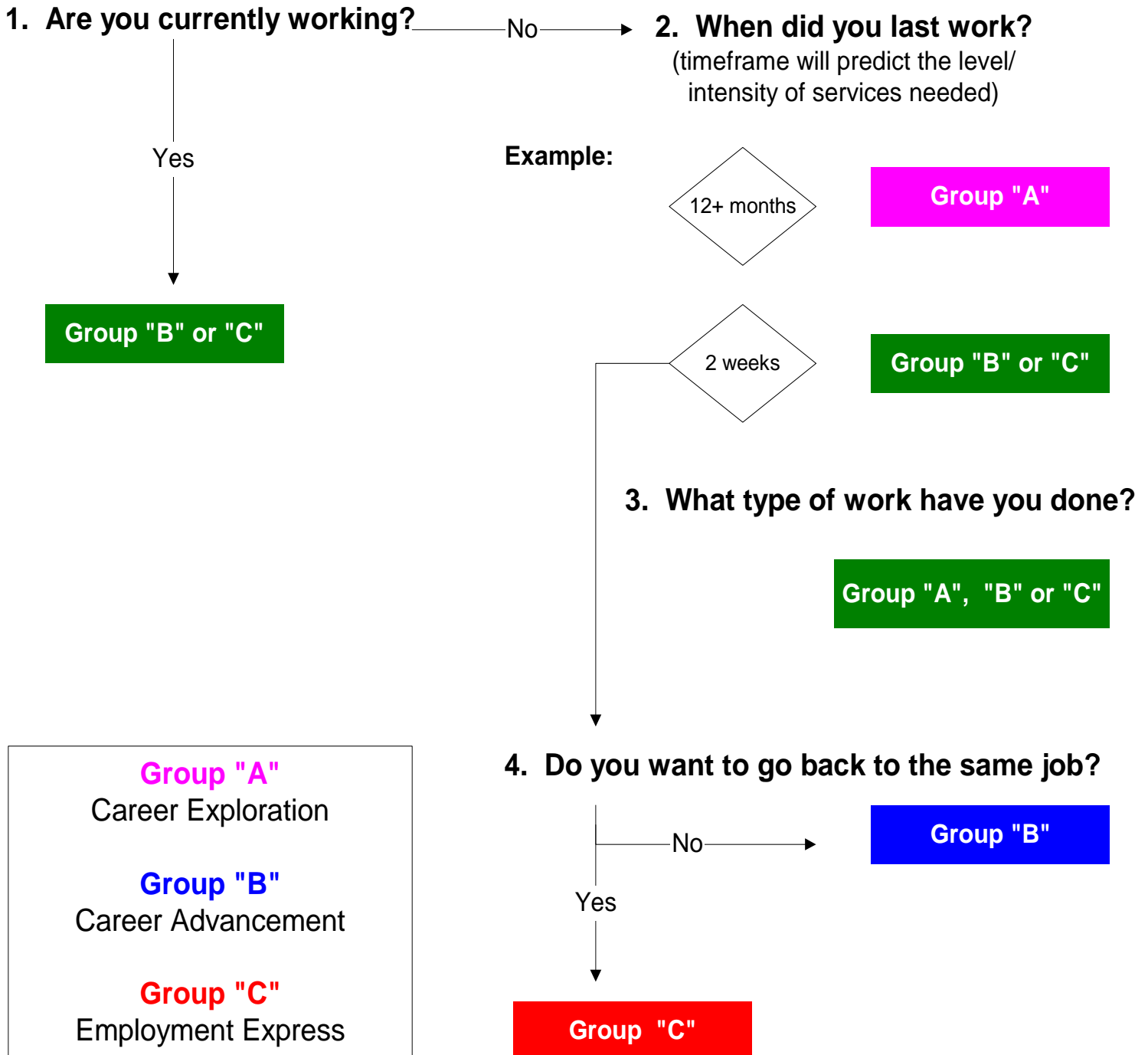


<b>Group B: Career Advancement</b>		
<b>Work history, but inconsistent, not showing advancement, not immediately career ready due to skills mismatch or skill level does not indicate ability for career growth.</b>		
<b>Who:</b>	<b>What kind of services work:</b>	<b>Program/Partner Resources:</b>
<ul style="list-style-type: none"> <li>• Job seekers who do not consider themselves “job ready”;</li> <li>• Do not have a job/career goal;</li> <li>• Have limited ability to create/use job search tools;</li> <li>• Have poor/limited work history</li> <li>• Lack basic skills</li> <li>• Can’t define job to match skills</li> </ul>	<ul style="list-style-type: none"> <li>• These customers are sorted into two categories of service strategies (Core Services) grouped by common barriers so that the strategies are appropriate to the groups:               <ol style="list-style-type: none"> <li>1. Not job ready (lack/mismatch of skills)</li> <li>2. Not job ready due to work history issues (none, poor, multiple jobs in short time, dead end, etc)</li> </ol> </li> <li>• Fast tract to training following initial assessment;</li> <li>• Need “Retention” services</li> <li>• Training and part-time work</li> </ul>	<ul style="list-style-type: none"> <li>• WIA Plan Managers (Training Services)</li> <li>• W-P Employment Counselors</li> <li>• TAA</li> <li>• Rehab Services</li> </ul>

<b>Group C: Employment Express</b>		
<b>Working, or not working but job ready as indicated by only needing job search tools and/or information.</b>		
<b>Who:</b>	<b>What kind of services work:</b>	<b>Program/Partner Resources:</b>
<ul style="list-style-type: none"> <li>• Consider themselves job ready</li> <li>• Have a job goal</li> <li>• Have or can easily gain job search skills/tools</li> <li>• Only need “brush-up”, i.e., updated resume’</li> <li>• Only request information, i.e., job listings or application</li> <li>• Recent academic achievement</li> </ul>	<ul style="list-style-type: none"> <li>• Full-time job</li> <li>• Full-time job w/ part-time training w/ or without CareerCenter financial assistance.</li> </ul>	<ul style="list-style-type: none"> <li>• W-P staff</li> <li>• Job developer (WIA / W-P)</li> <li>• Instructors (WIA)</li> </ul>

# Triage Approach

## Determining the Appropriate Mix of Service Levels and Activities



## Introduction

At the CareerCenters, we strive to assure that every customer's needs are met and that they are satisfied with the services they receive. From time to time, customers of the employment services system have complaints about our processes, violations of employment laws, employers practices, discrimination, unsafe working conditions and the like. This *CareerCenter Complaint Manual* is designed to help CareerCenter staff respond to these complaints in a timely and efficient manner and under federal law it is our duty to do so, sometimes within certain time constraints.

In every case, response to complaints should be handled at the local level and guidance is given here as to what complaints we are expected to handle and how. This guide is made available to all CareerCenter staff and is intended to be supplemented with training provided by the Migrant and Seasonal Farmworkers Division and the Maine Department of Labor Equal Opportunity Coordinator. A Quick Reference Guide is also enclosed in the front pocket of this manual.

The posters "Customer Right to File a Complaint" (BES-cm-1) and "EEO Is The Law," are required to be posted in a location visible to customers in every CareerCenter.

**CareerCenter  
Complaint Policy**

*Policy Statement and general  
guidelines for processing  
CareerCenter complaints*

# **CareerCenter Complaint Policy**

## **Policy Statement**

The goal of CareerCenters' customer complaint policy is to present a uniform, seamless procedure for responding to and resolving customer complaints. The policy provides instruction on how to process these complaints when they are not resolved at the CareerCenter level.

This policy clarifies the formal complaint procedure for WIA partners. It also defines shared responsibilities and collaborative working relationships to provide excellent customer service to persons who wish to express dissatisfaction with programs and/or services.

## **Policy Objectives**

Respond to and attempt to resolve customer complaints at the local level as quickly as possible.

Ensure that the complaint is resolved to customer's satisfaction whenever possible.

Provide CareerCenter managers and staff with an understanding of the formal complaint process for all programs operating within the CareerCenter.

Define joint supervisor/managerial responsibilities for processing and resolving customer complaints.

## **Responsibility of CareerCenter Managers**

It will be the joint responsibility of the CareerCenter managers to work collaboratively to ensure that the CareerCenter complaint process is uniform, timely, and consistent

## **Guidelines**

Whenever possible, complaints and grievances will be resolved locally without invoking the more formal processes outlined in Phase 2. The overall objective of the CareerCenter complaint process is to resolve complaints quickly to the *satisfaction of the complainant* whenever possible. The process for handling and responding to customer complaints follows.

### **Phase 1: Local CareerCenter Informal Resolution**

1. The CareerCenter (CC) manager(s) will be the local contact person(s) for all complaints. They will attempt to resolve *initial* complaints informally and immediately.
2. If the customer complaint falls outside the parameters of a job training or Wagner Peyser complaint, the CC manager will refer the customer to the proper agency according to the information contained in the “Quick Reference for Complaints” brochure in this *CareerCenter Complaint Manual*.
3. If the customer is satisfied with informal and immediate Phase 1 resolution, the CC manager will document the resolution on the Initial Customer Complaint form (BES-cm-2) (See Forms - Section 7) and no further action will be necessary. The CC will keep completed Initial Customer Complaint forms on file for future reference.

### **Phase 2: Local CareerCenter Formal Resolution**

1. If the customer complaint is not resolved at Phase 1, the CC manager will inform the customer of his/her right to initiate a formal complaint in writing. The manager must determine if the complaint is an employer-related complaint, an agency-related complaint, or is a matter of discrimination against the customer as detailed on Page 6 of this manual. The Job Service complaint system reference in the Code of Federal Regulations (CFR), is in the Appendix.
2. If the customer chooses to initiate a written complaint, the CC manager will determine the appropriate partner program involved, and he/she will refer the complaint to the appropriate program manager. The specific program manager will attempt to resolve the complaint within 5 working days of referral from the CC manager. He/she completes the Employment Service Complaint/Referral Record (ETA 8429) or the Complaint Information Form (DL1-2014).
3. The CC manager logs the complaint on the BES Complaint System Log Quarterly Report (BES-cm-3)(Section 5).
4. If the customer complaint is resolved at this level, the program manager will notify the CC manager who will in turn document the resolution on the BES Complaint System Log Quarterly Report (BES-cm-3).
5. If the complaint is referred to the local Vocational Rehabilitation manager for resolution, the complaint then becomes the responsibility of the VR manager for resolution through the established VR complaint procedure. The CC manager will document this referral on the complaint form, no further action will be necessary by the CC manager.

### **Phase 3: Referral to State level for further action**

1. If the customer complaint is not resolved at the local level through the Phase 2 process, the complaint is then referred by the CC manager to the BES Complaint Monitor. He/she will open a log entry on the complaint and the case will be referred to the Maine Department of Labor’s Division of Administrative Hearings for further action. The complaint must be resolved within 60 working days.

2. The BES Complaint Monitor will track the complaint through the Administrative hearings process. If the customer complaint is resolved at the Phase 3 level, the complaint will be closed out on the BES Complaint Monitor's log. The Complaint Monitor will notify the appropriate local CC manager regarding the complaint resolution.

**Phase 4: Referral to Regional and/or National level**

1. If the complaint remains unresolved at the State level, the customer will be informed of his/her right to inform in writing the proper regional or national office of his/her desire to continue the complaint.
2. The customer complaint will then be referred to the proper national office for further action. When such action is taken, all local or State level complaint logs will be closed out with notation that the customer has chosen to refer the complaint to the next level.

## **Handling Complaints of WIA Discrimination**

This document provides the procedures that must be followed when any person files a complaint that he/she or another person/group has been or is being subjected to discrimination. The regulations at 28 CFR Part 37: Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998 identify the grounds or basis upon which a complaint may be filed.

### **Background:**

Recipients of financial assistance under WIA Title I are prohibited from discriminating against members of the public, applicants for services, registrants, participants, claimants, applicants for employment and employees on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief. In addition, it is prohibited to discriminate against any individual or beneficiary of WIA programs based on the beneficiary's citizenship status as a lawfully admitted immigrant authorized to work in the United States. Finally it is prohibited to discriminate against any individual or beneficiary of WIA programs based on his or her participation in any WIA Title I financially assisted program or activity.

### **Time Frames:**

A complainant has a right to file a complaint within 180 days of the alleged act(s) of discrimination.

### **Where to File:**

This complaint must be filed at:

Local Level: Local EO Representative or the Maine Department of Labor EO Coordinator  
(See list in Appendix).

National Level: Director, Civil Rights Center (CRC), USDOL, 200 Constitution Avenue NW, Room N4123,  
Washington, D.C. 20210.

The recipient of a complaint, which may in this instance mean the State or a local entity, must issue a written Notice of Final Action on discrimination complaint within 90 days of the date on which the complaint is filed. The complainant may file action again with the CRC if he or she is dissatisfied with the Notice of Final Action or if a Notice of Final Action is not issued within the 90-day period. In this regard, the complainant has 30 days from the date of the Notice of Final Action or from the end of the 90 days to file with CRC. Only the USDOL-CRC has the authority to accept complaints filed beyond the 30 days discussed above. The CRC may extend this time limit if the Notice of Final Action did not provide complete filing instructions or for other good cause shown by the complainant. The same authority rests with the CRC when a complaint is filed beyond the above mentioned 180-day period.



**Instructions:**

The EO notice “Equal Opportunity is the Law” provides complainants with basic instructions on filing complaints of discrimination.

The following are instructions for processing discrimination complaints:

When anyone alerts the agency or entity that he or she (or they) want to file a discrimination complaint, steps should be to connect the complainant with the Local EO Representative. A complete list of Local EO Representatives is contained in the Appendix. If the Local EO Representative is not available immediately, the manager should arrange a face-to-face meeting with the complainant and local EO Representative at the earliest possible date. The agency manager should contact the MDOL Equal Opportunity Coordinator if the EO Officer will not be available for an extended period.

In all possible instances, the Local EO Representative should meet personally with the complainant(s) in a private area, ensuring confidentiality.

At this meeting the EO Officer should explain the process and if the complainant intends to file a formal complaint, provide the complainant with a copy of the US Department of Labor Civil Rights Center Complaint Information Form (DL1-2014a) (see Appendix). If the complainant does not complete the Complaint Information Form during this meeting, the EO Officer should obtain the following information at the very least:

- Complainant’s address and means for contacting him/her/them.
- Basis of complaint
- Detailed description of allegation(s)
- Dates of alleged events of discrimination
- Representative and entity or program against which complaint is being filed (respondent)
- Address or town location of entity or program
- Signed consent statement

Once the information is gathered, the document should be signed and dated by the complainant or the complainant’s authorized representative. The signed/dated consent statement should indicate that the complainant allows the Local EO Officer to disclose the complainant’s identity if necessary to investigate his or her complaint. In addition, a copy of the written complaint will be provided to the complainant and to the MDOL EEO Coordinator.

**Once the Complaint has been filed:**

After receiving the completed complaint information, the Local EO Officer should ask the complainant whether he or she would prefer the complaint processed through:

- Alternative Dispute Resolution/Mediation (ADR)
- Investigation by the Local EO Officer or MDOL EO Coordinator
- Investigation by the USDOL-Civil Rights Center in Washington, D.C. The full address appears on the EO Notice—“Equal Opportunity is the Law”.

The complainant(s) should indicate their decision on the signed complaint document. Inform the complainant(s) that if ADR fails the complaint can still be filed with CRC.

**NOTE: If an employee of the State of Maine committed the alleged discriminatory act, the MDOL EEO Coordinator must be contacted immediately. In those instances, the Complaints and Investigations Article of the Collective Bargaining Agreements will be followed.**

### **Alternative Dispute Resolution:**

The choice to use ADR or investigation rests with the complainant. If the choice is ADR, the MDOL EEO Coordinator will contact the Division of Administrative Hearings to schedule a facilitator and an ADR conference. If ADR is successful, a settlement agreement is prepared at the end of the conference and signed by the involved parties. If ADR is unsuccessful, the complainant is apprised of his or her rights to file the complaint with USDOL CRC within 30 days after the issuance of a Notice of Final Action.

Cases when ADR is not appropriate include complaints that are high profile, involve legal issues, involve policy, are precedent setting, or impact others in a protected group.

### **Investigation:**

If the complainant elects to resolve the complaint using the Investigation by the MDOL EEO Coordinator, the MDOL EEO Coordinator will provide an acknowledgement letter to the complainant containing the following:

Notice that the complaint has been received

Restatement of the issues raised in the complaint

Notice of which issues have been accepted for investigation

Explanation, if necessary, of issues not being investigated

Notice of the complainant's right to representation by any individual he or she chooses during the complaint process. Legal fees (if an attorney is selected) are the responsibilities of the complainant.

Notice that complaint processing will be completed within 90 days of the date that the complaint was filed at the local level and a Notice of Final Action issued.

Notice that the complainant has the right to re-file his or her complaint within 30 days of the date the Notice of Final Action is issued with the USDOL, if the complainant is unsatisfied with such notice, or within 30 days of the end of the 90 days cited above, if the Local EO Officer fails to issue the notice within that period.

In addition, the MDOL EEO Coordinator must: contact and write to (return receipt requested) the respondent identified in the complaint; advise the respondent that a complaint alleging discrimination has been filed and is being processed; provide a summary of the complaint and notice that any form or retaliation is against the law.

## **Complaint investigation or fact-finding may include the following elements:**

Holding an interview with complainant to gather facts

Collecting any evidence the complainant may have to support allegations

Interviewing the respondent; obtaining a signed position statement, and any evidence supporting the response to the complaint

Inspecting location of where alleged discrimination occurred (this applies specifically to allegations of sexual harassment and inaccessibility to individuals with a disability).

Interviewing witnesses, if any and obtaining signed statements.

Reviewing documents: data, reports, correspondence, contracts, plans, personnel or participant records, policies/procedures related to activities which gave rise to allegations of discrimination.

Preparing an investigatory report that includes statement of basis of complaint, specific allegations, respondent response and witness statements, findings of fact, rationale and conclusion (probable cause or no probable cause that respondent may have discriminated) and appeal rights.

Maintaining a complaint file.

It should be noted that the MDOL EO Coordinator is available for technical assistance at any time to the local EO Officers. Such assistance can be obtained by calling 207-287-3337.

## **Final Action**

A Notice of Final Action must be provided to the complainant with a copy to the respondent and Local EO Officer within 90 days of the date that the complaint was filed with the MDOL EO Coordinator. The Notice must be sent "return receipt requested." The Notice must provide the recipient's decision and explanation on each issue of discrimination that was accepted for processing and resolution. Clearly state what specific action has been taken or will be taken (and when) to complete the resolution.

If the complainant is dissatisfied with the Notice of Final Action, he or she has 30 days from the date the final notice is issued to file with the CRC. If a Notice is never issued, the complainant has 30 days from the date that the notice should have been issued to file with the CRC.

## **Maine Human Rights Commission**

EO Representatives will inform all complainants of their right to file with the Maine Human Rights Commission in addition to the above procedures. The Commission may be contacted at 207-624-6050.

The complaint procedures outlined are effective immediately. Equal Opportunity Officers are to become familiar with these procedures and to share this information with directors, managers, and supervisors within his or her jurisdiction.

## **EQUAL OPPORTUNITY IS THE LAW**

It is against the law for this recipient of Federal financial assistance to discriminate on the following bases:

Against any individual in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and

Against any individual on the basis of the individual's citizenship/status as a lawfully admitted immigrant authorized to work in the United States, or his or her participation in any other services.

The recipient must not discriminate in any of the following areas:

Deciding who will be admitted, or have access to, any program or activity;

Providing opportunities in, or treating any person with regard to, such a program or activity; or

Making employment decisions in the administration of, or in connection with, such a program or activity.

### **WHAT TO DO IF YOU BELIEVE YOU HAVE EXPERIENCED DISCRIMINATION**

If you think that you have been subjected to discrimination by the CareerCenter, you may file a complaint within 180 days from the date of the alleged violation with either the Maine Department of Labor's Equal Opportunity Officer, Michaela Loisel, (207) 287-3337 (voice) (800) 794-1110 (TTY) or the Director, Civil Rights Center (CRC), U.S. Department of Labor, 200 Constitution Avenue NW, Room N-4123, Washington, D.C. 20210

Contact the CareerCenter Manager for assistance.

If you file your complaint with the Maine Department of Labor, you must wait either until you are issued a written Notice of Final Action, or until 90 days have passed, whichever is sooner, before filing with the Civil Rights Center (address above).

If the Maine Department of Labor does not give you a written Notice of Final Action within 90 days of the day on which you filed your complaint, you do not have to wait for the Notice to be issued before filing a complaint with the CRC. However, you must file your CRC complaint within 30 days of the 90-day deadline (in other words, within 120 days after the day on which you filed your complaint).

If you receive a written Notice of Final Action on your complaint, but you are dissatisfied with the decision or resolution, you may file a complaint with CRC. You must file your CRC complaint within 30 days of the date on which you received the Notice of Final Action.

## DBVI VR APPEALS PROCESS

The DVR/DVBI formal grievance procedure is outlined below. It will be the responsibility of the DVR/DVBI manager or representative in each CareerCenter to assist customers in this process.

An applicant for or recipient of vocational rehabilitation services who is dissatisfied with any determination made by a rehabilitation counselor concerning the furnishing or denial of services may request a timely review of the determination. VR shall make reasonable accommodation to the individual's disability in the conduct of the appeals process. Whenever possible, VR will attempt to resolve conflicts informally or through an Administrative Review, but an individual may request a Fair Hearing immediately without having to go through other appeal steps.

### 3.1 Continuation of Services Pending Completion of Hearing:

Pending a final determination of an appeal hearing, the Division may not suspend, reduce, or terminate services being provided under an Individual Plan for Employment (IPE), unless the services were obtained through misrepresentation, fraud or collusion or the individual, or authorized representative, requests suspension, reduction, or termination of services.

### 3.2 Administrative Review

3.2.1 The Administrative Review process is a client option that may be used if it is likely to result in a timely resolution of disagreements. An individual must request an Administrative Review within thirty (30) calendar days of the agency notice regarding the provision or denial of services that is in question. The request must be in writing to the appropriate DBVI Program Manager and the request must describe the complaint.

3.2.2 The Program Manager in the region where the Administrative Review is to be conducted shall appoint a team of the Division's supervisory staff who have not been directly involved in the applicant/ client's case to investigate the complaint.

3.2.3 The Program Manager must conduct the Administrative Review within 14 calendar days from the date that the request is received.

3.2.4 VR may not deny or dismiss a proper request for an Administrative Review hearing unless the individual withdraws the request.

3.2.5 The Program Manager shall schedule a meeting of the team at which time the involved individual or his/her representative may present his/her views. The meeting will be held during regular agency working hours at a regional or district office of Department of Labor at a time convenient for the individual. The participation in this meeting by an individual or his/her representative is optional.

Should the individual be unable or unwilling to appear at the meeting, the description of the complaint on the request for the Administrative Review shall be treated as representing the views of the involved individual.

3.2.6 The Program Manager shall issue a written decision as to the appropriateness of the agency's provision or denial of services within 10 calendar days of the Administrative meeting.

### 3.3 Fair Hearing

3.3.1 A Fair Hearing is a procedure whereby an individual who is dissatisfied with any determinations concerning the provision or denial of DBVI VR services or the findings of the Administrative Review may seek a redetermination of agency action before an impartial hearing officer.

3.3.2 The individual must request a Fair Hearing within thirty (30) calendar days after notification of the Administrative Review decision, or within 30 calendar days of the agency notice regarding the provision or denial of service if no informal review/ Administrative Review is held.

3.3.3 If no request for Fair Hearing is made within 30 calendar days, the Administrative Review decision is considered final.

3.3.4 The request for Fair Hearing shall be in writing and shall describe the complaint.

3.3.5 The Fair Hearing shall be conducted within 45 calendar days of receipt of the request for Fair Hearing.

3.3.6 A Fair Hearing shall be conducted by an impartial hearing officer from the pool of qualified persons identified jointly by the Director and the State Rehabilitation Advisory Council of DBVI.

3.3.7 The VR program may not deny or dismiss a request for Fair Hearing unless the individual or his/her representative:

- (a) withdraws the request in writing; or
- (b) is adjudged by the Fair Hearing officer to be in default for failure to appear at the hearing without good cause.

3.3.8 The Fair Hearing shall be concluded and a recommended decision shall be issued in accordance with Maine's Administrative Procedures Act, 5 M.R.S.A. Chapter 375, subchapter IV.

3.3.9 The Fair Hearing officer shall issue a recommended decision within 30 days of the completion of the hearing. Within 20 calendar days of mailing of the Fair Hearing Officer's recommended decision, the Division Director shall notify the individual of the intent to review the recommended decision and give the individual 10 calendar days to submit additional evidence and information relevant to the recommended decision. If the Division Director does not notify the applicant/ client of the intent to review the decision, the decision of the impartial hearing officer becomes the final decision.

3.3.10 The Division Director shall issue a final written decision including a full report of the findings and the grounds for such decision within 30 calendar days of providing notice of intent to review the impartial hearing officer's decision. The Division Director may not overturn or modify a decision of the impartial hearing officer that supports the individual unless the Director concludes, based on clear and convincing evidence, that the Fair Hearing officer's decision is erroneous because it is contrary to Federal or State law, including policy.

3.3.11 The Fair Hearing decision shall be considered final by the agency pending the outcome of further appeal procedures.

#### 3.4 Judicial Review Under M. R. Civ. P. 80C

In the written decision from the Division Director on a Fair Hearing, the individual shall be advised on their right to file a petition in Superior Court under Rule 80C of the Maine Rules of Civil Procedure.

### 3. MAINE DVR APPEALS PROCESS

An applicant for or recipient of vocational rehabilitation services who is dissatisfied with any determination made by a rehabilitation counselor concerning the furnishing or denial of services may request (or, if appropriate, may request through the individual's representative) a timely review of the determination. Maine DVR shall make reasonable accommodation to the individual's disability in the conduct of the appeals process.

### 3.1 Informal Review

Whenever possible, Maine DVR will attempt to resolve conflicts informally prior to Mediation or a Due Process Hearing, but an individual may request a Due Process Hearing immediately without having to go through other appeal steps. An individual may request a meeting with the counselor, the appropriate supervisor, and a Client Assistance Program representative, if desired, to explore options for resolving any conflicts.

### 3.2 Continuation of Services Pending Completion of the Hearing

Pending a final determination of an appeal hearing, the DVR may not suspend, reduce, or terminate services being provided under an Individualized Plan of Employment (IPE), unless the services were obtained through misrepresentation, fraud or collusion of the individual, or authorized representative, requests suspension, reduction, or termination of services.

### 3.3 Time Frames

The time frames listed under Section 3.4 Mediation and 3.5 Due Process Hearing may be waived if both parties agree to an extension of time in order to conduct the Mediation or Hearing and render a decision.

### 3.4 Mediation

3.4.1 The Department of Labor Mediation process is an option to resolve conflicts when a resolution is not possible informally. Mediation is voluntary for both parties and either party may withdraw at any time. The mediator does not have the authority to impose a settlement on the parties but will attempt to help them reach a mutually satisfactory resolution of their dispute.

3.4.2 An individual must request Mediation within thirty (30) calendar days of the agency notice regarding the provision or denial of services that is in question. The request shall be in writing and the request shall describe the complaint. The request should be sent to the Director of DVR who will immediately forward it to the Department of Labor, Division of Administrative Hearings.

3.4.3 The Division of Administrative Hearings will commence a mediation meeting within fifteen (15) calendar days of receipt of the request and shall be held in a location that is convenient to the parties in the dispute.

3.4.4 Mediation will be conducted in accordance with the Court Alternative Dispute Resolution Service's (CADRES) standards on ethics and neutrality.

3.4.5 An agreement reached in the mediation process shall be set forth in a written mediation agreement.



3.4.6 Discussions that occur during the mediation process shall be confidential and may not be used as evidence in any subsequent due process hearing or civil proceeding in accordance with CADRES confidentiality standards.

3.4.7 The individual may be represented at the mediation, including but not limited to, representation by the Client Assistance Program.

### 3.5 Due Process Hearing

3.5.1 A Due Process Hearing is a procedure whereby an individual who is dissatisfied with any determinations concerning the provision or denial of DVR services may seek a redetermination of agency action before an impartial hearing officer.

3.5.2 The individual must request a Due Process Hearing within thirty (30) calendar days of the agency notice regarding the provision or denial of service if Mediation was not requested.

3.5.3 If no request for Due Process Hearing is made within thirty (30) calendar days, the agency decision is considered final.

3.5.4 The request for Due Process Hearing shall be in writing and shall describe the complaint. Maine DVR will accommodate an individual's disability and offer assistance, if appropriate, in this process. The request should be sent to the Director of DVR who will immediately forward the request to the Department of Labor, Division of Administrative Hearings.

3.5.5 A pre-hearing conference will be held. At that time mediation will be explored as an option for resolving the dispute.

3.5.6 The Due Process Hearing shall be conducted within forty-five (45) calendar days of receipt of the request for Due Process Hearing.

3.5.7 A Due Process Hearing shall be conducted by an impartial hearing officer from the pool of qualified persons identified jointly by the Director of Maine DVR and the State Rehabilitation Council.

3.5.8 Maine DVR may not deny or dismiss a request for Due Process Hearing unless the individual or his/her representative:

- (a) withdraws the request in writing; or,
- (b) is adjudged by the Due Process Hearing officer to be in default for failure to appear at the hearing without good cause.

3.5.9 The Due Process Hearing shall be conducted and a recommended decision shall be issued in accordance with Maine's Administrative Procedures Act, 5 M.R.S.A. Chapter 375, subchapter IV.

3.5.10 The Due Process Hearing Officer shall issue a decision within thirty (30) days of the completion of the hearing., If the Commissioner of the Department of Labor or the Commissioner's designee decides to review the decision of the impartial hearing officer, he/she will notify the individual or, if appropriate, the individual's representative, of that intent within twenty (20) days of the mailing of the impartial hearing officer's decision. The Commissioner or his/her designee shall give the individual or individual's representative ten (10) calendar days to submit additional evidence and information relevant to the final decision. If the Commissioner or his/her designee does not notify the applicant/ client of the intent to review the decision, the decision of the impartial hearing officer becomes the final decision.

3.5.11 Within thirty (30) days of providing notice of intent to review the impartial hearing officer's decision, the Commissioner or designee shall make a final decision and provide a full report in writing of the decision, including findings and the statutory, regulatory, or policy grounds for the decision, to the individual or, if appropriate, the individual's representative.

3.5.12 The Commissioner or designee may not overturn or modify a decision, or part of a decision, of an impartial hearing officer unless the Commissioner or designee concludes, based on clear and convincing evidence, that the decision is clearly erroneous because it is contrary to the approved State Plan, the Act, Federal Regulations or State Policy.

3.5.13 The Due Process Hearing decision shall be considered final by the agency pending the outcome of further appeal procedures.

### 3.6 Judicial Review Under M.R. Civ. P. 80C

In the written decision from the Commissioner or designee on a Due Process Hearing, the individual shall be advised on his/her right to file a petition in Superior Court under Rule 80C of the Maine Rules of Civil Procedure.

### CareerCenter Complaint Log Quarterly Report (BES-cm-3)

A CareerCenter Complaint Log Quarterly Report form shall be kept in a common area, accessible to all CareerCenter managers for a scheduled monthly review in order to ascertain the nature and frequency of customer complaints, and collaborate on methods to provide better customer service based on information from it.

CareerCenter Managers will be responsible for entering complaints in the CareerCenter complaint log. Once complaints are resolved locally or via the formal grievance process, the manager of the program to which the complaint pertains is responsible for notifying the CC Manager. The CC Manager will enter the outcome of the complaint in the log. Prior to submission of the report the CareerCenter Managers should review the complaint log for completeness and should discuss any improvements that could be made in CareerCenter services/operations to eliminate certain types of complaints in the future. Once all managers have reviewed the complaint log, the CareerCenter Manager will submit the log to the BES office in Hallowell. The complaint log is due in the BES office on the first working day after the end of the quarter. (See sample in Section 5.)

**Migrant & Seasonal  
Farmworker Complaints**

**How to Process**

*Try to resolve the complaint within  
five days.*

*See chart for procedure.*



## Migrant and Seasonal Farmworker (MSFW) Checklist

*Use these four questions to verify that the customer is an MSFW.*

	Seasonal Farmworker	Migrant Farmworker	Migrant Food Processing Worker
1. During past 12 calendar months did this person work all or part of 25 or more days.	X	X	X
2. At least 1/2 of annual earned wages from this work.	X	X	X
3. Not employed year round by the same employer.	X	X	X
4. Must be unable to return to permanent residence within the same day		X	X

### Farmworker

#### SIC Group 01-Agr. Prod. Crops

Farms, Ranches, Dairies, Greenhouses,  
Nurseries, Orchards, and Hatcheries.

x                      x

Crops, Plants, Vines and Trees (excluding  
forestry).

#### SIC Group 02-Agr. Prod. Livestock

Farms, Ranches, Dairies, Seedlots, Egg  
Production

Facilities, Broiler Facilities, Poultry Hatcheries,  
and Apiaries

X

Keeping, grazing or seeding of livestock, and  
animal specialties

### Food Processing Worker

**SIC 201-Meat Products, Packing,  
Slaughtering and Processing**

**SIC 2033-Canned Fruits, Vegetables,  
Preserves, Jams and Jellies**

**SIC 2037-Frozen Fruits, Fruit Juices, and Veg**

**Veterans Priority or  
Maine Job Bank  
Complaints**

**How to Process**

*Try to resolve locally with customer immediately (within 20 days bylaw).*

*If you cannot resolve it with the customer, assist the customer in completing an ETA 8429 (See Section 7 for forms.)*

*Forward copies to appropriate agency.*

*Give a copy to the customer and  
log it.*





**Discrimination by  
Staff Complaints**

**How to Process**

*Try to resolve locally.*

*Contact the local EEO Officer or MDOL EE Coordinator.*

*Complete form DLI-2014a (within 180 days by law).*

*Complete Human Rights Complaint forms.*

*Forward copies to appropriate agency.*

*Give the customer a letter stating what we've done.*

*Log the complaint.*

*NOTE: If an employee of the State of Maine committed the alleged discriminatory act, the MDOL EEO Coordinator must be contacted immediately. In those instances the Complaints and Investigations article of the Collective Bargaining Agreements will be followed.*

*(BRENDA THIS ALL GOES IN THE BOX)\_*

**Complaint  
System Log  
Quarterly Report**

**How to Process The  
Quarterly Report  
(BES-cm-3)**

*On the first working day after the end of a quarter, (quarters end: December 30, March 31, June 30, and September 30), each CareerCenter needs to submit a quarterly report of the complaints received and referrals made by the CareerCenter to help customers solve employment issues or concerns. Use **this form as it is**. Please don't enlarge or change it. The form is available on diskette.*

*Send reports to:  
Bureau of Employment Services  
Quarterly Complaint Reports  
55 State House Station  
Augusta, ME 04333-0055*



***Alien Labor Certification Program***

***Quick Reference for Complaints***

***Wage and Hour Division***

***Contact Points***

***Customer Right to File a Complaint Poster(BES-cm-1)***

***EE Officer List***

***Job Service Complaint System - CFR 658-401***

**Alien Labor Certification Program**  
H-2A (Temporary Agriculture Workers)

This program allows agriculture employers to bring in foreign workers on a temporary basis. They have to request the worker(s) at least 60 days in advance of their date of need. The job has to be for less than 365 days and can be renewed, yearly. The foreign worker can only work for that one employer. The employer has to guarantee certain conditions of employment. Free housing has to be provided; the employer has to provide a kitchen area and utensils or meals, if meals are provided than can deduct \$7.41 per day (tax included) for these meals. They have to provide all tools used in working. They have to reimburse transportation to the worker (either by half the contract period or 15 days whichever comes first). They have to provide free transportation from the provided housing to the worksite. They have to hire all U.S. Workers that met the basic job requirements for 50% of the contract period. The employer has to pay the prevailing wage/or the AEWL/or the employers offer/whichever is higher. Agricultural employers do not have to pay overtime for over 40 hours weekly.

## Quick Reference for Complaints

Remember you should try to resolve any complaint locally and immediately. You know your employers and your customers. See the *CareerCenter Complaint Manual* for specific instructions. The sections are broken down into charts and forms that you will need.

### Complaints to be referred to appropriate agency

**Concerns about the Family Leave Act.** Refer to BLS Wage & Hour at (207) 624-6410.

**Wage issues on plant closures.** Refer to Maine BLS Wage & Hour at (207) 624-6410.

**Minimum wage or overtime.** Refer to Maine BLS Wage & Hour at (207) 624-6410.

**Child labor issues.** Refer to Maine BLS Wage & Hour at (207) 624-6410.

**Discrimination.** Refer to Human Rights Commission at (207) 624-6050.

**Agricultural complaints.** Refer to U.S. DOL Wage & Hour at (207) 780-3344.

**Housing complaints.** Ask for BLS Housing inspectors. Tel. (207) 624-6400.

**Hazardous materials on job site.**

Tel. (207) 624-6400 ask for Maine OSHA.

**Whistle blower questions (fired for reporting employer).** Refer to U.S. OSHA at 617-565-7164.

**Migrant and seasonal protections, wage question, contract disclosures, etc.** Refer to U.S. Wage and Hour at (207) 780-3344.

**Field sanitation concerns.** Refer to U.S. Wage & Hour at (207) 780-3344.

Remember: **Maine is an “At Will” state, which means that an employee can be legally hired and fired at the employer’s discretion provided there is no legal discrimination involved.**

## Quick Reference for Complaints (continued)

### Complaints taken in writing

#### Concerns of MSFWs

Try to resolve locally within 5 days (by law), if not, forward to BES.

(see definition of Migrant & Seasonal Farmworker on checklist in *CareerCenter Complaint Manual*) taken in writing on ETA 8429.

See Section # 2

#### Veterans mandatory listing issues and Veterans Priority and/or Maine Job Bank

Try to resolve locally within 20 days (by law).

Take in writing on form ETA 8429.

See Section #3.

#### Discrimination by staff

Try to resolve locally.

MDOL EEO Coordinator

20 Union St.

Augusta, ME 04333

207-287-3337

Take in writing DL1-2104a.

File within 180 days of alleged violation (by law).

**See Section # 4.**

For **language assistance**, call the AT&T language line services at

**1-800-874-9546 and give your code.**

**Maine Department of Labor**

**Wage and Hour Division**

**45 State House Station**

**Augusta, ME 04333**

**Tel. 207-624-6410**

**[www.state.me.us/labor/blsmain.htm](http://www.state.me.us/labor/blsmain.htm)**

**The Wage and Hour Division:**

**Does** investigate and interpret:

A: Plant closings/relocations for severance pay

B. Complaints from employees on:

--rest breaks

--overtime, minimum wage

--payment of final wages, including vacation pay

--health insurance plans terminated or changed by employer without proper notification

--weekly payment of wages

--unfair agreements (illegal wage deductions)

--requirement for written reason for termination

--requests to review personnel files

--child labor

**Doesn't** have legal authority over:

--fringe benefits (except payment of earned vacation upon termination of employment)

working conditions (schedules, dress codes, types of work performed, part-time or full-time status)

--\*hiring or firing practices

--discharge notices, warnings, disciplinary actions

--minimum/maximum hours per day or week (except for minors under 18)

--union or other contract agreements

\*Maine is an "At Will" state, which means that employees can legally be hired or fired at the employer's discretion provided there is no legal discrimination involved. If an employee feels there is discrimination, the employee should be referred to the Maine Human Rights Commission.

Only refer to Wage and Hour Division those complaints listed as A & B above. For complaints the Wage and Hour Division doesn't have legal authority over, give the customer a copy of *Maine Employee Rights Guide* booklet. The most recent printing may be requested from BES.



## Contact Points

### **Mail Complaints to:**

#### **Bureau of Employment Services**

Complaint System  
55 State House Station  
Augusta, ME 04333-0055

### **Mail Quarterly Reports to:**

#### **Bureau of Employment Services**

Quarterly Reports  
55 State House Station  
Augusta, ME 04333-0055

### **OSHA**

Occupational Safety &  
Health Administration  
40 Western Avenue  
Augusta, ME 04330  
Tel. (207) 622-8417

Occupational Safety &  
Health Administration  
202 Harlow Street  
Bangor, ME 04402  
Tel. (207) 941-8177

### **Maine Human Rights Commission**

51 State House Station  
Augusta, ME 04333  
Tel. 207-624-6050

### **Maine Department of Labor**

(discrimination by staff)  
20 Union Street  
Augusta, ME 04330  
Attn: EEO Coordinator  
Tel. (207) 287-2876

### **State Monitor Advocate**

185 Lancaster Street  
Portland, ME 04101  
Tel. (207) 822-0152

### **Bureau of Labor Standards**

45 State House Station  
Augusta, ME 04333  
Attn: Royal Bouchard  
Tel. (207) 624-6410

**U.S. DEPARTMENT OF LABOR  
WAGE/HOUR COMPLAINTS**

**U.S. Department of Labor  
Wage and Hour Division**

Room 234, 3rd Floor  
66 Pearl Street  
Portland, ME 04101  
Tel. 207-780-3344

**U.S. Department of Labor  
Wage and Hour Division**

202 Harlow Street  
Bangor, ME 04401  
Tel. 207-945-0330

**Agricultural complaints to:**

U.S. Department of Labor  
Wage and Hour Division  
Room 324, 3rd Floor  
66 Pearl Street  
Portland, ME 04101  
Tel. 207-780-3344

**Directorate of Civil Rights**

U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Room N-4124  
Washington, D.C. 20210  
**Tel. 202-219-7026**

## Customer Right to File a Complaint

As a customer obtaining employment-related services from the CareerCenter, it is your right to initiate an informal complaint should you feel you have not received the services you expected. CareerCenter staff will attempt to resolve your complaint at the local level as much as possible.

Should you feel that you have not received satisfactory service, you may contact the CareerCenter manager for information on how to proceed. If your complaint is not resolved satisfactorily at the local level, the CareerCenter manager will assist you in completing the form required to move your complaint to the next step.

CareerCenter Manager: \_\_\_\_\_

Phone: \_\_\_\_\_

CareerCenters provide equal opportunity. Auxiliary aids and services are available to individuals with disabilities upon request.

BES-cm-1  
(poster)

## **MAINE DEPARTMENT OF LABOR - EQUAL OPPORTUNITY COORDINATOR**

Michaela Loisel  
20 Union St.  
Augusta ME 04333  
(207)-287-3337 (voice)  
(800)-794-1110 (TTY)  
[michaela.loisel@state.me.us](mailto:michaela.loisel@state.me.us)

## **MAINE WORKFORCE INVESTMENT BOARDS - EQUAL OPPORTUNITY OFFICERS**

### **Aroostook/Washington County Workforce Investment Area**

#### Aroostook County Equal Opportunity Officer:

William Crandall, Assistant Director/COO  
Aroostook County Action Program, Inc.  
P.O. Box 1116  
Presque Isle, ME 04769  
207-760-6300 TTY 207-760-6301  
[bcrandall@acap-me.org](mailto:bcrandall@acap-me.org)

#### Washington County Equal Opportunity Officer:

Wendy Schoppee, Center Manager  
Machias CareerCenter  
P.O. Box 382  
Machias, ME 04654  
207-255-3428 TTY 207-255-3198  
[wendy.schoppee@state.me.us](mailto:wendy.schoppee@state.me.us)

### **Tri-County Workforce Investment Board**

#### Penobscot, Piscataquis and Hancock Counties Equal Opportunity Officer

David Klein  
Training Development Corporation  
One Cumberland Place, Suite 116  
Bangor, ME 04401  
207-945-9431  
[dklein@tdc-usa.org](mailto:dklein@tdc-usa.org)

### **Central/Western Maine Workforce Investment Area**

#### Androscoggin, Franklin and Oxford Counties Equal Opportunity Officer

Patricia Ladd, Program Manager  
Western Maine Community Action Program  
P.O. Box 200  
East Wilton, ME 04234  
207-645-3764 TTY 207-645-5806  
[pladd@state.me.us](mailto:pladd@state.me.us)

Kennebec County Equal Opportunity Officer

Louise Sidelinger, Regional Director  
Rehabilitation Services  
Augusta CareerCenter  
State House Station #109  
Augusta, ME 04333  
207-624-5120 TTY 800-633-0770  
[louise.n.sidelinger@state.me.us](mailto:louise.n.sidelinger@state.me.us)

Somerset County Equal Opportunity Officer

Judith Pelletier, Center Manager  
Skowhegan CareerCenter  
140 North Avenue  
Skowhegan, ME 04976  
207-474-4950 TTY 207-474-4902  
[judy.pelletier@state.me.us](mailto:judy.pelletier@state.me.us)

**Coastal Counties Workforce Board**

Cumberland County Equal Opportunity Officers

Cole Thompson, Program Manager  
Training Resource Center  
185 Lancaster Street  
Portland, ME 04101  
207-775-5891 TTY 207-775-0777  
[cole.thompson@state.me.us](mailto:cole.thompson@state.me.us)

John Bouchard, Center Manager  
Portland CareerCenter  
185 Lancaster Street  
Portland, ME 04101  
207-771-5627 TTY 207-822-0412  
[john.bouchard@state.me.us](mailto:john.bouchard@state.me.us)

*York County Equal Opportunity Officer*

Richard Fifield, Center Manager  
Saco CareerCenter  
110 Main Street, Suite 1400  
Saco, ME 04072  
207-286-2650 TTY 207-286-2680  
[rfifield@state.me.us](mailto:rfifield@state.me.us)

***Sagadahoc, Waldo, Lincoln and Knox Counties Equal Opportunity Officer***

Candice Carpenter, Director  
Coastal Economic Development Corporation  
Belfast CareerCenter  
9 Field Street  
Belfast, ME 04915  
207-338-5158 TTY 207-338-4399  
[ccarpenter@state.me.us](mailto:ccarpenter@state.me.us)

**CFR (Code of Federal Regulations)**  
**Subpart E — Job Service Complaint System**

658.400 Purpose and scope of subpart.

This subpart sets forth the regulations governing the Job Service complaint system at both the State and Federal levels.

658.401 Types of complaints handled by the JS complaint system.

(a)(1) The types of complaints (JS related complaints) which shall be handled to resolution by the JS complaint system are as follows:

(i) Complaints against an employer about the specific job to which the applicant was referred by the JS involving violations of the terms and conditions of the job order or employment-related law (employer-related complaint) and

(ii) complaints about job Service actions or omissions under JS regulations (agency-related complaints)...

(2) A complaint shall be handled to resolution by these regulations only if it is made within one year of the alleged occurrence.

**Forms**

*DL 1-2014a*

*ETA 8429*

*Human Rights Forms*

*A. Instructions*

*B. Charge of Discrimination*

*C. Housing Intake*

*D. Intake Questionnaire*

*Initial Customer Complaint form(BES-cm-2)*

**CareerCenter Informational Notice: 1**

**Issuance Date:** January 7, 2002

**To:** CareerCenter Distribution  
Local Board Directors  
Service Provider Directors  
Director, BRS

**From:** Tim McLellan, Director  
Bureau of Employment Services

**Subject:** Individual Training Account Policies and Guidelines

**CC:** BES Hallowell

**INTRODUCTION AND PURPOSE:**

One of the seven guiding principles of the Workforce Investment Act of 1998 (WIA) is *individual empowerment*. Empowering individuals to obtain the services and skills they need to enhance their employment opportunities will be accomplished through Individual Training Accounts (ITAs). The issuance of ITAs will enable eligible participants to choose the qualified training program that best meets their needs.

The purpose of this policy memorandum is to communicate the Maine Department of Labor (MDOL), Bureau of Employment Services (BES) policies and guidelines for establishing a system for issuing ITAs to eligible WIA Title I customers (Adults and Dislocated Workers). Youth activities are not subject to these ITA policy guidelines. These guidelines shall be used by the Local Workforce Investment Boards (LWIB) to develop local policies that reflect the issuance of ITAs by the CareerCenters within each of the four Local Workforce Investment Areas. While this policy issuance primarily stipulates the legislative and programmatic requirements of the WIA, it is the intent of the BES to assist the LWIB through guidance and technical assistance to provide high quality, customer-driven services. This policy also clarifies the process and procedures that customers can expect to experience when the choice to seek skills training through WIA is made.

This policy incorporates from the Maine State WIA Planning Guidelines the following three criteria for maximizing customer choice in selecting training activities:



1. LWIBs shall issue ITAs 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, and
  - 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.
2. Service providers operating within CareerCenter facilities are eligible to receive ITAs. These service providers are subject to the same grant recipient oversight and checks and balances inherent within the ITA system to ensure objectivity in the brokering process and prevent potential or real conflicts of interest.
3. There are adequate numbers of training providers and training programs to provide customer choice; therefore, full class size and individual 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).

The Workforce Investment Act (WIA) states that, "Training services...shall be provided in a manner that maximizes consumer choice in the selection of an eligible provider of such services." (Section 134(F) of WIA) To enable the customer to make a responsible and informed choice about where best to receive training, WIA uses three mechanisms.

- Individual Training Accounts;
- A statewide list of eligible training providers;
- Consumer information regarding training providers.

Additional supporting policies and guidance governing the Eligible Training Provider and the Consumer Report System have been issued under separate cover.

ITAs place training resources in the hand of the consumer. Rather than being directed to a provider of training by a CareerCenter partner, the consumer must be able to select high quality training on his/her own. The list of eligible training providers will be compiled by the LWIB and the MDOL/BES. The local boards will seek out vendors of high quality training with relevant curricula to compile the local list. BES 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 CareerCenters.

WIA requires that training funds be coordinated with other grant sources for training such as the Pell Grant. (Section 134(d)(4)(B)) This policy also describes federal and state requirements on this coordination.

## REFERENCE:

Additional guidance may be found as follows:

- State of Maine Workforce Investment Act of 1998, Title I Planning Guidelines (April 2000)
- Workforce Investment Act of 1998
  - Title 1, Section 134(d)(4)(F) Consumer Choice Requirements
  - Title 1, Section 134(d)(4)(G) Individual Training Accounts
  - Title 1, Section 134(d)(4)(B) Coordination with other Grant Assistance
- WIA Final Regulations
  - 20 CFR § 663.320 Coordination with other Grant Assistance
  - 20 CFR § 663.400-663.440 Individual Training Accounts

## POLICY:

### I. Guidelines for developing systems for issuing Individual Training Accounts

The ITA is an account established by a CareerCenter partner on behalf of an eligible individual. ITAs are funded with adult and dislocated worker funds authorized under Title I of WIA. Individuals may use ITAs in exchange for training services for skills in demand occupations as defined by the LWIB from training providers on the approved list of eligible training providers (Sections 134(F)(ii) and 134(G)(iii)). WIA mandates that all training services (except for on-the-job training and customized training) be provided through the use of ITAs and that eligible individuals shall receive ITAs through the One-Stop Delivery System (Section 134(G) of WIA).

In accordance with the Maine WIA Planning Guidelines, the BES expects the LWIBs to be accountable for implementing an *objective* ITA system. LWIBs will be expected to take a market approach for deciding when ITAs should be used. Thus, the ITA system will be used when and where vendors exist that provide essentially the same training services. Furthermore, it is understood that CareerCenter service providers may receive their own ITAs provided that they satisfy the same terms and conditions as all other training providers.

In order to ensure objectivity and fairness for all local service providers and vendors:

- LWIBs and grant recipient staff will ensure that market surveys are completed that identify local service providers and their products and services; and
- LWIBs and grant recipient staff will be responsible for ensuring that the ITA system in their Local Area is implemented fairly and objectively.

In addition to providing services, the LWIBs and the CareerCenters should also be community conveners and facilitators of local resources. Without careful consideration of this role, CareerCenters will be seen as competitors by the very organizations they are trying to attract to develop effective partnerships. The LWIB should be working to reduce unnecessary duplication without eliminating effective programs for customers. Objective ITA systems depend on market availability and competition. In market settings, programs are not duplicative if they satisfy

customers' labor market needs. The third and final issue relates to uniform definitions and terms so that clear lines exist between intensive and training services. Intensive services must not be defined by LWIBs in ways that circumvent the spirit of the ITA system.

The management systems of the CareerCenters must be in compliance with federal law and state policy by July 1, 2001. The ITA local policy and management process must be in written form and effective prior to July 1, 2001. The local policy must incorporate the following:

1. Outlined procedures that explain how customers will receive assessment, counseling, and an individual development plan through intensive services prior to issuance of an ITA. In accordance with federal WIA regulations and state policy, training vouchers shall be issued only after an individual receives Core (A and B) and Intensive Services and continues to be unsuccessful in finding employment. In addition, ITAs shall be issued only in consultation with a skilled and knowledgeable CareerCenter case manager;
2. Developed policies that explain that training services provided to youth (ages 14-21) are not subject ITA requirements unless enrolled under Title I as an adult or dislocated worker;
3. Provided an explanation of how customers will learn of the demand occupations or skills for which an ITA may be issued and how exceptions to the list will be handled. The LWIB must be involved in the exception process. The demand occupations or skills that have been identified for the local Workforce Investment Area are to be contained in the local plan;
4. Identified the process for how the use of the ITA will be limited to skills relevant to demand occupations and that are appropriate for the individual client;
5. Provided an explanation of the manner in which the ITA policy will be communicated in simple, understandable language;
6. Identified the manner in which customers will be provided access to the list of eligible providers through the CareerCenters. Customers must be able to use their ITAs to acquire services from any eligible training provider on the state list or from any eligible training provider on the lists of other states for which the State of Maine has entered into reciprocal agreements;
7. Established written guidelines that explain whether the ITA covers books, fees, and other education materials in addition to tuition;
8. Developed policies that will be used to determine the duration of the ITA;
9. Provided an explanation of the cost limitations associated with issuing an ITA. At a minimum, each local area shall determine the maximum amount that will be available to the customer. For example, will there be a cap on value, will the cap vary for certain institutions or occupations, populations, etc.? If so directed by the LWIB, the CareerCenter's policy may offer a higher ITA value for occupations highest in demand;

10. Developed policies and processes for documenting how other sources of funding were sought first and how funds were leveraged to augment an ITA (Pell Grants, TAA and other partner programs other than WIA, etc.);
11. Provided an explanation of the internal procedure for ITA issuance, including the appearance of the ITA document that is given to the customer, who may issue the ITA to the customer, whether any signatures are needed, and so forth;
12. Provided an explanation of the methods for tracking expenditures of all resources paying for the individual's training, including the WIA title I funds of the ITA;
13. Determined how the customer will be kept informed of his/her account status including procedures to be followed by individuals who seek repeat ITA benefits and related supportive services to aid them in the completion of training/ITA activities;
14. Outlined the method for disbursement of funds (cash reimbursements, lines of credit, etc.). Only training providers that are on the list of eligible providers are able to redeem ITAs for payment;
15. Developed pre-arrangements with CareerCenter partners, other entities, and training institutions to insure that duplicate payments for training services are not made; and
16. Developed local policies for managing Eligible Training Provider (ETP) vendors, including:
  - a. Procedures that will be followed by the local CareerCenter to determine which agency is responsible for tracking training completers who have entered the workforce or have been retained in the workforce as a result of training.
  - b. Explain the responsibilities of the Training Provider for follow-up and job placement

## **II. Limited Exceptions to the use of ITAs:**

The following exceptions exist to ITAs for the payment of training services:

1. ITAs need not be used when training is provided via OJT or customized training.
2. When the LWIB determines that there is an insufficient number of eligible providers in the local area to accomplish the purpose of a system of ITAs. This determination shall be supported by a market survey conducted by the LWIB. The local plan must initially describe the market survey process to be used in subsequent procurements. The process for making such a determination must include a public comment period for interested providers of at least 30 days.
3. When the LWIB determines that there is a training services program of demonstrated effectiveness offered in the area by a community-based organization or another private organization to serve special customer populations as defined in section 134(d)(4)(G)(iv) of WIA, that face multiple barriers to employment. The LWIB must develop criteria to be used in determining demonstrated effectiveness. The criteria may include, but are not limited to:

- a. Financial stability of the organization;
  - b. Measures appropriate to the program including program completion rate; attainment of the skills, certificates or degrees the program is designed to provide; placement after training in unsubsidized employment and retention in employment;
  - c. The relevance of the specific program to the workforce investment needs identified in the local plan.
4. Special customer populations are low-income individuals that are included in one or more of the following categories:
- a. Individuals with substantial language or cultural barriers,
  - b. Offenders,
  - c. Homeless individuals, and
  - d. Individuals with disabilities.

### **III. Coordination of ITAs with other Grant Assistance**

The Act limits funding for training to individuals who are unable to find other grant assistance for training or whose financial needs exceed the assistance available from other sources. WIA funds are intended to supplement other sources of funding (Section 134(d)(4)(B)). LWIBs are encouraged to adopt policies that require local CareerCenters leverage resources for sources such as TAA (as appropriate) and Pell to augment ITA investments in training. The CareerCenter should ensure that duplicate payments are not made to training providers for the cost of training. CareerCenter staff and training providers shall coordinate available funds to pay for training costs, so that WIA funds supplement other sources of funds to pay for training and avoid duplication of payments (See Section VI below for background information on Pell Grants).

The exact mix of funds should be determined based on the availability of funding for either training costs or supportive services, with the goal of ensuring that the costs of the training program the customer selects are fully paid for and that necessary supportive services are available so that training can be successfully completed. The LWIBs should develop written guidelines for how dislocated workers may access TAA funds to support their training plans.

### **IV. Background on the Pell Grant**

Pell Grants are a significant source of grant assistance to economically disadvantaged individuals. The need to coordinate Pell Grant funds with ITAs deserves special mention.

Pell Grants may be used for a student's cost of attendance which includes: tuition, fees, room and board, books, supplies, and transportation. Miscellaneous expenses: such as childcare and special costs for handicapped students/customers. Usually, a school will use the Pell to credit the student's account for any unpaid charges for tuition and fees and will then pay the remaining Pell (if any) to the student for remaining living expenses.

The Student Financial Aid Program uses the following two figures when calculating a student's eligibility for Pell Grants:

1. The Expected Family Contribution (EFC) formula is the standard formula used in determining financial need for Federal Pell Grants and other student financial aid programs. The EFC is based on information the student reports on the financial aid application form.
2. The Cost of Attendance is an estimate of a student's education expenses for the period of enrollment. These expenses include tuition, fees, room and board, books, supplies, and transportation. Miscellaneous expenses: such as childcare and special costs for handicapped students/customers.

A student's financial need for Student Financial Aid Program funds is equal to the student's Cost of Attendance, minus his/her Expected Family Contribution, minus his/her Pell Grant eligibility, and minus financial aid from other sources. Another way to say this is the total aid the student may receive from the Student Financial Aid Program and other sources may not exceed the student's Cost of Attendance. A basic premise of need-based aid is that the total package of aid must not exceed the student's financial need. Note: A student may borrow the amount of the EFC from the Federal Family Education Loan Program (FFELP.) The amount of a Pell for a student in a WIA program is calculated just as for any other Pell recipient. The amount of allowable WIA funding is determined after Pell Grant eligibility is determined and the actual amount of the Pell Grant is announced (if any). Please remember that awarding need-based federal aid cannot cause the total Cost of Attendance package to exceed the student's financial need with the exception of the FFELP.

Customers are not required to apply for or access student's loans or incur personal debt as a condition of participation. However, the customer may incur personal debt when agreed to after counseling regarding the responsibilities associated with the indebtedness, including loan repayment. Such counseling must be acknowledged in the customer's record.

## **V. System Design Considerations for Establishing LWIB Policies and Procedures for issuing ITAs**

While each LWIB may design the local process for the ITA, the following sequence of events demonstrates a common set of activities that a customer may pursue to secure and use an ITA.

1. First, seek employment through Core Services and, if necessary, Intensive Services.
2. If previous services have not resulted in employment, discuss training strategy with case manager/counselor.
3. Discuss with case manager/counselor employment interest and assessment test scores.
4. Establish, with staff assistance or independently, an employment goal.
5. Obtain information regarding the ITA process from the case manager/counselor.
6. With staff assistance or independently, conduct labor market review to determine that the occupation is in demand and that employment opportunities exist in the area.
7. Review the statewide list of eligible providers.

8. Select possible training providers and research their requirements for enrollment, performance outcomes, cost, etc.
9. If providers are in the local area, visit training providers' campuses or locations to determine environment and transportation needs.
10. Research the training requirements, and if helpful, visit with graduates or students in the training courses of interest [may be arranged by CareerCenter staff].
11. If occupation is unfamiliar, have CareerCenter staff arrange a tour of an employer's operation or a job shadowing activity.
12. Complete the ITA application and demonstrate commitment to complete training, knowledge of job requirements, knowledge of training course(s), availability of jobs in area. List the costs of required tests or certifications needed for employment, tuition, physical examinations, room and board if out of area, required fees, tools, books, supplies and other items required for training.
13. Agree to apply for Pell Grant or other available financial aid and if awarded, to make reimbursement for applicable costs covered by other grant assistance.
14. When the ITA is approved, arrange to contact the case manager/counselor on a specified, regular basis to advise of progress.
15. Sign agreement to provide attendance information, grades and/or progress reports while enrolled in WIA-approved training activities.
16. Take the voucher or other established mechanism to certified training provider and enroll in training.
17. Upon completion of training, provide documentation of completion to the CareerCenter staff.
18. Utilize other CareerCenter resources or training provider resources for employment placement.
19. When hired, contact the CareerCenter and provide name of employer, wage/salary information and benefit information.
20. Agree to participate in follow-up activities to determine employment retention and wages six months after employment and at other designated intervals.

Contact:        Stephen Duval  
                    Bureau of Employment Services  
                    55 State House Station  
                    Augusta, ME 04333  
                    (207)624-6369

Local Area Grant Recipient

CONTRACT FOR EMPLOYER ASSISTANCE SERVICES

CONTRACT NUMBER: PY00-001-EA

This contract is entered into this fifteenth day of July, 2000, by and between XXXXXXXXXXXXX, hereinafter referred to as the Grantor and

XXXXXXXXXXXXXXXXXX  
XXXXXXXXXXXXXXXXXXXXXXXXXX

hereinafter referred to as the Service Provider or the Contractor.

WHEREAS, the Grantor has entered into a contract with the Maine Department of Labor, Bureau of Employment Services, which is incorporated herein by reference, to implement the provisions of the Workforce Investment Act, and the Wagner-Peyser Act (29 U.S.C. 49, et. seq.), as amended; and

WHEREAS, the Service Provider is in the business of providing employment and training services; and

WHEREAS, the Service Provider is willing to provide such services;

NOW THEREFORE, it is agreed by and between the parties hereto as follows:

1. This contract covers the period from July 1, 2000 to June 30, 2001.
2. The Service Provider will provide employer assistance services and will comply with the terms and conditions in the Program Narrative and the Line Item Budget attached hereto as Rider A.
3. The Service Provider will abide by the terms and conditions of the Governor's Coordination and Special Services Plan.
4. The Service Provider agrees to adhere to the applicable administrative procedures and guidelines established by the State that are incorporated herein by reference.
5. The Service Provider will comply with all applicable field memoranda, correspondence, and policy issuances of the Grantor.
6. In the event that it becomes impossible for the Service Provider to continue to meet its obligations under this contract, the Service Provider shall immediately notify the Grantor of its inability to perform and shall be permitted to terminate its obligations thirty (30) days after notice.
7. Neither any interest nor claim regarding this contract shall be assigned, designated, or transferred by the Service Provider without express written authorization by the Grantor. This provision does not prohibit the Service Provider from subcontracting for services.
8. The Grantor, the Maine Department of Labor, and any other State agency as legally authorized, shall have the right of access and to monitor all activities under this contract for which funds have been provided. The monitoring function may be implemented through the use of internal evaluation procedures, the examination of program data, inspection of worksites, or any other procedure the



Grantor and the above-mentioned agencies deem necessary and appropriate.

9. The Service Provider shall fully cooperate with, and assist, the Grantor or its authorized representative in periodic monitoring, auditing, and evaluation, including making available its books, records, and all other documents as necessary. It will give the Maine Department of Labor access to and the right to examine all records, books, papers, or documents related to the grant or contract, including the records of contractors, subcontractors, or subrecipients performing under the grant or this contract. Records pertinent to the contract, including financial, statistical, property and participant records, and supporting documentation, shall be maintained for a period of three (3) years from the date of obligation of funds. Records for nonexpendable property shall be retained for a period of three (3) years after final disposition of the property. The aforementioned records will be retained beyond the three (3) years if any litigation or audit is begun or if a claim is instituted involving the grant or agreement covered by the records, in which event the records will be retained until the litigation, audit or claim has been finally resolved.
10. The Service Provider shall maintain ongoing monitoring and evaluation systems for subcontracts. It will maintain copies of all subcontracts, funded in whole or in part by monies provided to the Service Provider pursuant to policies established by the Grantor. These documents shall be made available to the Grantor for review and monitoring purposes.
11. The Service Provider agrees to conform to the Grantor's method of reporting all program activities and participant and fiscal information. The Grantor will provide specific reporting formats and requirements.
12. The Service Provider shall use funds provided under this contract only for activities which are in addition to those which would otherwise be available in the area in the absence of such funds.
13. The Service Provider shall have responsibility to take action against its Subcontractors to eliminate abuses in the programs they are implementing and to prevent any misuse of funds by such Subcontractors.
14. The Service Provider shall indemnify and hold harmless the Grantor against any and all liabilities, losses, costs, damages, and expenses incurred or suffered by the Grantor as a result of a determination by the Maine Department of Labor to disallow any or all costs incurred pursuant to this contract, or as a result of a determination by an Administrative Law Judge or court of competent jurisdiction by which the Grantor incurs liability on account of this contract unless the disallowance is a direct result of the Grantor's actions.
15. The Service Provider agrees to indemnify, defend, and hold harmless the Grantor, its officers, agents, and all employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, materialmen, laborers, and other persons, firms or corporations furnishing or supplying work, services, materials, or supplies in connection with the performance of this agreement, and from any and all claims and losses accruing and/or resulting to any person, firm, or corporation who may be injured or damaged by the Service Provider in the performance of this contract.
16. If any term, covenant, or condition of this contract or the application thereto to any person or circumstances shall, to any extent be illegal, invalid, or unenforceable because of judicial construction, the remaining terms, covenants, and conditions of this contract, or the application of such term, covenant, or condition to persons or circumstances other than those as to which it is held invalid or unenforceable shall not be affected thereby and each term, covenant, or condition of this contract shall be valid and be enforced to the fullest extent permitted by Law.
17. Payments will be made on an expense reimbursement system basis according to the procedures established by the Grantor.

- 18. The Grantor will be liable only for the cost of services provided during the effective dates of this contract. The Service Provider must submit contract closeout forms and a final claim for reimbursement of all allowable costs. The Grantor will prescribe uniform closeout procedures and instructions. Cash refunds in excess of immediate cash needs will be made to the Grantor following the end of the contract.
- 19. In the event the Service Provider breaches the terms of this contract, the Grantor may pursue any administrative, contractual or legal remedies as provided by other provisions of this contract, or by State or Federal law or regulations.
- 20. The Service Provider will ensure that all of its staff are covered by Workers' Compensation Insurance or by an approved self-insurance system.
- 21. Subject to its right of appeal, the Service Provider agrees to comply with all orders and decisions issued by the Hearing Officer of the Grantor, the Grant Officer, or an Administrative Law Judge of the United States Department of Labor, or any court of competent jurisdiction, and will require by contract its Subcontractors to do the same.
- 22. The Service Provider shall insert in any subcontract the applicable clauses set forth in this section and also a clause requiring the subcontractors to include applicable clauses in any lower tier subcontracts which they may enter into, together with a clause requiring this insertion in any further subcontracts that may in turn be made.

**ADDITIONAL STATE OF MAINE PROVISIONS (PURSUANT TO FORM BP54, AGREEMENT TO PURCHASE SERVICES, RIDER B)**

- 23. INDEPENDENT CAPACITY. The parties hereto agree that the Contractor, and any agents and employees of the Contractor, in the performance of this agreement, shall act in an independent capacity and not as officers or employees or agents of the State.
- 24. CONTRACT ADMINISTRATOR. All invoices, progress reports, correspondence and related submissions from the Contractor shall be directed to:  
  
XXXXXXXXXXXXXXXXXXXX  
XXXXXXXXXXXXXXXXXXXX
- 25. DEPARTMENT'S REPRESENTATIVE. The Contract Administrator shall be the Department's representative during the period of this agreement. He has authority to stop the work if necessary to insure its proper execution. He shall certify to the Department when payments under the contract are due and the amounts to be paid. He shall make decisions on all claims of the Contractor, subject to the approval of the Head of the Department.
- 26. CHANGES IN THE WORK. The Department may order changes in the work, the contract sum being adjusted accordingly. All such orders and adjustments shall be in writing. Claims by the Contractor for extra cost must be made in writing and signed by the Contract Administrator before executing the work involved.
- 27. SUBCONTRACTS. Unless provided for in this contract, no contract shall be made by the Contractor with any other party for furnishing any of the work or services herein contracted for without the consent, guidance and approval of the Contract Administrator. Any subcontract hereunder entered into subsequent to the execution of the contract must be annotated Approved by the Contract Administrator before it is reimbursable hereunder. This provision will not be taken as requiring the

approval of contracts of employment between the Contractor and his employees assigned for services thereunder.

28. **SUBLETTING, ASSIGNMENT OR TRANSFER.** The Contractor shall not sublet, sell, transfer, assign or otherwise dispose of this agreement or any portion thereof, or of his right, title or interest therein, without written request to and written consent of the Contract Administrator, except to a bank. No subcontracts or transfer of agreement shall in any case release the Contractor of his liability under this agreement.
29. **EQUAL EMPLOYMENT OPPORTUNITY.** During the performance of this contract, the Contractor agrees as follows:
  - a. The contractor will not discriminate against any employee or applicant for employment relating to this agreement because of race, color, religious creed, sex, national origin, ancestry, age or physical handicap, unless related to a bona fide occupational qualification. The Contractor will take affirmative action to insure that applicants are employed and employees are treated during employment, without regard to their race, color, religion, sex, age or national origin. Such action shall include but not be limited to the following: employment, upgrading, demotions, or transfers; recruitment or recruitment advertising; layoffs or termination; rates of pay or other forms of compensation; and selection for training including apprenticeship. The Contractor agrees to post in conspicuous places available to employees and applicants for employment notices setting forth the provisions of this nondiscrimination clause.
  - b. The Contractor will, in all solicitations or advertising for employees placed by or on behalf of the Contractor relating to this agreement, state that all qualified applicants will receive consideration for employment without regard to race, color, religious creed, sex, national origin, ancestry, age or physical handicap.
  - c. The Contractor will send to each labor union or representative of the workers with which he has a collective or bargaining agreement, or other contract or understanding, whereby he is furnished with labor for the performance of this contract, a notice, to be provided by the contracting department or agency, advising the said labor union or workers' representative of the Contractor's commitment under this section and shall post copies of the notice in conspicuous places available to employees and to applicants for employment.
  - d. The Contractor will cause the foregoing provisions to be inserted in any subcontracts for any work covered by this agreement so that such provisions shall be binding upon each subcontractor, provided that the foregoing provisions shall not apply to contracts or subcontracts for standard commercial supplies or raw materials. The Contractor, or any subcontractor holding a contract directly under the Contractor, shall, to the maximum feasible, list all suitable employment openings with the Maine Job Service. This provision shall not apply to employment openings that the Contractor, or any subcontractor holding a contract under the Contractor, proposes to fill from within its own organization. Listing of such openings with the Maine Job Service shall involve only the normal obligations that attach to such listings.
30. **EMPLOYMENT AND PERSONNEL.** The Contractor shall not engage on a full-time, part-time or other basis during the period of this agreement, any professional or technical personnel who are or have been at any time during the period of this agreement in the employ of any State Department or Agency, except regularly retired employees, without the written consent of the public employer of such person. Further, the Contractor shall not engage on this project on a full-time, part-time or other basis during the period of this agreement any retired employee of the Department who has not been retired for at least one year, without the written consent of the Contract Review Committee.

31. **STATE EMPLOYEES NOT TO BENEFIT.** No individual employed by the State at the time this contract is executed or any time thereafter shall be admitted to any share or part of this contract or to any benefit that may arise therefrom directly or indirectly due to his employment by or financial interest in the Contractor or any affiliate of the Contractor. This provision shall not be construed to extend to this contract if made with a corporation for its general benefit.
32. **WARRANTY.** The Contractor warrants that it has not employed or written any company or person, other than a bonafide employee working solely for the Contractor to solicit or secure this agreement, and that it has not paid, or agreed to pay any company or person, other than a bonafide employee working solely for the Contractor any fee, commission, percentage, brokerage fee, gifts, or any other any other consideration, contingent upon, or resulting from the award for making this agreement. For breach or violation of the warrant, the Department shall have the right to annul this agreement without liability or, in its discretion, to deduct from the contract price or consideration, or otherwise recover the full amount of such fee, commission, percentage, brokerage fee, gifts, or contingent fee.
33. **ACCESS TO RECORDS.** The Contractor shall maintain all books, documents, payroll, papers accounting records and other evidence pertaining to cost incurred under this agreement and to make such materials available to their offices at all reasonable times during the period of this agreement and for three years from the date of the expiration of this agreement, for inspection by the Department or any authorized representative of the State of Maine and copies thereof shall be furnished, if requested.
34. **TERMINATION.** The performance of work under the contract may be terminated by the Department in whole, or, from time to time, in part whenever for any reason the Contract Administrator shall determine that such termination is in the best interest of the Department. Any such termination shall be effected by delivery to the Contractor of a Notice of Termination specifying the extent to which performance of the work under the contract is terminated and the date on which such termination becomes effective. The contract shall be equitably adjusted to compensate for such termination and the contract modified accordingly.
35. **GOVERNMENTAL REQUIREMENTS.** The Contractor warrants and represents that all governmental ordinances, laws and regulations shall be complied with.
36. **INTERPRETATION AND PERFORMANCE.** This agreement shall be governed by the laws of the State of Maine as to interpretation and performance.
37. **OWNERSHIP.** All notebooks, plans, working papers, or other work produced in the performance of this contract are the property of the Department and upon request shall be turned over to the Department.
38. **STATE HELD HARMLESS.** The Contractor agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, materialmen, laborers and any other person, firm or corporation furnishing or supplying work, services, materials or supplies in connection with the performance of this contract, and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by the Contractor in the performance of this contract and against any liability, including costs and expenses for violation of proprietary rights, copyrights, or rights of privacy, arising out of publication, translation, reproduction, delivery, performance, use of disposition of any data furnished under this contract or based on any libelous or other unlawful matter contained in such data.
39. **APPROVAL.** This contract is subject to the approval of the Maine Attorney General's office, the Contract Review Committee and the State Controller before they can be considered as valid, executable documents.

40. ENTIRE AGREEMENT. This contract contains the entire agreement of the parties, and neither party shall be bound by any statement or representation not contained herein.

SIGNATURES

GRANTOR

XXXXXXXXXXXXXX

SERVICE PROVIDER

XXXXXXXXXXXXXXXXXXXX

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Signature)

Name: XXXXXXXXXXXXX

Name: XXXXXXXXXXXXXXX

Title: XXXXXXXXXXXXX

Title: XXXXXXXXXXXXXXX

Date: \_\_\_\_\_  
\_\_\_\_\_

Date: \_\_\_\_\_ -

SPECIFICATIONS OF WORK TO BE PERFORMED

PY00-01-EA  
Contract Number

**WORK STATEMENT**  
***TO INTEGRATE EMPLOYER ASSISTANCE WITHIN CAREER CENTERS***

**STRATEGY**

The Bureau of Employment Services, Employer Assistance Division is allocating significant funds to support the continuing process of integrating employer assistance into the CareerCenters. Local CareerCenter expectations have been customized with benchmarks set. This contract is written with the expectation that that benchmarks outlined in Attachment A will be attained. Benchmarks not attained by June 30, 2001 will be included in the following year contract and may result in a reduction in that year's contract funds.

Employer Assistance in the CareerCenter environment requires facilitation of employer strategies for workforce development. Core coordination functions will be performed regionally and locally by CareerCenters to engage employers as customers and partners in workforce development strategies.

**The Bureau of Employment Services agrees to:**

1. Provide payment to the service providers for expenses relating to employer assistance benchmarks.
2. Notify service providers, on a quarterly basis, of benchmarks not attained and the potential for financial impact on the following year contract.
3. Provide a budget for regional apprenticeship tuition reimbursement.
4. Provide direction in functions to be carried out.

**1. The Service Provider will:**

Provide the **XXXXXXXXXXXX** with invoices and subsequent request for expenses.

2. Provide the Maine Department of Labor, Bureau of Employment Services with written quarterly reports documenting benchmark progress (Attachment B), by the 15<sup>th</sup> of the month following the close of each quarter.
3. Participate in performance assessments and discussions with Maine Department of Labor, Bureau of Employment Services staff.
4. Oversee regional apprenticeship tuition reimbursement budget and make tuition payments on behalf of apprentices.
5. Provide comprehensive employer assistance services.

**WORK STATEMENT**

To receive funds from the **XXXXXXXXXXXXXXXXXXXX**, the service provider agrees to ensure compliance with the following work statement:

*Statement of Purpose:* To provide resources for the development of comprehensive employer assistance services that:

- 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
- Refers non-workforce-related issues to appropriate agencies

*Strategy A:* The Grantor will provide funding for the Service Provider to:

1. Provide a liaison to the Bureau of Employment Services and Employer Assistance Division. This liaison will serve as local representative to the Statewide Employer Assistance Team and contribute to the development of statewide policies for employer assistance design.
2. Implement employer assistance in local and regional CareerCenters to ensure integration of demand-side approaches in CareerCenter strategies by attaining specific benchmarks outlined in Attachment A:
3. Provide technical support to Local Employer Assistance Points (LEAPS)
4. Promote EA goals and assistance to local and regional CareerCenter staff. Identify local/regional nuances and facilitate development of EA design(s) to accommodate local/regional differences.
5. Interface with local and regional economic development agencies to support business expansion and retention. Represent the Department of Labor and workforce development system in coordinated efforts with State Economic Development Districts to promote business attraction/expansion/retention. Represent DOL employer services and local workforce development resources in presentations to existing and prospective local/regional employers.
6. Represent the Department of Labor in community and employer contacts including the Business Visitation Program, Governor's Training Initiative and Maine Apprenticeship Program including the specific functions outlined in Attachment A. Spearhead coordination of DOL initiatives into customized economic development strategies.
7. Seek out staff development opportunities to meet employer assistance goals, including workforce and economic development seminars and training.

*Strategy B:* Maine Apprenticeship Program tuition funds will be provided as follows:

XXXXXXXXXXXXXXXXXXXXX \$XXXXX



RIDER B  
METHOD OF PAYMENT AND OTHER PROVISIONS

1. **AGREEMENT AMOUNT**    \$\_XXXX

2. **INVOICES AND PAYMENTS** \_\_\_\_\_ The Department will pay the provider as follows:

*Strategy A: Payments to providers will be made upon receipt of invoices for expenses relating to work outlined herein.*

*All disbursements through this contract will be made with the expectation that the work statement is achieved. Goals not attained by June 30, 2001 will be included in the following year contract and may result in a reduction in that year's contract funds according to the budget chart below.*

*Strategy B: Payments for Maine Apprenticeship Program tuition will be made to providers semi-annually, in January and in June, upon receipt of invoice. Total MAP tuition reimbursement will not exceed \$XXXXXX to XXXXXXX unless a contract modification is agreed to.*

**Line Item Budget**

<b>Category</b>	<b>Amount</b>
<i>Strategy A 1,3,4,5,6,7</i>	\$25,000
<i>Strategy A 2 Goal/Benchmarks</i>	\$20,000
<b><i>Total per provider - Strategy A</i></b>	<b><i>\$45,000</i></b>
<i>Strategy B - Maine Apprenticeship Tuition</i>	
<b>Provider</b>	<b>Tuition Reimbursement</b>
XXXXXXX	XXXXXXX
<b><i>Total - Strategy B</i></b>	<b><i>\$ XXXXXX</i></b>
<i>Total Strategy A</i>	<b><i>\$XXXXXX</i></b>
<i>Total Strategy B</i>	<b><i>\$XXXXXX</i></b>
<b><i>Total Contract</i></b>	<b><i>\$XXXXXX</i></b>

Payments are subject to the provider's compliance with all items set forth in this Agreement and subject to the availability of funds. The Department will process approved payments within 30 days.

## Attachment A

### Contract Requirements

#### Employer Assistance Development Requirements

Goal: Ensure integration of demand-side approaches in CareerCenter strategies

#### Benchmarks:

1. Uniform demand-side strategy presentation(s) provided to all CareerCenter staff.
2. Contract review and action planning between managers, REAPs and LEAPs.
3. LWIB approval of Livable wages, Workplace Literacy and Worker Retention as CareerCenter demand-side strategy goals.
4. Staff proficient in Employer Service Strategy (ESS) strategy development.
5. Development of a strategic marketing plan that promotes livable wages, workplace literacy and worker retention through Employer Assistance services.
6. Promotion of and participation in community partnerships to address regional workforce issues.
7. Education of Maine's business community in the benefits of life-long learning and techniques to access retention strategies such as safety training, job satisfaction, business stability and growth, availability/accessibility of CareerCenter services (directly and through partners).
8. Identification of no fewer than four additional benchmarks that have been locally identified with regional needs in mind, for above goal. Benchmarks must be implemented within contract period; submit to BES by September 30, 2000 for addition to this contract. Contract modification will be issued by November 15, 2000.
9. Development of action plans and identification of timeframes for completion of benchmarks. Product must be submitted to BES by October 31, 2000 for addition to this contract. Contract modification will be issued by November 15, 2000.

#### Program Requirements

##### *Maine Apprenticeship Program (MAP)*

1. Completion of at least two site visits per sponsor each year.
2. Monitoring of related instruction and progressive wage scale to ensure compliance with sponsorship/registration requirements.
3. Completion of standard upgrades as necessary.

##### *Governor's Training Initiative (GTI)*

1. Response to GTI requests within 48 hours.
2. Performance of GTI site and progress reviews as requested by GTI staff.
3. Representation of site reviews at the Interdepartmental Review Team Meetings.

##### *Business Visitation Program (BVP)*

1. Presentation and marketing of BVP to local and regional organizations.
2. Utilization of OSOS for BVP data management and entry.
3. Participation in local BVP initiatives.

**Maine Department of Labor**

**Faith-Based and Community Initiative Plan  
July 1, 2005 – June 30, 2006**

Within Maine, efforts to forge stronger ties among faith-based, grass roots community organizations and the traditional workforce development service providers are beginning to take shape. The focus of the Maine Department of Labor's Faith-Based and Community Initiative Plan for the coming year will be to engage a wide variety of organizations in learning more about the opportunities that exist to collaborate with the state's 23 CareerCenters in order to meet the employment needs of their organizations and the communities they serve.

The Plan focuses on three major activities to bring about greater collaboration with faith-based (FBO) and grass roots community-based organization (CBO) – outreach, education and policy development. The key stakeholders in this effort to create meaningful partnerships with these groups include the Maine Department of Labor/ Bureau of Employment Services (MDOL/BES), the Maine Jobs Council (MJC) which operates as the state workforce board there are four local workforce investment areas in the state.

The Plan, which becomes effective July 1, 2005 through June 30, 2006, begins the process of outreach and education at the state, regional and local level and is followed by broader policy development to implement strategies for engaging the CareerCenters with linkages to the faith-based and community-based organizations at the local level.

**I. Outreach and Education**

The BES will re-initiate discussions with the MJC and the Local Boards about the importance of establishing better linkages with FBOs and CBOs to identify the unique opportunities that exist. Similar discussions and presentations will begin with the local CareerCenter management teams. The outcome of these discussions will begin to establish formal linkages between unmet service needs and the potential for these expanded partnerships to bridge the gaps. The elements of this outreach effort will include:

1. The BES will make presentations to the Maine Jobs Council, Local Boards and CareerCenter partners explaining the FBO/CBO Initiative and the opportunity to create important partnerships.
2. Local CareerCenter managers will be requested to develop a schedule for inviting FBOs / CBOs to tour their offices and to cross inform each other of the services/programs provided and who is served and to explore strategies to link services that bridge existing gaps.
3. The BES will convene and facilitate at least four regional forums inviting FBOs/CBOs and CareerCenters to learn more about how they can work together.

4. Encourage Local Boards to appoint members who are connected to local grassroots faith-based organizations to work alongside representatives who are familiar with a broad range of other community groups and service providers.
5. The BES will work with the Local Boards to create a marketing campaign that will educate appropriate local faith-based and community-based organizations about the workforce investment system, including available grants and opportunities for participation and partnership with CareerCenters.
6. The BES will work jointly with the Local Boards to develop outreach materials designed to educate FBOs and CBOs about the workforce investment system and the service provided through the CareerCenters.
7. The BES will work with the MJC and Local Boards to ensure that information on our websites exists about applying for grants or becoming service providers is easy to find and understand for those non-profit organizations that are seeking to partner with the workforce system.

## **II. Community Resource Mapping**

A Community Resource Mapping strategy is an effective approach toward building a stronger, more cohesive network of services and service providers. The process involves a comprehensive survey of programs and services including target areas, eligibility requirements, service strategies, performance measures and funding sources. Through this data collection and mapping process State, regional and local planners are able to develop a collaborative approach amongst service providers in connection to the goals of the workforce development system. The process of Resource Mapping derives the following benefits to the MJC and Local Boards:

1. Recast traditional role of service provider into one of service broker with focus on building a network of service
2. Build strong collaborative partnerships with a variety of community agencies including school districts, churches, city government, social service agencies, business, high education, and other CBOs
3. Justify requests for funding on benefits to broader community
4. Staff work to build inter-institutional partnerships
5. Utilize lessons learned from program to inform policy development
6. Be adequately networked to provide referrals as needed

## **III. Expected Outcomes**

The following outcome/results are anticipated for the Program Years 2003/2004:

1. Increase the number of FBO/CBO members who participate via the MJC and Local Boards
2. Establish four regional FBO/CBO focus groups to plan strategies to connect customers and services to CareerCenters throughout the state.
3. Invite FBO/CBOs to tour a local CareerCenter.
4. Increase referrals by CareerCenters to FBO/CBOs.
5. Establish a working partnership through joint grant-writing or other program development initiative with FBOs/CBOs.

6. Convene a statewide group of FBO/CBO and workforce/economic development members to conduct a community resource mapping process.

#### IV. Timetable / Schedule

	<b>Action Item(s)</b>	<b>Resources</b>	<b>Responsible Parties</b>
1 <sup>st</sup> Qtr	<ol style="list-style-type: none"> <li>1. Outreach/Education of FBO/CBO Initiative to include:</li> <li>2. Mass mailing to organizations.</li> <li>3. Presentations to MJC, LWIB and CC Managers.</li> <li>4. Host 1<sup>st</sup> regional outreach meeting.</li> </ol>	<p>Staff time to conduct information sessions.</p> <p>Faith-Based and Community Initiatives website</p> <p>Local Board and MJC Meetings</p> <p>USDOL/ETA Workgroup</p>	<p>BES</p> <p>LWIBs</p> <p>MJC</p>
2 <sup>nd</sup> Qtr	<ol style="list-style-type: none"> <li>1. Continue outreach</li> <li>2. Host 2<sup>nd</sup> regional outreach meeting.</li> <li>3. Schedule CareerCenter tours.</li> <li>4. Identify representatives from DOL, DHS, DOE and FBO/CBOs to begin work on Community Resource Mapping Process.</li> </ol>	<p>Staff time to conduct outreach.</p> <p>Partner staff.</p> <p>BES staff to develop directory of providers</p> <p>USDOL/ETA Workgroup</p>	<p>BES</p> <p>LWIBs</p> <p>CareerCenter Mgrs.</p> <p>FBO/CBO Reps</p>
3 <sup>rd</sup> Qtr	<ol style="list-style-type: none"> <li>1. Begin Community Resource Mapping project.</li> <li>2. Host 3<sup>rd</sup> regional outreach meeting.</li> <li>3. Schedule CareerCenter tours.</li> </ol>	<p>USDOL/ETA FBO/CBO Initiatives workgroup</p> <p>Staff time to conduct outreach.</p> <p>FBO/CBO Partner staff.</p>	<p>BES</p> <p>LWIBs</p> <p>CareerCenter Mgrs.</p> <p>FBO/CBO Reps</p>
4 <sup>th</sup> Qtr	<ol style="list-style-type: none"> <li>1. Complete Community Resource Mapping project</li> <li>2. Host 4<sup>th</sup> regional outreach meeting to share results of Community Mapping project.</li> <li>3. Present Mapping results to the MJC.</li> <li>4. Develop strategic plan for 2004-2006 cycle.</li> </ol>	<p>Staff time to coordinate and facilitate Community Resource Mapping project.</p> <p>USDOL/ETA FBO/CBO Initiatives workgroup.</p> <p>FBO/CBO staff participation.</p>	<p>BES</p> <p>LWIBs</p> <p>CareerCenter Mgrs.</p> <p>FBO/CBO Reps</p>



**Summary of Information Technology Environment:  
Today and Tomorrow**

Prepared By:  
The Commissioner's Office  
Date: April 8, 2004

# Summary of Information Technology Environment: Today and Tomorrow

## DRAFT

### The Department's driving force:

We can and must serve our clients' needs better and do so more cost effectively. Technology will play a critical role in our ability to achieve this end. As technology and business requirements evolve, it is necessary to periodically "take stock" and assess both our current IT environment as well as our plans for the future. Regular evaluation of the IT direction is critical in order to validate the assumption that our approach to IT is aligned with the mission and business needs of the Department. These factors require us to leverage technology advances while realizing the Department's mission as follows:

#### I. Background

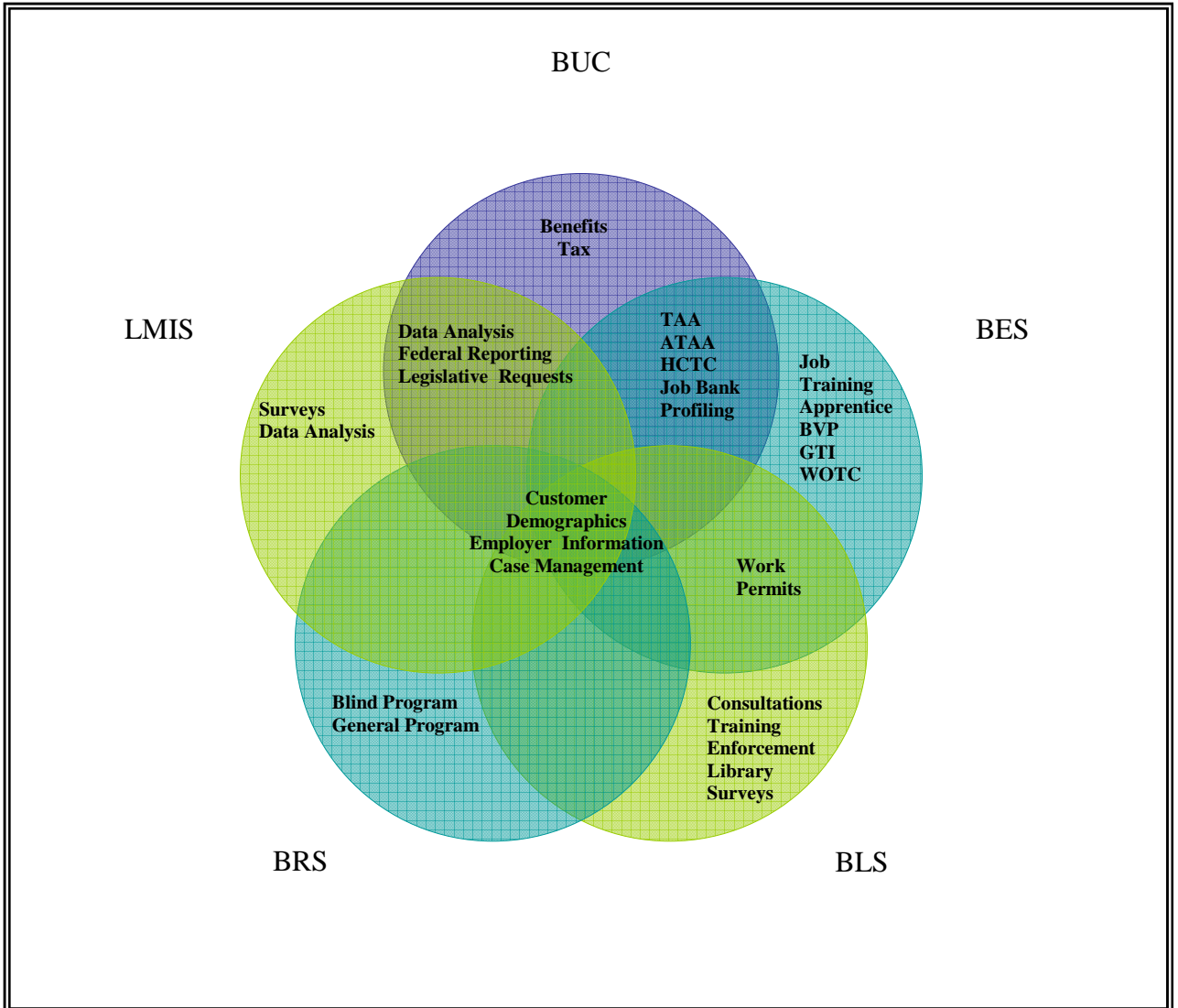
- A. The department is made up of four Bureaus and a Division (BES, BRS, BUC, BLS, and LMIS) to manage MDOL program activity. Although each Bureau/Division has unique goals, there is and will continue to be significant overlap both in the functions performed by staff and in the services delivered to the MDOL customer (see Figure 1: Needs based Departmental Overlap).

Because individual program regulations drove much of the activity in a given Bureau/Division, it was assumed that the isolation that ensued was a natural phenomenon. However, a closer examination reveals that there is much, much more alignment possible than first assumed. To take advantage of this alignment requires taking advantage of the advances in technology.

- B. The other fact of the last nine (9) to ten (10) years is this: the Department's revenues have remained flat or decreased as its expenses have increased not less than 10% to 14%. The key to our (the Department's and its partners') success lies in large part on 'getting more with less', i.e. fundamentally changing what work we do and how we get work done. One, and only one, recognition is that manual processes do not lend themselves to the realization of this end (i.e. 'getting more with less'). MDOL is in a good position to leverage its high degree of automation in order to support the departmental goal of information sharing and well-coordinated service delivery.

All Bureaus must at some level deal with tasks associated with state and federal reporting, financial management, customer service, case management, and information tracking in agreement with business needs. Despite the similarity in these high-level functions, the computer applications in use to support them vary greatly in how they achieve these ends.

**Summary of Information Technology Environment: Today and Tomorrow  
DRAFT**



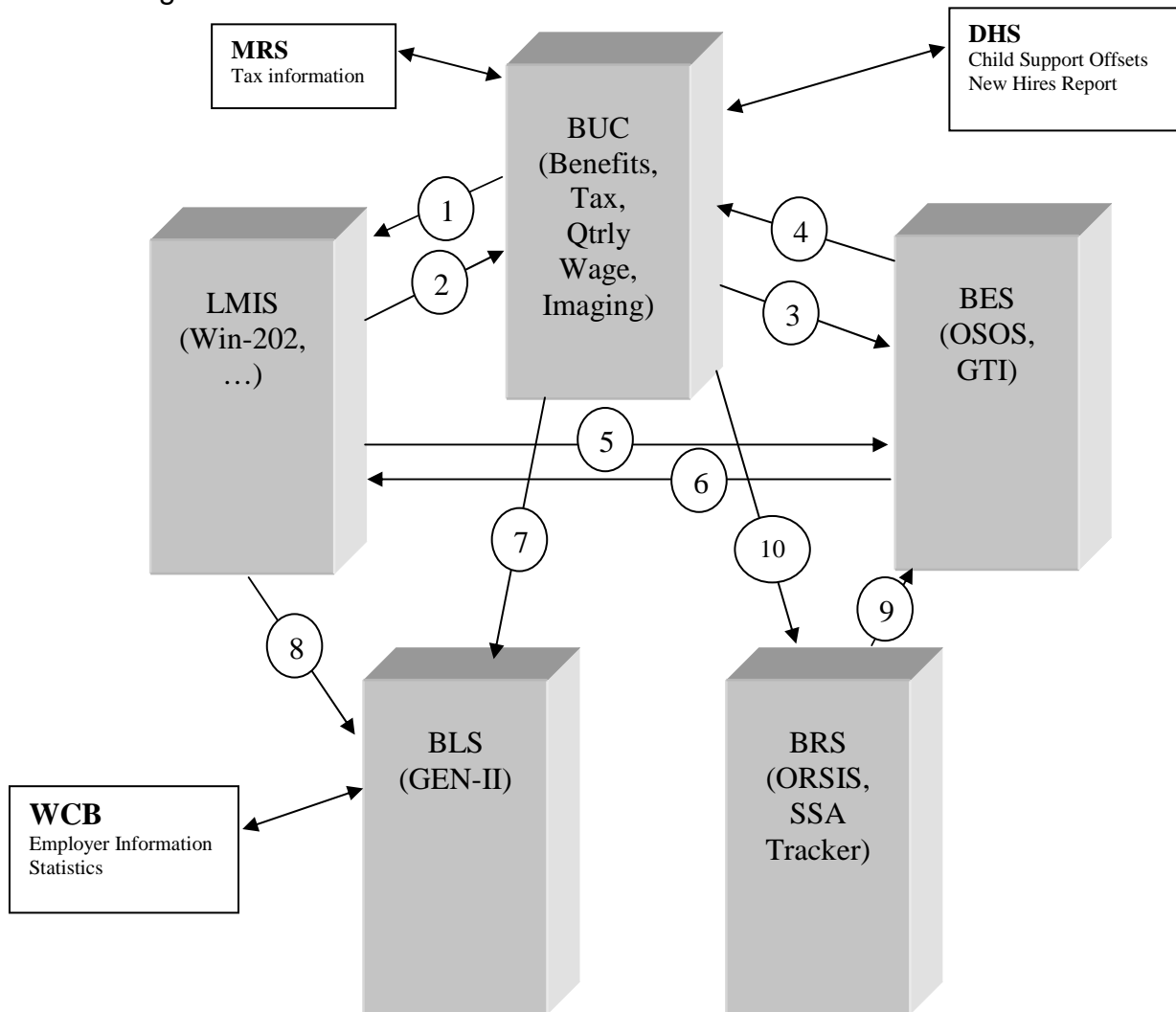
**Figure 1: Needs-Based Departmental Overlap**



**Summary of Information Technology Environment: Today and Tomorrow  
D R A F T**

**II. Vertical Computing: the Department's current IT infrastructure**

The Department's current IT infrastructure reflects the post-mainframe generation of PC and server based technologies. Each Bureau/Division has one or more servers that support their database applications. Staff and, in some cases, the public utilize PCs to access the Bureau's/Division's database applications. The database servers are all on the State WAN and are therefore available to each other for the purposes of information sharing as warranted by their associated applications. The structure is basically one of Bureau-based vertical systems (also frequently referred to as "silos") that communicate for specifically defined and controlled purposes (driven by Bureau/Division needs). See Figure 2.



**Figure 2: Current Limited Information Sharing in the Vertical Computing IT Environment**

**Summary of Information Technology Environment: Today and Tomorrow**  
**D R A F T**

- 1) Data provided from UI to LMIS**  
Weekly, monthly, and annual reports for submission to USDOL  
UI Tax extract for Win-202  
Tax information for experience rating reports  
Benefits data for Federal reporting
- 2) Data provided from LMIS to UI**
- 3) Data provided from UI to BES**  
Claimant information  
    Benefits  
    Wages  
    Profiling  
    TAA Mileage Payments  
    ATAA Eligibility/Payments  
    HCTC  
Employer tax information
- 4) Data provided from BES to UI**  
Job refusals  
WIA training program participation  
TAA status  
ATAA eligibility
- 5) Data provided from LMIS to BES**  
Win-202 Employer information
- 6) Data provided from BES to LMIS**  
Job bank applicant and employer information
- 7) Data provided from UI to BLS**  
Employer tax information
- 8) Data provided from LMIS to BLS**  
Win-202 Employer Information
- 9) Data provided from BRS to BES**  
Client name and address (shared CareerCenter scheduling purposes)
- 10) Data provided from UI to BRS**  
Quarterly wages for specific clients

Today's environment allows for some sharing of information, but it is not conducive, in a cost-effective manner, to a Departmental approach to computing, i.e. "needs-based" computing. While data is shared by the various computer applications, it nonetheless is an environment in which redundant information is collected and stored throughout. For example, a customer's name, address, and demographic information is defined and documented independently in each Bureau's/Division's database. Customers are asked to provide the same information multiple times despite the fact that the specific programs all operate under the MDOL umbrella. Given the self-governing nature of these databases, it is not feasible to measure the services across Department programs for a given

## **Summary of Information Technology Environment: Today and Tomorrow D R A F T**

customer with an assured level of accuracy, nor is it possible to meet the customer's needs in a holistic manner.

Transactions such as case management are, as a consequence of "silos" and "silo-computing", fragmented. The Department recently did a study which demonstrated that a significant (60%+) of the nature of and content of its case management processes is common and a smaller amount is unique to a given program. Additional transactions that depend of Departmental computing, such as 'elimination of paper', Departmental accounting, budgeting, financial management, and, as mentioned, common intake of client data are dependent on the elimination of "silo computing".

### **III. What does the Department's computing look like when its current implementation is complete?**

The implementation that the Department is currently undertaking is called Enterprise Computing. This IT infrastructure represents a more centralized approach than is now possible because of recent technical advances. Because the capacity of the hardware, the maturity of Citrix thin-client technology, and the greater reliability of the Wide Area Network technology, it is now feasible to support all of MDOL's computer operations from a centrally located, controlled environment. In addition, the Enterprise model includes a second physical site for data redundancy. The implications are significant in terms of improved security, disaster recovery, simplified system maintenance, and potential for Departmental integration to meet the "needs-based" Department computing model (see Figure 1). This approach is predicated on the "Enterprise" project currently underway. The hardware and software are currently being configured to allow a migration from today's infrastructure to tomorrow's environment. See Figure 4 for an illustration of the Enterprise environment.

In addition to a centralized application database environment, the future brings expanded options in terms of the availability of central technical resources such as document imaging, printing, and post-processing. These resources exist today but are not fully utilized and, in the case of imaging technology, are today not accessible to the far reaches of the Department.

This implementation also includes a Data Warehouse which for the first time will provide the platform for addressing data needs at a *Departmental* level. It will be the mechanism for providing analysis to better satisfy customer needs, identifying current trends, solving problems, answering ad hoc questions from the Legislature, producing Federal reports, and providing staff throughout the Department with the ability to access their data directly (rather than just through "canned" system reports).

The centralized nature of this infrastructure, currently being tested and soon to

**Summary of Information Technology Environment: Today and Tomorrow**  
**D R A F T**

be installed, makes possible the concept of a “corporate database”. That is, the Department may define and store basic commonly collected information relative to customers in this shared, central repository. A customer may more easily be viewed as a customer of the Department as opposed to a customer of an individual program. For the first time there will be the capacity to produce unduplicated counts of customers and the services they receive.

As they are operating in a shared environment, it is also conceivable that computer applications could share like functionality or common tools. The end result would provide consistency in the application user interfaces and economies of scale in terms of their development and maintenance.

The centralization of information and the introduction of a common repository for common data enable the Department to move in the direction of e-Government. The Enterprise model provides the framework for a Departmental web presence that may offer the customer services across all of the Bureaus and Divisions of the Department. Based on current State initiatives, the Internet will provide the customer with access to State Government and its services through a single portal called My Maine.gov. As the MDOL Enterprise infrastructure is prepared to support a customer needs-based approach, it too is prepared to participate in State-level delivery of service independent of the traditional “silo” environment.

# Summary of Information Technology Environment: Today and Tomorrow DRAFT

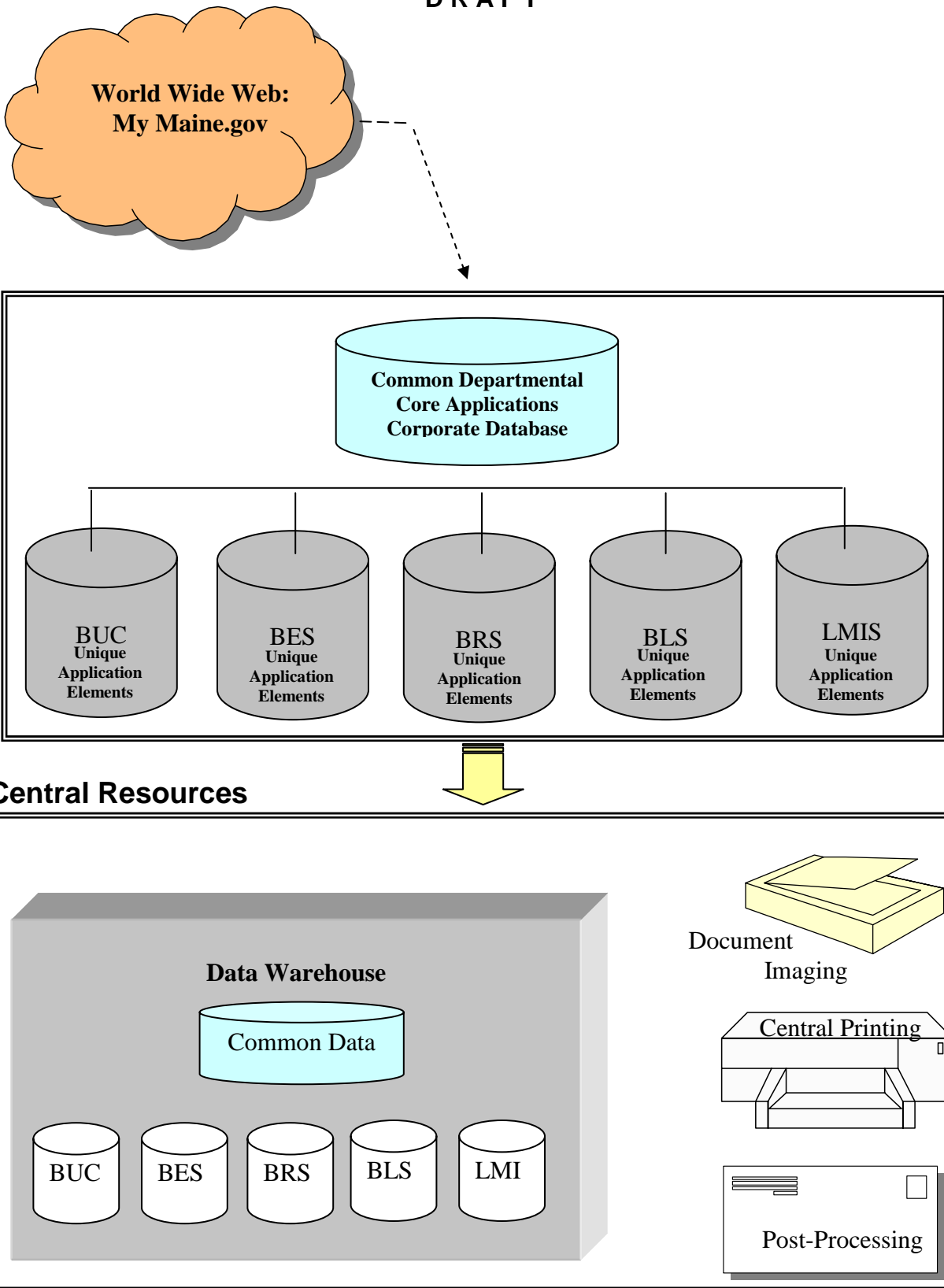


Figure 4: Enterprise Computing Environment

# Summary of Information Technology Environment: Today and Tomorrow

## DRAFT

### IV. What does this all mean?

#### OUTCOMES:

- Common repository for basic customer information (name, address, common core services, etc.) accessible by all Bureau-level applications.
- Data warehouse to store all information to be used for reporting and ad hoc purposes, accessible by all Bureau-level applications as well as other desktop query tools.
- Common centralized resources available to Bureau-level applications (such as an imaging system, a central print environment, and post-processing services).
- Common toolsets where feasible (such as case management, accounting, reporting, budgeting, financial management).

#### BENEFITS:

- \$2M-\$3M / year:  
The Enterprise “needs-based” computing model is estimated to realize \$2M-\$3M/year in savings. The elimination of redundancy in data and processes, an increase in efficiency associated supporting a centralized environment, and an enhanced ability to serve customers in a more deliberate, “needs-aware” manner are factors that contribute to this savings.
- Non-quantifiable improvements:  
Other benefits, such as improved controls and expanded disaster-recovery mechanisms, are advantages that do not necessarily yield a savings in terms of dollar-amounts but represent best practices in how the Department does business.
- Positioning:  
Once the Department’s infrastructure is aligned with the business goal of “needs-based” service delivery, we are in the position to participate in State-level initiatives which involve the sharing of information to better serve customers.

#### COST:

The cost of the Enterprise over five years is estimated to be \$4.4M. This figure includes hardware, software, and software licensing fees. It is important to note, however, that a percentage of this cost would be incurred anyway by the ongoing need to replace hardware and maintain current software licenses.

**Summary of Information Technology Environment: Today and Tomorrow**  
**D R A F T**

**Conclusion**

Based on these data, we are required to continue to implement our current strategy.

# Data Warehouse

Discussion Points:  
Overview, Benefits, and Cost Options

LISPB – October 20, 2004





# Executive Overview

- Data Warehousing is about MDOL business challenges – it's not about the technology
- The data warehouse is a platform for addressing data needs at a *Departmental* level outside of the “silo” oriented operational systems
- The data warehouse is a platform for providing ad hoc access to data, both at the Bureau/Division-level and at the Department level
- The data warehouse is the mechanism for:
  - ✓ Addressing customer needs and solving problems
  - ✓ Identifying current trends
  - ✓ Answering ad hoc questions from the Legislature
  - ✓ Producing Federal reports
- An integral part of the strategy is to recognize MDOL's data as an asset



# Benefits

- Combines multiple data sources into a single, integrated source of data for queries/reports
  - Easy access to shared information
  - Consistent results
  - Improves fraud and abuse detection
- Data is unambiguous
- Improves productivity by reducing manual data gathering and manipulation
- Expedites information requests and furnishes consistent responses using the right information at the right time
- Improves Departmental understanding of the business.



## Benefits (continued)

- Improves quality of:
  - Data integrity in the source Bureau/Division systems
  - Customer service
- Allows for better and more timely decisions
- Provides access to historical data to track trends over time
- Provides ability to model “what if” scenarios
- Improves customer relations by providing access to their MDOL-related information
- Positions MDOL to Bend the Curve

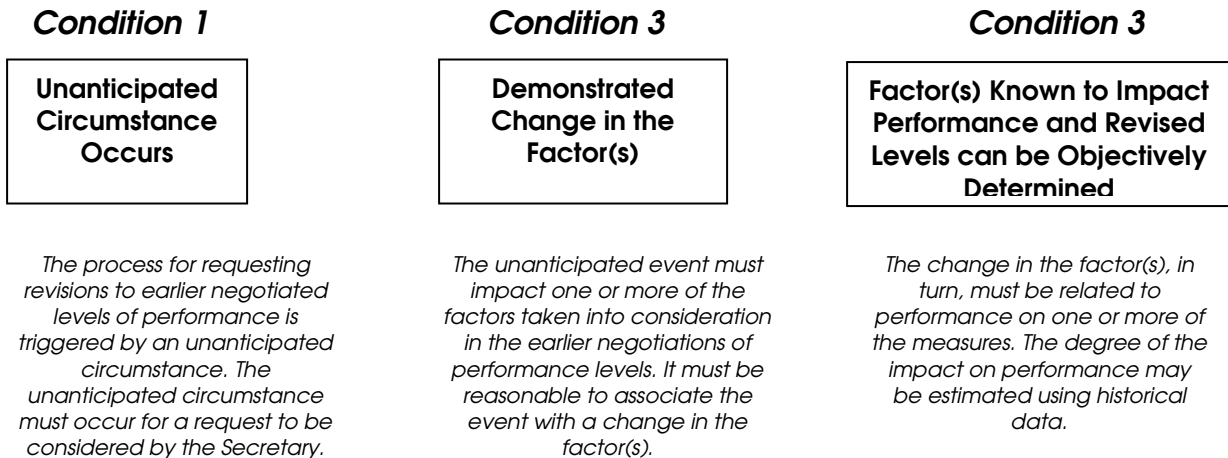
## Guidelines for Revising Levels of Negotiated Performance

### Background

Section 136(b)(3)(A)(vi) of the Workforce Investment Act (WIA) specifies that a Governor may request revisions to state negotiated levels of performance in the event “unanticipated circumstances arise in a state resulting in a significant change in the factors” that include factors described in section 136(b)(3)(A)(iv)(II) of the Act. Additionally, 20 CFR 666.130(a) states the change in factors is to be determined from when the initial plan was submitted and approved. These factors are widely accepted variables known to impact resulting outcomes on one or more of the 17 WIA performance measures. These factors include differences in economic conditions, the characteristics of participants, and the services provided.

There are three conditions for any state workforce agency request for revisions to state negotiated levels of performance to be approved by the ETA Regional Office. These conditions are graphically displayed in a logic model below.

### Relating the Three Conditions



### Condition 1:

Actual performance on the 17 WIA title I measures of performance varies above or below expected levels of performance for a number of reasons. Variations from expected outcomes can also result from significant

changes in factors that are beyond the control of the state workforce agency. In these situations, state workforce agencies should consider submitting requests to revise negotiated levels of performance impacted by the significant change in factors.

Variations from expected outcomes can occur from significant changes in administrative practices within the control of the state workforce agency. Changes in expected performance under these circumstances do not merit revisions to negotiated levels of performance. By themselves, these changes would not be considered the result of “unanticipated circumstances.”

Examples of unanticipated circumstances are listed below. Please note the list of unanticipated circumstances is not exhaustive and does not constrain a state workforce agency from documenting its own experiences that have prompted the need to seek a revision.

- Changes in the characteristics of program participants, such as service to hard-to-serve customer groups, not taken into account in the earlier negotiation(s) on state levels of performance.
- Changes in economic conditions, such as plant closings and mass layoffs.
- Changes in economic assumptions and outlooks.
- Disasters, such as floods, earthquakes, hurricanes, tornadoes, and acts of war.
- Significant changes in federal funds allotted to the state to implement WIA.
- Unanticipated legal or legislative actions that increase the quality of participant outcomes and, as a result, increase the level of effort needed by participants to attain these outcomes. For example, a new state law may impose higher standards for high school graduation. This action would increase the standard needed to attain a diploma or equivalent and could decrease the numbers of graduates.

**Condition 2: Demonstrated Change in the Factor(s)**

The unanticipated circumstance, by itself, does not provide sufficient information to justify a revision in state negotiated levels of performance. There should be sufficient evidence to demonstrate change in one or more factors initially considered when reaching agreement on the state negotiated levels of performance.

Those factors might have been an annual unemployment rate of 5.4%, a baseline adult entered employment rate of 72%, or 53% of the adult participants demonstrating one or more significant barriers to employment. It is worthwhile to keep in mind that an unanticipated circumstance may impact performance measures covering multiple program years.

### **Condition 3: Factor(s) Known to Impact Performance and Revised Levels can be Objectively Determined**

Because unanticipated circumstances are, by definition, outside the normal operating conditions, there can be no predetermined numerical guidelines within which negotiated levels of performance might be revised. However, any justification for revising performance levels should be based on generally acceptable approaches and data sources.

#### **A. Guidelines for Approaches and Data Sources**

- The methods used to determine revisions to negotiated levels of performance must:
  - Adhere to widely accepted statistical practices, including predictive or forecasting techniques where appropriate.
  - Demonstrate a reasonable cause and effect relationship between one or more factors and performance on a measure.
  - Be fair, objective, and yield quantifiable results.
  - Support, and not undermine, state efforts in achieving continuous improvement of workforce investment activities.
  
- The source data must be:
  - Developed by 1) a federal, state or local governmental agency, or 2) some other reputable source such as the state's MIS unit, a university, or a private research foundation.
  - Gathered according to acceptable data collection techniques.
  - Compiled according to widely accepted analytical procedures.
  
- The factors used to determine revisions to negotiated levels of performance include:
  - Differences in economic conditions.
  - The characteristics of participants at the time of registration.
  - Services to be provided to participants.

## Comparison of Performance Measures under WIA &amp; Common Measures

Adults					
Common			WIA		
Performance Measure	Calculation	Date Source	Performance Measure	Calculation	Date Source
<b>Entered Employment Rate</b>	<i>Of those who are not employed at the date of participation:</i> # of participants who are employed in the 1 <sup>st</sup> quarter (qtr) after exit ----- # of participants who exit during the qtr	Wage Records	<b>Entered Employment Rate</b>	<i>Of those who are not employed at registration:</i>  # of adults who have entered employment by the end of the 1 <sup>st</sup> quarter (qtr) after exit ----- # of adults who exit during the qtr	Wage Records & Supplemental Wage Data
<b>Retention Rate</b>	<i>Of those who are employed in 1<sup>st</sup> qtr after exit:</i>  # of participants who are employed in <b>both</b> the 2 <sup>nd</sup> & 3 <sup>rd</sup> qtr after exit ----- # of participants who exit during the qtr	Wage Records	<b>Employment Retention Rate</b>	<i>Of those who are employed in 1<sup>st</sup> qtr after exit:</i> # of adults who are employed in 3 <sup>rd</sup> qtr after exit ----- # of adults who exit during the qtr	Wage Records & Supplemental Wage Data
<b>Earning Increase</b>	<i>Of those who are employed in 1<sup>st</sup> qtr after exit:</i>  Earnings in 1 <sup>st</sup> qtr after exit - Earnings in the quarter prior to the date of participation ----- Earnings in the 1 <sup>st</sup> qtr after exit  -and-	Wage Records	<b>Earnings Change in Six Months</b>	<i>Of those who are employed in 1<sup>st</sup> Qtr. after exit:</i>  [Total Post-Program Earnings (earnings in Qtr 2+Qtr 3 after exit)] - [Pre-Program Earnings (earnings in Qtr 2+Qtr 3 prior to registration)] ----- ----- # of adults who exit during the Qtr.	Wage Records

	<p><i>Of those who are employed in 1<sup>st</sup> qtr after exit:</i></p> <p>Earnings in 3<sup>rd</sup> qtr after exit - Earnings in the 1<sup>st</sup> quarter after exit</p> <p>-----</p> <p>Earnings in the 1<sup>st</sup> quarter after exit</p>				
<b>Efficiency</b>	$\frac{\text{Program Appropriation level}}{\text{\# of Program Participants}}$	Administrative Records			

Youth					
Common			WIA		
Performance Measure	Calculation	Date Source	Performance Measure	Calculation	Date Source
<b>Placement in Employment or Education</b>	<p><i>Of those who are not in post-secondary education, employment, or the military at the date of participation:</i></p> <p># of participants who are in employment or the military or enrolled in post-secondary education and/or advanced training/occupational skills training in the 1<sup>st</sup> qtr after exit</p> <p>-----</p> <p># of participants who exit during the qtr</p>	<p>Wage records for placement in employment and military</p> <p>Administrative records for placement in education or training</p>	<b>Credential Rate</b>	<p>Of those who were in employment, post-secondary education, or advanced training in the 1<sup>st</sup> qtr after exit and received a credential by the end of the 3<sup>rd</sup> qtr after exit</p> <p>-----</p> <p># of older youth who exit during the qtr</p>	Wage records and administrative records
<b>Attainment of a degree or</b>	<i>Of those enrolled in education (at the date of participation or any point</i>	Administrative records	<b>Diploma or Equivalent</b>	<i>Of those register without a diploma or equivalent:</i>	Administrative records



<b>certificate</b>	<i>during the program):</i> # of participants who attain a diploma, GED, or certificate by the end of the 3 <sup>rd</sup> qtr after exit <hr/> # of participants who exit during the qtr		<b>Attainment Rate</b>	# of younger youth who attain a secondary school diploma or equivalent by the end of the 1 <sup>st</sup> qtr after exit <hr/> # of younger youth who exit during the qtr ( <i>except those still in secondary school at exit</i> )	
<b>Literacy and Numeracy Gains</b>	<i>Of those who are basic skills deficient:</i> # of participants who increase one or more educational functioning levels <hr/> # of participants who have completed a year in the program (i.e., one year from the data of program participation) plus the # of participants who exit before completing a year in the program	Administrative records			
<b>Efficiency</b>	Program Appropriation level <hr/> # of Program Participants	Administrative records			