

The Governance Puzzle! - Piecing Together Our Roles and Responsibilities

Key WIOA Roles and Responsibilities

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Roles and Responsibilities	Citations	Governor	State WDB	State Agency/ Official	Chief Elected Official (CEO)	Local WDB	Local Fiscal Agent	Required One Stop Partners	One-Stop Operator
Develop, implement, and modify a 4-year state plan	§ 676.105 (b) § 676.130 (c) § 676.135 (a) § 676.143 (b) § 676.145 § 679.130 (a)	X	●	●					
Identify regions, including planning regions	§ 679.130 (c)(5)	X	●		X	X			
Develop and issue guidance regarding One-Stop infrastructure funding	§ 678.705	X	●		●	●			
Develop allocation formulas for the distribution of funds for employment and training activities for adults and youth to local	§ 679.130 (i) § 683.120	X	●		●	●			
Develop a policy for designation of local areas	§ 679.230	X	●		●	●			
Develop a statewide workforce and labor market information system	§ 679.130 (k) § 679.370 (c)(2)	X	●			X			
Review statewide policies, programs, and recommendations for the comprehensive and streamlined delivery of services	§ 679.130 (b)	X	●						
Identify barriers and means for removing them to better coordinate, align, and avoid duplication	§ 679.130 (c)(1)	X	●						
Develop strategies to support career pathways	§ 679.130 (c)(2)	X	●						
Develop strategies to provide outreach and improved access for individuals and employers	§ 679.130 (c)(3)	X	●						
Develop and expand strategies to meet the needs of employers, workers, and job seekers particularly through industry or sector partnerships	§ 679.130 (c)(4)	X	●						
Provide assistance to local areas to develop and continuously improve the One-Stop delivery	§ 679.130 (c)(6)	X	●						
Develop strategies to support staff training	§ 679.130 (c)(7)	X	●						
Develop and update a comprehensive State performance and accountability measures	§ 679.130 (d)	X	●						
Identify and disseminate information on best practices	§ 679.130 (e)	X	●						
Develop and review statewide policies affecting the coordination of services	§ 679.130 (f)	X	●						
Develop strategies for technological improvements to facilitate access to, and improve the quality of services and activities	§ 679.130 (g)	X	●						

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Develop strategies for aligning technology and data systems across one-stop partner programs	§ 679.130 (h)	X	●						
Preparations of the Annual Reports	§ 679.130 (j)	X	●						
Develop other policies as may promote statewide objectives and enhance performance	§ 679.130 (l)	X	●						
Establishes criteria, information requirements, and procedures governing the eligibility of training providers and programs	§ 680.430 (a) § 680.450 (c)	X	●						
Facilitate data matches between Eligible Training Provider (ETP) records and Unemployment Insurance (UI) wage data in order to produce the report	§ 677.230 (e)(1)	X		Designated Agency					
Create and disseminate the WIOA performance reports	§ 677.230 (e)(2)	X		Designated Agency					
Coordinate the dissemination of the performance reports with the ETP list and the information required to accompany the list	§ 677.230 (e)(3)	X		Designated Agency					
Determine the eligibility of training providers and programs	§ 680.430 (b)	X		Designated Agency					
Reach agreement on local negotiated levels of performance based on a negotiations process before the start of a program year with the use of the objective statistical model	§ 677.210 (c) § 677.220 (a)(1)(i) § 679.370 (j)	X			X	X			
[May] approve the Local WDB to be the One-Stop Operator	§ 678.600 (c)(6) § 679.410 (a)	X			X				
[May] select a Local WDB as a One-Stop Operator through sole source procurement	§ 678.610 (d)	X			X				
Determine whether or not a Local WDB may act as a provider of career services	§ 679.410 (b) § 680.160	X			X				
If applicable, apply the State funding mechanism if a consensus agreement for local One-Stop partner contributions is not reached	§ 678.730 - 738	X			●	●		X	
Develop a policy and process for identifying regions	§ 679.210 (b)	X			●	●			
Request a waiver of statutory or regulatory requirements under WIOA or W-P	§ 679.620 (b)	X			●				
[May] establish policies and procedures for determining dislocated worker eligibility	§ 680.130 (b)	X				X			
[May] increase the reimbursement rate for OJT contracts	§ 680.730	X				X			
Sign a grant agreement, including a statement assuring compliance with the Wagner-Peyser Act and all applicable rules and regulations	§ 652.400 (b)	X							
[May] designate a State agency (or appropriate State entity) to assist in carrying out the performance reporting requirements	§ 677.175 (c)	X							
[May] apply additional performance indicators to local areas	§ 677.205 (b)	X							
Develop and disseminate the performance negotiations process	§ 677.210 (d)	X							

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[May] provide incentive grants, if so determined, to local areas for performance on the primary indicators of performance	§ 677.215 (a)	X							
[May] use non-Federal funds to create incentives for the Local WDBs to implement pay-for performance contract strategies	§ 677.215 (b)	X							
Provide or make a request for technical assistance to a local area that fails to meet the agreed upon adjusted levels of performance	§ 677.220 (a)	X							
Take corrective actions if a local area fails to meet the adjusted levels of performance agreed to for the same primary indicators of performance for the same core program authorized under WIOA title I for a third consecutive program year	§ 677.220 (b)	X							
Designate one or more State agencies to assist in overseeing Eligible Training Provider (ETP) performance and facilitating the production and dissemination of ETP performance reports	§ 677.230 (e)	X							
[May] determine TANF will not be a required partner	§ 678.405(b)	X							
If applicable, approve the conflict of interest policies and procedures for a Local WDB to act as an One-Stop Operator	§ 678.610 (d)	X							
Establish the State WDB, appoint members, select a chairperson, and establish by-laws	§ 679.110 (a), (c), and (d)	X							
[May] convey voting privileges to non-required members on the State WDB	§ 679.110 (g)	X							
Assign local areas to a region	§ 679.210 (a)	X							
Designate local areas	§ 679.220 (b)	X							
Certify the Local WDB every 2 years	§ 679.310 (a) § 679.350	X							
Establish criteria for the CEO to select members of the Local WDB	§ 679.320 (a)	X							
Determine whether or not a Local WDB may receive a waiver to provide training services	§ 679.410 (c)	X							
Establish and disseminate a policy for the submission of local and regional plans	§ 679.500 (c) § 679.540 (b)	X							
Review regional and local plans	§ 679.520 § 679.570	X							
Establish procedures governing the modification of regional plans.	§ 679.530 § 679.580	X							
[May] Establish performance criteria work-based training providers must meet to receive funds	§ 680.530 (b)	X							
Develop a State monitoring system and monitor Local WDBs and regions annually	§ 683.400 (c)(2)	X							
Enter into good-faith negotiations	§ 678.510 (a)	● Only if requested	● Only if requested	● Only if requested	X	X		X	

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Work collaboratively to establish and maintain the One-Stop delivery system, including joint funding	§ 678.420 (b)(2)		X	●		X		X	
Establish objective criteria and procedures for Local WDBs to use when certifying One-Stops	§ 678.800 (a)		X		●	●			
Review and update the criteria for certifying One-Stops every 2 years as part of the review and modification of State plans	§ 678.800 (a)(1)		X		●	●			
Disclose any potential conflicts of interest arising from the relationships of the operators with particular training service providers or other service providers	§ 678.600 (e)(1)		X			X			X
Ensure practices <i>ARE NOT</i> established that create disincentives to providing services to individuals with barriers to employment who may require longer- term career and training services	§ 678.600 (e)(2)		X			X			X
Comply with Federal regulations and procurement policies relating to the calculation and use of profits	§ 678.600 (e)(3)		X			X			X
Ensure compliance with Sunshine Act provisions	§ 679.140 § 679.390		X			X			
[May] impose limits on ITAs, such as limitations on the dollar amount and/or duration (must be described in the State or Local Plan, respectively)	§ 680.310 (a)		X			X			
Establish a policy defining "unable to compute or solve problems, or read, write, or speak English at a level necessary to function on the job, in the individual's family, or in society."	§ 681.290 (a)		X			X			
Carry out the roles of the Local WDB (Single-Area State)	§ 679.310 (f)		X						
Carry out rapid response activities	§ 682.310 (a)			The State	X	X			
Ensure there are sufficient numbers and types of providers of career services and training services	§ 679.370 (m)			The State		X			
Submit quarterly financial reports	§ 683.300 (c)			The State		X			
Submit a State annual performance report	§ 677.160 (a)			The State					
[May] establish additional indicators of performance	§ 677.165			The State					
Use quarterly wage record information in measuring a State's performance on the primary indicators of performance	§ 677.175 (a)(1)			The State					
Make performance reports available to the public annually	§ 677.205 (c)			The State					
Establish the threshold for failure to meet adjusted levels of performance for a local area	§ 677.220 (a)(1)			The State					
Develop a procedure for approving waivers for a Local WDB to provide training services	§ 679.410 (c)(1)			The State					

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Examine lease agreements and property holdings throughout the One-Stop delivery system in order to use property in an efficient and effective way	§ 678.310 (c)			States		●			
Agree to amounts and methods of calculating amounts each One-Stop partner will contribute for One-Stop infrastructure funding, include the infrastructure funding terms in the MOU, and sign the MOU	§ 678.715 (a) § 679.370 (k)				X	X		X	
Approve other entities that carry out a workforce development program to serve as additional partners in the One-Stop delivery system	§ 678.410 (a)				X	X			
[May] enter into an agreement that describes the respective roles and responsibilities of the parties	§ 679.310 (c)				X	X			
Sit on the State WDB (two or more statewide collectively representing both cities and counties)	§ 679.110 (b)(3)(iii)(A)(2)				X				
Appoint the Local WDB in accordance with State criteria	§ 679.310 (a) § 679.350				X				
If the local area includes more than one unit of government, must specify CEO liability across individual jurisdictions in a written agreement and [may] also include a description of CEO responsibilities.	§ 679.310 (e) § 683.719 (b)(2)				X				
Establish by-laws, consistent with State policy for Local WDB membership	§ 679.310 (g)				X				
Select Local WDB members and establish a formal nomination and appointment process	§ 679.320 (a), (g)				X				
[May] designate an entity to serve as a local fiscal agent and ensure this agent has clearly defined roles and responsibilities	§ 679.420 (a)				X				
Identify the entity responsible for the disbursement of grant funds	§ 679.560 (b)(14)				X				
Serve as the local grant recipient and is liable for WIOA grant funds allocated to the local area under WIOA secs. 128 and 133	§ 680.100 (b) § 683.710 (b)(1)				X				
Enter into (and sign) an MOU	§ 678.420 (c) § 678.500				●	X		X	
Set policy for the portion of the statewide workforce development system within the local area and consistent with State policies	§ 679.310 (b)				●	X			
Develop, implement, and modify a 4-year local plan	§ 679.310 (d) § 679.370 (a) § 679.550				●	X			
Conduct oversight of youth, adult, dislocated worker activities, and entire One-Stop delivery system in the local area	§ 679.370 (i)(1)				●	X			
Ensure the appropriate use and management of funds	§ 679.370 (i)(2)				●	X			
Ensure the appropriate use, management, and investment of funds to maximize performance outcomes	§ 679.370 (i)(3)				●	X			
Develop a budget for the activities of the Local WDB	§ 679.370 (o)				●	X			

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Establish in the MOU how infrastructure costs and other shared costs of the One-Stops will be funded	§ 678.510 (b) § 678.715 (c)					X		X	
[May] establish other service hours for a comprehensive One-Stop at other times to accommodate the schedules of individuals who work on regular business days	§ 678.305 (c)					X			
Report to the State WDB, Governor, and relevant State agency when MOU negotiations with One-Stop partners have reached an impasse	§ 678.510 (c)					X			
Select the One-Stop operator through a competitive process at least once every 4 years	§ 678.605 (a) § 679.370 (l)(4)					X			
If applicable, establish sufficient conflict of interest policies and procedures if the Local WDB will act as an One-Stop Operator	§ 678.610 (d)					X			
Clearly articulate the role of the one-stop operator	§ 678.620 (a)					X			
[May] establish additional roles of the One-Stop Operator	§ 678.620 (a)					X			
[May] establish additional criteria, or set higher standards for service coordination, than those set by the State	§ 678.800 (d)					X			
Review and update the One-Stop Certification criteria every 2 years as part of the local plan update process	§ 678.800 (d)					X			
Certify the effectiveness, physical and programmatic accessibility, and continuous improvement of One-Stop center and the One-Stop systems at least once every 3 years	§ 678.800 (d) § 679.370 (p), (q)					X			
Elect a chairperson from among the business representatives on the WDB	§ 679.330					X			
[May] establish standing committees	§ 679.360 (a)					X			
If applicable, develop, submit, and modify a regional plan	§ 679.370 (a) § 679.510 § 679.530 (b)					X			
Conduct workforce research and regional labor market analysis	§ 679.370 (c)					X			
Convene local workforce development system stakeholders to assist in the development of the local plan and in identifying non-Federal expertise and resources to leverage support activities	§ 679.370 (d)					X			
Promote business representation on the local WDB	§ 679.370 (e)(1)					X			
Develop effective linkages with employers that increases employer utilization of the system	§ 679.370 (e)(2)					X			
Ensure that workforce investment activities meet employers needs and support economic growth	§ 679.370 (e)(3)					X			
Develop and implement strategies that meet employers and workers employment and skill needs	§ 679.370 (e)(4)					X			

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Lead efforts to develop and implement career pathways with representatives of secondary and postsecondary education programs	§ 679.370 (f)					X			
Lead efforts to identify and promote proven and promising strategies and initiatives for meeting the needs of employers, workers and job seekers	§ 679.370 (g)					X			
Use technology to facilitate connections among intake and case management information systems	§ 679.370 (h)(1)					X			
Use technology to facilitate access to services provided through the One-Stop delivery system	§ 679.370 (h)(2)					X			
Use technology to meet the needs of individuals with barriers to employment	§ 679.370 (h)(3)					X			
Use technology to leverage resources and capacity within the local workforce development system	§ 679.370 (h)(4)					X			
Select, and where appropriate terminate, providers	§ 679.370 (l)					X			
Coordinate activities with education and training providers	§ 679.370 (n)					X			
Review applications to provide adult education and literacy activities	§ 679.370 (n)(1)					X			
Make recommendations to the eligible adult education and literacy agency to promote alignment with the local plan	§ 679.370 (n)(2)					X			
Replicate and implement cooperative agreements to enhance the provision of education and training services	§ 679.370 (n)(3)					X			
Assess, on an annual basis, the physical and programmatic accessibility of all One-Stops	§ 679.370 (p)					X			
Determine the appropriate mix of adult and dislocate worker services	§ 680.140 (a)					X			
Determin when follow-up services must be provided to adults and dislocated workers	§ 680.150 (c)					X			
Determine documentation requirements for providing training services without first providing career services	§ 680.220 (b)					X			
[May] require additional criteria and information from local training providers as criteria to become or remain eligible in that local area	§ 680.430 (e)(1)					X			
Develop a policy for use of OJT contracts for eligible employed workers	§ 680.710					X			
Criteria for an employer to be eligible to receive local incumbent worker training	§ 680.810					X			
[May] establish limits on the provision of supportive services	§ 680.920					X			
[May] designate a standing youth committee	§ 681.100					X			
With the Governor's approval, [may] transfer up to 100 percent of funds between adult and dislocated worker funding allocations	§ 683.130					X			

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When there is a change in the CEO(s), inform the new CEO(s), in a timely manner, of their responsibilities, liabilities and need to review and update any written agreements among the CEO(s).	§ 683.710 (b)(3)					X			
[May] procure contracts or obtain written agreements	§ 679.420 (c)(1)					●	X		
[May] conduct financial monitoring of service providers	§ 679.420 (c)(2)					●	X		
[May] ensure independent audit of all employment and training programs	§ 679.420 (c)(3)					●	X		
Provide representation on the State and Local WDBs as required and participate in board committees as needed	§ 678.420 (e)							X	
[May] provide guidance to State merit staff employees regarding Wagner-Peyser Act labor exchange services	§ 652.216 § 678.630								X
Coordinate service delivery of required partners and service providers	§ 678.620 (a)								X
[May] coordinating service providers across the one-stop delivery system, be the primary provider of services within the center, provide some of the services within the center, or coordinate service delivery in a multi-center area	§ 678.620 (a)								X
[May] provide career services	§ 680.160								X
Collect performance information and determine whether work-based training providers meet any established criteria	§ 680.530 (c)								X
Disseminate information identifying work-based training providers and programs that have met performance criteria	§ 680.530 (d)								X
Receive Funds	§ 679.420 (b)(1)						X		
Ensure sustained fiscal integrity and accountability	§ 679.420 (b)(2)						X		
Respond to financial audits	§ 679.420 (b)(3)						X		
Maintain proper accounting records and adequate documentation	§ 679.420 (b)(4)						X		
Prepare financial reports	§ 679.420 (b)(5)						X		
Provide technical assistance to subrecipients regarding fiscal issues	§ 679.420 (b)(6)						X		

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