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STATE OF ALABAMA

August 31, 2012

Heather Fleck, National Contact
U.S. Department of Labor
Employment and Training Administration
Office of Workforce Investment
200 Constitution Avenue, NW
Washington, DC 20210

Dear Ms. Fleck:

We are pleased to forward for your review the Workforce Investment Act Title I-B/Wagner Peyser State of Alabama Integrated Workforce Plan for Program Years 2012 through 2016 (July 1, 2012 – June 30, 2017). The five year Plan, which provides details regarding emerging systems and programs fashioned to align Alabama's workforce development systems with the dynamics of a demand-driven local, regional, and national economy, is prepared in accordance with Training and Employment Guidance Letter (TEGL) No. 21-11 specifications.

Much has been accomplished in Alabama under the Workforce Investment Act/Wagner-Peyser Programs, yet more remains to be done. The continued development of a well-trained, well-educated Alabama labor pool is essential to sustain and expand the capacity of our continued economic growth.

Please contact Steve Walkley, Division Chief, Alabama Department of Economic and Community Affairs Workforce Development Division, at 334.242.5300 with any questions.

Sincerely,

A handwritten signature in cursive script that reads "Robert Bentley".

Robert Bentley
Governor

RB:JB:sc

Enclosure

c: Dr. Helen Parker



ALABAMA INTEGRATED WORKFORCE PLAN

2012-2016

WORKFORCE INVESTMENT ACT

WAGNER-PEYSER ACT

**Submitted August 31, 2012
Re-submitted October 17, 2012**

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Program Administration and Designees and Plan Signatures

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State Integrated Workforce Plan Development Process

The Governor's involvement in the development of the State Integrated Workforce Plan for the Workforce Investment Act (WIA) and Wagner-Peyser Act Programs is largely through Executive Order 21 (Attachment 1), which provided a coordinating mechanism for workforce development in Alabama. Through his approval of the "Accelerate Alabama" Strategic Economic Development Plan, he has approved those actions on which this plan is based.

The State Integrated Workforce Plan, posted on the Alabama Department of Economic and Community Affairs' website, at www.adeca.alabama.gov, was available for comment on and input into the development of the State Integrated Workforce Plan prior to U.S. Department of Labor submission. This was considered to be the most effective manner to communicate with all interested parties.

Two agencies, the Alabama Department of Industrial Relations (DIR) (Wagner-Peyser and Labor Market Information (LMI)) and the Alabama Department of Economic and Community Affairs (ADECA) – Workforce Development Division (WDD) ((WIA) Title I-B) worked together throughout the plan development process to ensure complete collaboration on the project. During the development process of this Plan the Alabama Department of Industrial Relations (Wagner-Peyser and Labor Market Information) entity transitioned to become the Alabama Department of Labor (ADOL) on October 1, 2012.

As the State's strategic activities are continuously evolving to meet the needs of the workforce system, this Plan should not be considered absolute. Pertinent changes will be addressed as necessary and the Plan modified to accommodate new issues and concerns with the State's workforce partnerships and training endeavors.

**Alabama's Workforce Development
State Integrated Workforce Plan
July 1, 2012 – June 30, 2016**

I. State Workforce Strategic Plan

A. Governor's Vision

The vision for Alabama's workforce development is to provide a market-driven system that delivers services to customers using an innovative and comprehensive approach. To facilitate this effort Gov. Robert Bentley issued Executive Order Number 21 creating the Alabama Economic Development Alliance to more effectively and efficiently utilize the job creation and workforce development assets of the State of Alabama. The Alabama Economic Development Alliance consisting of State agencies, the Alabama Community College System, University and research organizations and local economic development agencies led the economic development strategic plan for the State known as "Accelerate Alabama."

1. State Workforce System Strategic Direction:

Eleven targeted business sectors, along with areas of focus for each, have been identified for the state of Alabama to focus its recruitment, retention and renewal efforts over the next three years. The determination of the targets identified for "Accelerate Alabama" involved thorough research, including the review of the current business/industry base in Alabama, current targeted sectors of state, regional and local economic development organizations in Alabama, as well as the various power providers, recent project activity, and other emerging sectors that have shown growth at the national, state and possibly local level. The strengths of Alabama, related to each sector, have also been considered. These targeted sectors are: (1) Advanced Manufacturing industries which include aerospace defense, automotive, agricultural products/food production, steel/metal, forestry products, chemicals, (2) Technology including; biosciences, information technology, enabling technologies (nano, photonics, robotics), (3) Corporate Operations and (4) Distribution/Logistics.

2. Workforce Preparation, Skill Development, Education, & Training Investments:

Alabama has been very successful with industrial recruitment through combined efforts, which rival that of any state. The state must also continue to focus on retaining and expanding jobs of existing industries by ensuring the workforce is well trained and training needs of business/industry are met. Other areas, important to the retention and expansion of jobs in the state, include

continuing support for export development and contractors in the state. The Alabama Community College System (ACCS), which is comprised of 22 comprehensive community colleges and four technical colleges, Alabama Industrial Development Training (AIDT), and the Alabama Technology Network (ATN); under the umbrella known as the Alabama Workforce Training System (AWTS). The AWTS is part of Governor Bentley's plan to coordinate workforce training efforts in the state. Formally aligning these efforts will result in better training for employees and services for companies in Alabama. These entities which comprise AWTS are represented on the Alabama Workforce Investment Board. A well-educated and trained workforce for Alabama's existing business/industry is essential, resulting in their growth and development in the state long-term.

- a. Develop and implement a program to communicate education and workforce services available to business, workers, and students.
- b. Build a more efficient and more collaborative alignment of workforce programs through oversight by the Alabama Workforce Investment Board.

3. Major Initiatives:

- a. Develop programs (high school, two-year, four-year) to produce qualified workers with skills that are in urgent demand, such as industrial maintenance technicians, industrial and electrical engineers, IT professionals, welders, sheet metal workers, robotic technicians, etc.
- b. Utilize technology, long-distance learning, etc. to extend education and training resources in the state to more Alabamians and develop strategies for enhancing awareness of opportunities. This is being accomplished via ADOL Community College TAACT discretionary grant.
- c. Ensure industry is aware of workforce training initiatives that meet skill shortage requirements.
- d. Evaluate existing studies to identify, by region, the infrastructure projects that would have the greatest impact on economic development recruitment.
- e. Determine what transportation (water, rail and air) or community infrastructure (water, sewer, and telecom) investments can create opportunities in the state, including in rural, underserved regions.

- f. Provide a workforce whose skills are aligned with the needs of future prospects.
- g. Strengthen the Training for Existing Business and Industry (TEBI) programs in Alabama Community colleges through a “re-engineering” and “re-focus” process.
- h. Develop and implement the Governors Small Business Assistance initiative through the ACCS, AWTS and TEBI programs.
- i. Develop a strategic plan based on business and student needs aligned with current and future job opportunities across the state.

4. Workforce Development Partner Alignment (*Governor’s vision for aligning efforts among workforce development partners to achieve accessible, seamless, integrated, and comprehensive services*)

- a. Alabama’s vision is to provide a workforce whose skills are aligned with the needs of current and future employers. This will be accomplished by coordinating the various state, federal, and local workforce educational programs and assessing the programs at two-year community colleges to determine the alignment with the eleven targeted sectors. Use of available labor market information and existing industry input to assess current workforce needs; identify skill sets; and job classifications that are in the greatest demand. The goal of “Accelerate Alabama” is to ensure the formal alignment of workforce services within the workforce system. This will be accomplished by:
 - i. Implement common strategies that are business focused to stay current and meet the needs of existing industry.
 - ii. Build a more efficient and collaborative alignment of workforce partner programs.
 - iii. Ensure that designated staff in the system are trained at the appropriate levels for maximum knowledge of all training services to assist companies and individuals.
 - iv. Develop user-friendly and easier access to workforce training services.
 - v. Create a database that indicates services a company has received or needs.
 - vi. Integrate WIA and other federal and private workforce funds and services.

5. Economic Development Needs (*programs and activities that will support the state’s economic development needs*)

- a. The Governor’s vision for aligning efforts among workforce development programs to achieve accessible integrated and comprehensive services was expressed by creating the Alabama Economic Development Alliance through Executive Order 21 in July 2011. The purpose of the Alliance is to promote economic development by working in collaboration to ensure the recruitment, retention, and renewal of business and industry in Alabama. The Alabama Economic Development Alliance developed the strategic economic plan for the State, known as “Accelerate Alabama”. This plan was formally embraced by Gov. Bentley in January 2012. The Plan is centered on three economic development drivers to address Alabama’s economic development and workforce needs for the next three years.

Recruitment will consist of programs that focus on the attraction of new business and industry. The Alabama Department of Commerce and Alabama Marketing Allies will lead statewide recruitment efforts.

Retention will consist of programs the focus on the retention and expansion of existing businesses and industry. The Alabama Workforce Training System, the Alabama Workforce Investment Board, and the Alabama Career Center System will assist in statewide retention efforts.

Renewal will consist of programs that focus on job creation through innovation, entrepreneurship, research and development, and commercialization. The University and Research Organization will lead statewide renewal efforts.

- b. Consider support for a Rural Infrastructure or Development Fund targeted to Alabama’s favored geographic areas that provides financial assistance for infrastructure and other activities that enhance economic growth and development.
- c. Partner with the Center for Rural Entrepreneurship to develop other programs in Alabama to support small business/entrepreneurs.
- d. Alabama’s economic development goals for attracting, retaining, and growing business and industry within the State, as expressed by the Alabama Department of Commerce, are as follows:
 - i. Enhance Alabama’s national and international branding

- ii. Identify growth sectors and business sectors that are of importance to Alabama's economy
- iii. Identify, recruit, and develop investment projects of Statewide and regional significance resulting in new job creation
- iv. Improve Alabama's competitiveness as a world-class film industry business and production destination
- v. Assist and support local and regional economic development organizations in their missions to attract new businesses, retain existing industry and expand existing businesses
- vi. Identify and coordinate with local and regional economic development partner's business retention projects of Statewide significance
- vii. Increase export sales of Alabama products and services
- viii. Support and encourage job creation in non-established, non-traditional regions

B. Economic and Workforce Information Analysis

- 1. Labor Market and Economic Context** *(describe the labor market and economic context in which the state's workforce system (including all the programs in the Integrated Workforce Plan) is operating, based on accurate and timely labor-market, demographic, and economic information, with particular attention given to high-need, underserved, under-employed, and/or low-skilled subpopulations. (WIA Sections 112(b)(4), 112(b)(17)(A)(iv), 112(b)(18), W-P Sections 8(b) and 15.) Include an assessment of the needs of constituents within the state who will become, or currently comprise, the state's workforce, particularly those needs which can be addressed by the programs included in the Integrated Workforce Plan.*

From the Appalachian foots hills to the Gulf of Mexico, Alabama offers a diversity of demographics and industries.

Alabama is home to three major international auto manufacturers (Mercedes, Honda and Hyundai) and with more than 711,000 cars and light trucks manufactured in 2010, Alabama continues to grow as a major automotive hub.

Putting a man on the moon was largely accomplished in Huntsville, where NASA built the Saturn V rocket. Today, Boeing, Lockheed Martin, Raytheon and Teledyne Brown are among 280 aerospace-defense-related companies calling Alabama home.

The University of Alabama at Birmingham (UAB) is an international hub in life sciences. As the state's largest employer, with 18,000 people, UAB is a global leader in healthcare and medical research. Huntsville's HudsonAlpha Institute for Biotechnology is among the research leaders in the Human Genome Project, the international scientific project to determine the sequence of DNA.

The steel industry is alive and well in Alabama. German-based ThyssenKrupp Steel chose a site near Mobile for a \$5 billion steel-making plant that will employ 2,700.

Alabama's chemical manufacturing industry is the second largest exporter in the state with \$1.4 billion output in 2009. More than 9,000 Alabamians are employed by some 200 chemical companies.

Food processing is vibrant. Alabama ranks second nationally in catfish sales and is the third-largest broiler producer in the country.

Alabama forests are equal to the size of Massachusetts, Connecticut, Rhode Island, New Hampshire, and Delaware – combined (28.3 billion cubic feet of standing timber.) With 850 companies statewide, forestry is a leading manufacturing sector posting \$15 billion annually in products and directly employing 70,000 with an annual payroll of \$2.2 billion.

Alabama boasts of three major tire manufacturing plants employing 3,500; B.F. Goodrich, Goodyear, and Michelin.

Birmingham and Mobile are two of the 50 Most Logistics Friendly Cities ranked by Material Handling & Logistics magazine. At the crossroads of the Sunbelt with a major ocean port in Mobile, five interstates and abundant rail, Alabama has more than ample distribution and warehousing capabilities.

The State's seasonally adjusted unemployment rate, at 7.8 percent in June 2012, was up from May's rate of 7.4 percent and was below the year-ago rate of 9.3 percent; the national rate was 8.2 percent. Nonagricultural Wage and Salary Employment saw a decrease of 4,800 in June. The declines occurred primarily in Government and Educational and Health Services. Over the year, there was a decrease of 200 jobs. The losses occurred mainly in Government, Construction, and Information.

The Goods Producing sector gained 900 jobs in June 2012 with increases concentrated mainly in Manufacturing. There was a decrease of 3,500 jobs over the year. Annual losses occurred chiefly in Construction.

The Durable Goods Manufacturing sector gained 1,100 jobs from May 2012 due to some increases in Wood Product and Transportation Equipment Manufacturing.

There was a gain of 5,000 jobs over the year with the majority of the increases occurring in Transportation Equipment Manufacturing and Primary and Fabricated Metal Manufacturing.

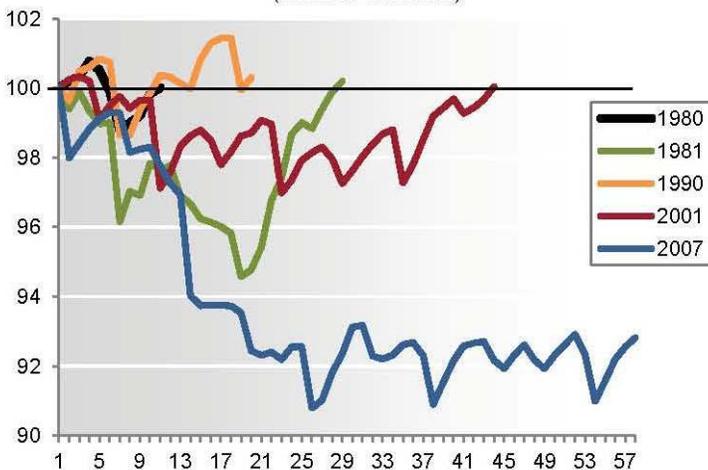
Non-Durable Goods employment lost 100 jobs in June 2012. Most published industries experienced only slight changes, while Paper Manufacturing led the way. Over the year, the sector lost 1,500 jobs with declines occurring primarily in Apparel Manufacturing and Textile Mills.

The Service-Providing sector lost 5,700 jobs in June 2012 due mainly to decreases in Government and Educational and Health Services. Annually, the gain of 3,300 jobs was centered in Leisure and Hospitality; Professional and Business Services; Trade, Transportation, and Utilities; Educational and Health Services; Other Services; and Financial Activities.

In June 2012 Alabama's nonfarm employment totaled 1,875,200, still 151,500 below the nonfarm employment peak of 2,026,700 that occurred in December, 2007. Over the 12 month period ending in June 2012, the state lost a total of 200 jobs. Goods producing businesses lost 3,500 while the service providing sector gained 3,300 jobs. Among good producers, manufacturing added 3,500 jobs, and construction lost 7,000

jobs. Construction had losses in construction of buildings (3,000), heavy and civil engineering construction (1,000), and specialty trade contractors (3,000). Over the last 12 months the sectors that saw gain in Manufacturing were primary and fabricated metal manufacturing (900), transportation equipment manufacturing (500). Several Manufacturing sectors had noticeable losses over the last 12 months. These include wood product manufacturing (500), furniture and related product manufacturing (600), textile mills (600), and apparel manufacturing (800). The rest of the sectors were either constant or had small losses over the last 12 months.

Level of Alabama Employment Compared to the Beginning of Each Recession (Number of Months)



Source: Alabama Department of Industrial Relations.

Among service providing firms, employment gains between June 2011 and June 2012 were primarily associated with leisure and hospitality (6,600), professional and business services (4,300), educational and health services (2,300), trade, transportation, and utilities (2,600), and other services (1,600). Although these sectors gained overall, some industries within these sectors had considerable job losses; merchant wholesalers, nondurable goods (800), department stores (1,600), general freight trucking (800), insurance carriers (700), architectural and engineering services (2,000), and computer systems design and related services (700).

While information lost 400 jobs, most of the losses occurring in service providing occurred in Government with a loss of 13,900 jobs from June 2011 to June 2012. State government saw a decline of 9,900 jobs, while local government had a loss of 2,600 jobs. Of the state and local job losses, 6,300 were in education. Federal government saw a loss of 1,400 jobs over the year.

From June 2011 to June 2012, five of the state metropolitan areas saw increases in employment. These include Anniston-Oxford (300), Decatur (500), Dothan (300), Florence-Muscle Shoals (600), and Gadsden (700). Metro area declines over the last 12 months include Auburn-Opelika (2,300), Birmingham-Hoover (1,900), Huntsville (3,300), Montgomery (1,600), and Tuscaloosa (2,400). Unemployment rates increased across the board during the same period, largely due to labor force increases; only Tuscaloosa saw its civilian labor force decline. As of June 2012, Mobile had the highest metro area unemployment rate at 10.0 percent, while Huntsville had the lowest unemployment rate at 7.6 percent. From May to June 2012 all counties experienced an increase in unemployment rate, and in the last 12 months all counties except Barbour, Butler, Chambers, and Lowndes had a decline in unemployment rates. June unemployment rate ranged from 18.7 percent in Wilcox county down to 6.1 in Shelby County.

METROPOLITAN AREAS June 2012 UNEMPLOYMENT DATA

Area	Civilian Labor Force			Employment			Unemployment			Unemployment Rate		
	Prel	Rev	Rev	Prel	Rev	Rev	Prel	Rev	Rev	Prel	Rev	Rev
	Jun	May	Jun	Jun	May	Jun	Jun	May	Jun	Jun	May	Jun
	2012	2012	2011	2012	2012	2011	2012	2012	2011	2012	2012	2011
Anniston-Oxford MA	54,093	52,792	54,072	49,124	48,636	48,670	4,969	4,156	5,402	9.2%	7.9%	10.0%
Auburn-Opelika MA	66,145	65,424	68,189	60,701	61,108	62,457	5,444	4,316	5,732	8.2%	6.6%	8.4%
Birmingham-Hoover MA	527,962	519,057	535,075	486,059	483,956	486,588	41,903	35,101	48,487	7.9%	6.8%	9.1%
Decatur MA	73,961	72,277	74,210	67,599	66,844	67,204	6,362	5,433	7,006	8.6%	7.5%	9.4%
Dothan MA	65,007	64,322	65,168	59,590	59,800	59,174	5,417	4,522	5,994	8.3%	7.0%	9.2%
Florence-Muscle Shoals MA	70,610	70,277	70,100	64,531	65,455	63,528	6,079	4,822	6,572	8.6%	6.9%	9.4%
Gadsden MA	46,501	45,316	46,281	42,475	41,998	41,655	4,026	3,318	4,626	8.7%	7.3%	10.0%
Huntsville MA	211,693	207,968	216,068	195,524	194,465	198,034	16,169	13,503	18,034	7.6%	6.5%	8.3%
Mobile MA	193,582	189,378	194,725	174,236	173,183	173,218	19,346	16,195	21,507	10.0%	8.6%	11.0%
Montgomery MA	171,200	167,924	173,960	155,922	155,213	156,937	15,278	12,711	17,023	8.9%	7.6%	9.8%
Tuscaloosa MA	97,422	98,834	100,214	88,565	91,591	90,369	8,857	7,243	9,845	9.1%	7.3%	9.8%

Counties and Metropolitan Areas are comparable to the not seasonally adjusted labor force data.

Estimates prepared by the Alabama Department of Industrial Relations in Cooperation with the Bureau of Labor Statistics, based on 2011 benchmark.

In its State of the Workforce Report V: Alabama, issued in June 2011 by the University of Alabama Center for Business and Economic Research (CBER), the following excerpt details the skill and educational requirements in a projected labor market where those seeking jobs outnumber the available jobs.

Skill and education requirements for jobs keep rising. Educational and training requirements of high-demand, fast-growing, and high-earning occupations demonstrate the importance of education in developing the future workforce. In the future, more jobs will require postsecondary education and training at a minimum.

The importance of basic skills generally and for high-demand, high-growth, and high-earning jobs indicates a strong need for training in these skills. The pace of training needs to increase for technical and systems skills, while the scale of training is raised for basic and social skills. Ideally, all high school graduates should possess basic skills so that postsecondary and higher education can focus on other and more complex skills. Employers should be an integral part of planning for training as they can help identify future skill needs and any existing gaps.

From a 2008 base, a worker surplus of about 116,880 for 2018 and a worker shortfall of almost 73,317 for 2025 are expected. This will demand a focus on worker skills through 2018, after which both skills and the expected shortfall must be priorities for 2025. Worker shortfalls for critical occupations will need to be addressed continuously. Strategies to address skill needs and worker shortfalls might include:

- a. Improvements in education and its funding;
- b. Continuation and enhancement of programs to assess, retrain, and place dislocated workers;
- c. Focus on hard-to-serve populations (e.g. out-of-school youth);
- d. Lowering of the high school dropout rate;
- e. Use of economic opportunities to attract new residents;
- f. Facilitation of in-commuting, and
- g. Encouragement of older worker participation in the labor force.

Workforce development must view all of education and other programs (e.g. adult education, career technical training, worker retaining, career

readiness, etc.) as one system. Funding to support workforce development may require tax reform at state and local levels and should provide for flexibility as workforce needs change over time and demand different priorities. Publicizing both private and public returns to education and encourage individuals to raise their own educational attainment levels, while also promoting public and legislative support for education.

Higher incomes that come with improved educational attainment and work skills will help to increase personal income for the state as well as raise additional tax revenues for the state and local (county and city) tax jurisdictions. This is especially important for a state that has a low population and labor force growth rates.

Together, workforce development and economic development can build a strong, well-diversified Alabama economy. Indeed, one cannot achieve success without the other.

In light of the above information, the workforce development system has been trying to ensure (and continues to work toward) that those seeking job training are only enrolled into programs that have a good chance of providing a positive outcome (sustainable) employment for those who successfully complete training to include graduation from a postsecondary institution.

1. Current and Future Economic Trends

- a. *An assessment of the current situation and projected trends of the state's economy, industries and occupations, including major economic regions and industrial and occupational sectors.*

The population in Alabama is expected to increase from just over 4.6 million in 2008 to close to 5.1 million by the year 2018. Industry employment in the state will increase over 13% for 2010-2020, for an average increase of 1.4 percent. Alabama's economy is expected to provide an estimated 282,000 new jobs by 2020. Approximately 62% of all projected employment openings over the 10-year period will be due to employee turnover and retirements, and the remainder should be attributed to growth.

Net change is the difference between the 2010 and 2020 employment levels for the 10 year projection period. Percent change represents the share of net change to the 2010 base year to the 2020 projected year. Industries that provide services are expected to add 235,000 which translates to an employment change of over 15%. Within the service providing group,

Healthcare and Social Assistance is anticipated to have the most new jobs with 77,000. Industries that produce goods are anticipated to produce just at 42,300 new jobs with a 7% change in employment. Within Manufacturing Durable goods are expected to add new jobs around 23,000; whereas Nondurable Goods are expected to lose close to 3,000 jobs over the period.

In terms of high growth, healthcare support occupations are expected to grow the most, at an annual average rate of 2.11%. Computer and mathematical occupations are expected to grow an average 2.03% annually with 825 new jobs and 830 needed for occupational replacement.

As Table B.1 *Alabama Fastest Growing Occupations 2010-2020* depicts, over half of Alabama's top 20 fastest growing occupations are expected to be in health related occupations. Additionally, Home Health Aides is projected to add the greatest quantity of jobs over the period with 7,860, climbing from 11,370 in 2010 to 19,230 in 2020. Topping the fast-growing list is Personal and Home Care Aides which is projected to increase by 71% through 2020, adding 2,990 jobs by 2020.

Although fast growing occupations offer new employment opportunities because of growth, they may not provide the high number of annual job openings in comparison to high demand occupations.

Occupations classified as high demand are selected based on growth rate, annual openings, and wage criteria; these can be found in Table B.2 *Alabama High Demand Occupations 2010-2020*. Twenty-one of the top forty occupations are health related; Registered Nurse, Physical Therapists, Dental Hygienists, Physical Therapist Assistant, Medical and Public Health Social Worker, Occupational Therapists, Anesthesiologists, Pharmacists, Family and General Practitioners, Medical and Health Service Managers, Radiologic Technologists and Technicians, Diagnostic Medical Sonographers, Home Health Aides, Dentists, Physician Assistants, Medical Secretaries, Surgeons, Medical Assistants, Personal and Home Care Aides, Licensed Practical and Licensed Vocational Nurses, and Dental Assistants. Of all the occupations on the entire list, Registered Nurses are expected to have the most openings with 1,990 per year. Seven computer and mathematical occupations met the high demand criteria and four appear at the top of the list; Software Developers/Systems Software, Software Developers/ Applications, Computer Systems Analysts, and Network and Computer Systems Architects and Administrators.

Computer Systems Analysts are anticipated to have the most openings for the computer and mathematical occupations group with an annual average 320 jobs through 2020.

B.1 Alabama Fastest Growing Occupations 2010-2020

Occupation	Employment		Percent Change (%)	Average Annual	
	2010	2020		Growth (%)	Openings
Personal and Home Care Aides	4,200	7,190	71.19	5.52	330
Home Health Aides	11,370	19,230	69.13	5.40	935
Occupational Therapist Assistants	400	660	65.00	5.14	30
Physical Therapist Assistants	1,330	2,050	54.14	4.42	95
Metal-Refining Furnace Operators and Tenders	740	1,120	51.35	4.23	50
Physical Therapists Aides	690	1,040	50.72	4.19	45
Helpers - Carpenters	1,190	1,780	49.58	4.11	90
Health Educators	450	670	48.89	4.06	30
Diagnostic Medical Sonographers	980	1,450	47.96	4.00	60
Marriage and Family Therapists	350	510	45.71	3.84	25
Physical Therapists	1,950	2,810	44.10	3.72	110
Medical Secretaries	3,710	5,340	43.94	3.71	215
Dental Hygienists	3,030	4,350	43.56	3.68	195
Medical and Public Health Social Workers	2,390	3,420	43.10	3.65	160
Coil Winders, Tapers, and Finishers	280	400	42.86	3.63	15
Software Developers, Systems Software	4,410	6,250	41.72	3.55	230
Occupational Therapists	1,120	1,580	41.07	3.50	65
Software Developers, Applications	3,050	4,300	40.98	3.49	155
Veterinary Technologists and Technicians	1,170	1,640	40.17	3.43	65
Helpers-Brickmasons, Blockmasons, Stonemasons, and Tile and Marble Setters	730	1,020	39.73	3.40	50

Note: 20 Occupations were selected based on the highest annual average growth using the unrounded data plus the following criteria: 1) Employment of at least 10. 2) At least 5 annual average openings.

Data provided by the Alabama Department of Labor, Labor Market Information Division in cooperation with the Projections Managing Partnership, and the U.S. Bureau of Labor Statistics.

Totals in some occupational groups may not add due to exclusion of sub-groups and/or individual occupations with employment of less than 10 in the base (2010) and projected (2020) years or where publication of the occupation would violate confidentiality.

1. Employment is rounded to the nearest 10. 2. Average Annual Growth is compounded. 3. Openings are rounded to the nearest 5.

B.2 Alabama High Demand Occupations 2010 – 2020

Occupation	Employment		Percent Change (%)	Average Annual	
	2010	2020		Growth (%)	Openings
Registered Nurses	42,890	55,050	28.35	2.53	1,990
Home Health Aides	11,370	19,230	69.13	5.40	935
Licensed-Practical and -Vocational Nurses	15,830	19,650	24.13	2.19	805
Medical Assistants	6,770	9,130	34.86	3.04	340
Personal and Home Care Aides	4,200	7,190	71.19	5.52	330
Industrial Machinery Mechanics	7,090	8,970	26.52	2.38	325
Computer Systems Analysts	6,960	8,880	27.59	2.47	320
Management Analysts	6,430	8,330	29.55	2.62	295
Computer Support Specialists	5,310	6,730	26.74	2.40	280
Software Developers, Systems Software	4,410	62,050	41.72	3.55	230
Medical Secretaries	3,710	5,340	43.94	3.71	215
Pharmacists	4,500	5,430	20.67	1.90	205
Heating, A/C, and Refrigeration Mechanics and Installers	4,280	5,530	29.21	2.60	200
Public Relations Specialist	3,660	4,620	26.23	2.36	195
Dental Hygienists	3,030	4,350	43.56	3.68	195
Mechanical Engineers	3,450	4,150	20.29	1.86	180
Network and Computer Systems Architects and Administrators	3,580	4,750	32.68	2.87	180
Dental Assistants	2,890	3,950	36.68	3.17	165
Medical and Public Health Social Workers	2,390	3,420	43.10	3.65	160
Software Developers, Application	3,050	4,300	40.98	3.49	155
Radiologic Technologists and Technicians	3,470	4,440	27.95	2.50	150
First-Line Supervisors/Managers of Helpers, Laborers, and Material Movers	2,800	3,550	26.79	2.40	135
Medical and Health Service Managers	2,590	3,170	22.39	2.04	120
Cost Estimators	2,150	2,820	31.16	2.75	110
Physical Therapists	1,950	2,810	44.10	3.72	110
Training and Development Specialists	2,180	2,880	32.11	2.82	105
Physical Therapist Assistants	1,330	2,050	54.14	4.42	95
Dentists, General	1,720	2,100	22.09	2.02	90
Computer and Infor. Systems Mgrs	2,210	2,780	25.79	2.32	90
Rehabilitation Counselors	1,540	2,100	36.36	3.15	90
Personal Financial Advisors	1,950	2,510	28.72	2.56	75
Architects, Except Landscape and Naval	1,580	1,970	24.68	2.23	70
Social and Community Service Managers	1,220	1,660	36.07	3.13	70
Occupational Therapists	1,120	1,580	41.07	3.50	65
Diagnostic Medical Sonographers	980	1,450	47.96	4.00	60
Family and General Practitioners	1,140	1,470	28.95	2.57	55
Database Administrators	1,050	1,420	35.24	3.06	55
Anesthesiologists	1,010	1,330	31.68	2.79	50
Surgeons	830	1,080	30.12	2.67	40
Physician Assistants	750	1,020	36.00	3.12	40

Data provided by the Alabama Department of Labor, Labor Market Information Division in cooperation with the Projections Managing Partnership, and the U.S. Bureau of Labor Statistics. Totals in some occupational groups may not add due to exclusion of sub-groups and/or individual occupations with employment of less than 10 in the base (2010) and projected (2020) years or where publication of the occupation would violate confidentiality.

1. Employment is rounded to the nearest 10. 2. Average Annual Growth is compounded. 3. Openings are rounded to the nearest 5. 4. Occupations in bold are also high-earning.

- b. *An assessment of the workforce skills and knowledge individuals need to find current and future employment in the state, particularly those skills and knowledge identified by employers as necessary for economic growth in the state.*

Skill and education requirements for jobs keep rising. Educational and training requirements of high-demand, fast-growing, and high-earning occupations demonstrate the importance of education in developing tomorrow's workforce. In the future, more jobs will require postsecondary education and training at a minimum.

The importance of basic skills generally and for high-demand, high-growth, and high-earning jobs indicates a strong need for training in these skills. The pace of training needs to increase for technical and systems skills, while the scale of training is raised for basic and social skills. Ideally, all high school graduates should possess basic skills so that postsecondary and higher education can focus on other and more complex skills. Employers should be an integral part of planning for training as they can help identify future skill needs and any existing gaps.

Improving education is important because (i) a highly educated and productive workforce is a critical economic development asset, (ii) productivity rises with education, (iii) educated people are more likely to work, and (iv) it yields high private and social rates of return on investment. Workforce development must view all of education and other programs (e.g. adult education, career technical training, worker retraining, career readiness, etc.) as one system. Funding to support workforce development may require tax reform at state and local levels and should provide for flexibility as workforce needs change over time and demand different priorities. Publicizing both private and public returns to education can encourage individuals to raise their own educational attainment levels, while also promoting public and legislative support for education.

Together, workforce development and economic development can build a strong, well-diversified Alabama economy. Indeed, one cannot achieve success without the other.

- c. *A description of the characteristics and employment-related needs of the state's population, and diverse sub-populations, including those from racial, ethnic, linguistic groups, older persons, and individuals with disabilities.*

Programs to assess, retrain, and place dislocated workers; especially those affected by outsourcing and structural changes in

the economy, should be continued and enhanced because they can improve the labor force participation rate. Hard-to-serve populations include persons in poverty, those receiving welfare, residents of sparsely populated areas, and those on active parole. These populations are often outside of the mainstream economy and are in poverty. They usually have difficulty finding work because they have low levels of educational attainment, lack occupational skills, or face geographic or other barriers (see Table B.3 *2010 Job Satisfaction and Willingness to Train*). They are a potential human resource, but investment in training, transportation, child care, infrastructure, etc. may be needed to tap this resource.

In-migration is one way of growing the labor force as it helps population growth. The state's population growth rate is low and may hinder its ability to meet the expected job demand barring future economic slowdowns. Higher employment demand could be partially served by in-commuting. However, new residents can be attracted using the high-paying job opportunities from the state's numerous economic development successes. Investment in amenities and infrastructure may be needed to support such growth. In-migration is generally more beneficial to the state than in-commuting since it grows the economy faster and adds to the tax base.

Policies that facilitate and encourage older worker participation are needed as older workers can help meet the state's workforce challenge. Such policies could be related to income taxation, job flexibility, and retirement programs. As the share of older people in the population is projected to increase, it becomes even more important that they be active in the workforce. Older worker participation has been rising nationally since the early 1990s. This has been attributed to reasons including:

- i. Older workers can work longer because they are healthier
- ii. The number of physically demanding jobs is falling
- iii. Defined contribution plans are replacing pensions
- iv. There are fewer employer-paid retiree health insurance programs
- v. Social security reforms affecting those born after 1938 (i) gradually raise the normal retirement age from 65 to 67, (ii) increase the rate at which monthly payments rise with delayed benefits, and (iii) eliminate the reduction in benefits for those working beyond the full retirement age.

Table B.3 2010 Job Satisfaction and Willingness to Train (Percent)

Job Satisfaction						
	Completely Dissatisfied	Dissatisfied	Neutral	Satisfied	Completely Satisfied	
Employed						
Overall	3.7	4.3	15.9	27.8	48.0	
Earnings	10.4	10.1	22.2	26.2	30.6	
Retention	4.6	4.8	10.7	20.1	57.8	
Work	1.7	2.6	8.8	24.1	62.5	
Hours	4.7	4.1	11.1	20.1	59.7	
Shift	3.0	3.0	7.8	16.4	59.3	
Conditions	3.3	4.9	14.5	25.9	51.0	
Community Distance	3.9	5.0	10.9	14.8	64.8	
Underemployed						
Overall	8.6	8.8	27.0	27.0	28.2	
Earnings	23.0	17.5	26.3	18.2	14.6	
Retention	10.0	9.3	14.9	23.1	41.3	
Work	4.2	5.4	14.8	26.6	48.8	
Hours	10.3	6.1	14.3	21.4	47.4	
Shift	5.2	5.0	10.9	17.4	61.1	
Conditions	7.2	8.9	19.9	25.5	38.4	
Community Distance	5.2	6.5	13.0	14.9	59.9	
Willingness to Train						
	Completely Unwilling	Unwilling	Neutral	Willing	Completely Willing	
Employed						
For a new or better job	19.1	4.0	15.2	13.2	47.6	
If paid by trainee	44.6	19.1	205.0	5.8	6.9	
If paid by trainee and government	12.9	12.0	34.5	19.1	18.6	
If paid by government	4.6	2.8	9.9	14.4	66.5	
Underemployed						
For a new or better job	11.7	2.3	11.8	13.6	59.8	
If paid by trainee	39.9	19.4	22.2	6.3	8.2	
If paid by trainee and government	9.3	9.6	30.8	21.7	24.6	
If paid by government	3.0	1.7	5.4	11.2	77.0	

Note: Rounding errors may be present

Source: Center for Business and Economic Research, The University of Alabama

Table B.4 Alabama Labor Force Information

	2010			
	Labor Force	Employed	Unemployed	Rate (%)
North Alabama	4,108,605	461,455	47,152	20.0
North Central Alabama	809,961	730,507	79,455	30.0
South Central Alabama	326,519	291,737	34,782	36.8
South West Alabama	310,993	276,941	34,052	10.9
South East Alabama	145,502	132,578	12,924	8.9
Jefferson County	296,600	267,363	29,237	9.9
Mobile County	181,508	161,892	19,616	10.8
Alabama	2,127,211	1,925,064	202,147	9.5
United States	153,889,000	139,064,000	14,825,000	9.6

	January 2011			
	Labor Force	Employed	Unemployed	Rate (%)
North Alabama	511,320	461,674	49,646	20.5
North Central Alabama	512,601	735,410	77,191	29.4
South Central Alabama	325,513	292,215	33,297	35.2
South West Alabama	312,424	278,353	34,071	10.9
South East Alabama	143,655	130,936	12,719	8.9
Jefferson County	297,174	269,256	27,918	9.4
Mobile County	185,386	165,538	19,848	10.7
Alabama	2,106,305	1,898,661	207,644	9.9
United States	152,536,000	137,599,000	14,937,000	9.8

Source: Alabama Department of Industrial Relations and U.S. Bureau of Labor Statistics.

Table B.5 Population by Workforce Development Region

	1990 Census	2000 Census	2012 Census	Change 2000-2012	% Change 2000-2010
North Alabama	876,519	996,565	1,112,284	106,719	15.1
North Central Alabama	1,592,669	1,724,071	1,835,313	111,242	82.5
South Central Alabama	661,269	727,588	770,035	42,447	9.6
South West Alabama	610,415	678,997	727,145	48,148	9.1
South East Alabama	299,715	319,879	343,959	24,080	7.5
Jefferson County	651,525	662,047	658,466	-3,581	-0.5
Mobile County	378,643	399,843	412,992	13,149	3.3
Alabama	4,040,587		4,779,736	332,636	7.5
United States	248,709,873		308,745,538	27,323,632	9.7

Source: Center for Business and Economic Research, The University of Alabama and U.S. Census Bureau.

Table B.6 Educational Attainment of Population 25 Years and Over, 2005 - 2009

	<u>Mobile</u>	<u>Jefferson</u>	<u>Alabama</u>
Total	260,043	441,789	3,049,663
No schooling completed	2,174	3,141	28,049
Nursery to 4th grade	1,264	1,792	21,622
5th and 6th grade	2,372	4,456	47,199
7th and 8th grade	6,733	8,822	98,649
9th grade	6,132	7,939	89,456
10th grade	9,805	11,955	114,853
11th grade	11,343	15,032	120,618
12th grade, no diploma	6,831	8,313	63,762
High school graduate/equivalent	89,699	126,919	971,298
Some college, less than 1 year	14,040	23,421	179,503
Some college, 1+ years, no degree	39,943	76,736	452,351
Associate degree	18,501	29,029	205,605
Bachelor's degree	33,595	77,741	418,343
Master's degree	12,170	29,564	169,026
Professional school degree	3,326	11,774	43,472
Doctorate degree	2,115	5,115	25,857

Source: Center for Business and Economic Research, The University of Alabama and U.S. Census Bureau.

- d. *Based on the assessments above, an analysis of the skill and education gaps for all individuals within the state, particularly for those individuals targeted by the programs included in the Integrated Workforce Plan*

Educational attainment in Alabama is low compared to the nation as a whole. About 81 percent of Alabamians age 25 and over have graduated from high school, compared to 84.6 percent for the nation. Of that population, 21.5 percent of Alabamians have a bachelor's or higher degree; 27.5 percent of all Americans do. Skill and education requirements for jobs keep rising. This highlights a strong need to raise educational attainment in the state.

- e. *An analysis of the challenges associated with the state's population attaining the education, skills, and training needed to obtain employment.*

Efforts to address skill needs, shortfalls in critical occupations, and long term worker shortages must include:

- i. Improving education and its funding
- ii. Focusing on hard-to-serve population (e.g. out-of-school & at-risk youth)
- iii. Lowering the high school dropout rate

- iv. Programs to assess , retrain, and place dislocated workers – especially those affected by outsourcing – should be continued and enhanced because they can improve the labor force participation rate
- v. Recruiting: Using economic opportunities to attract new residents
- vi. Facilitating in-community
- vii. Encouraging older worker participation
- viii. Diversifying the region’s economy (retraining, expanding, and attracting more businesses that provide more high-earning jobs)

B.7. shows the number of selected occupations in Alabama for which a particular education/training category is most common. In general, high-earning occupations require high educational attainment levels; all but two of the high-earning occupations require a bachelor’s or higher degree. Twenty-seven (66 percent) of the 41 high-demand occupations require an associate degree at the minimum and 23 (56 percent) require a bachelor’s or higher degree. Twenty-one (52 percent) of the 40 fast-growing occupations require an associate degree at the minimum and 16 (40 percent) require a bachelor’s or higher degree.

The 2010 to 2020 occupational projections indicate that future jobs will require postsecondary education and training at a minimum. Job ads are increasingly requiring a high school diploma or GED at a minimum. Of the state’s 905 occupations and occupational categories, 117 are expected to decline over the period and education and training for these should slow accordingly.

Improving education is vital because a highly educated and productive workforce is a critical economic development asset. The educational and training requirements of high-demand, fast-growing, and high-earning occupations show the significance of education in developing the workforce of the future. The importance of basic skills generally and for high-demand, high-growth, and high-earning jobs demonstrates a strong need for training in these skills. The pace of training needs to increase for technical and systems skills while the scale of training is raised for basic and social skills. Ideally, all high school graduates should possess basic skills so that postsecondary and higher education can focus on other and more complex skills while enhancing these basic skills. Employers should be an integral part of planning for training as they can help identify future skill needs and any existing gaps. Education and training for the sharp-declining occupations should slow accordingly.

Another very important reason to improve education is that more educated people are more likely to work; data on worker participation and education attainment show that labor force participation increased with worker education. Productivity also rises with education, which yields high private and social returns. Workforce development must view all of the education and other programs (e.g. adult education, career technical training, worker retraining, career readiness, etc.) as one system. Funding to support workforce development may require tax reform at state and local levels and must provide for flexibility as workforce needs change over time and demand different priorities.

Table B.7. Number of Selected Occupations by Education/Training Requirement

Most Common Education/Training Requirements Categories	Selected High-Demand Occupations	Selected Fast-Growing Occupations	Selected High-Earning Occupations
First Professional Degree	3	1	16
Doctorial Degree	1	1	4
Master's Degree	2	4	3
Work Experience Plus a Bachelor' or Higher Degree	2	1	13
Bachelor's Degree	15	9	12
Associate Degree	4	5	0
Postsecondary Vocational Training	4	7	0
Work Experience in a Related Occupation	1	1	1
Long-term On-the-job Training	0	2	1
Moderate-term On-the-job Training	7	5	0
Short-term On-the-job Training	2	4	0

Note: The last three education and training requirements categories are based on the length of time it generally takes an average worker to achieve proficiency for occupations in which postsecondary training is usually not needed for entry. **Long-term** requires more than 12 months on-the job training that can include up to four years of apprenticeship, formal classroom instruction, and short-term employer-sponsored training. Trainees are generally considered to be employed in the occupation. **Moderate-term** requires one to 12 months on-the-job experience and informal training. **Short-term** requires up to one month on-the-job experience and training.

Source: O*NET Online; Center for Business and Economic Research, The University of Alabama; and Alabama Department of Industrial Relations.

- f. *A discussion of the ability of Integrated Workforce Plan programs to meet the skill needs of employers in the state and close any skill gaps*

While macro-workforce information forms the basis of a demand-driven workforce investment system, micro-workforce information obtained directly from businesses is also valuable. Integration of this business-led, real time, reality check serves to either reaffirm the macro information or as an early indicator of possible changing trends in “demand.” The current grass roots Employer Relations Program, marketing Career Center Business Services availability

to individual employers, provides this insight into the State's evolving regional economies.

The skill gaps of workers in Alabama tend to be those which result from moving from a low-skill, labor-intensive manufacturing and agribusiness economy, to a 21st Century innovative economy based largely on advanced manufacturing and higher-tech industries. To transition from the old to the new economy, many Alabamians need to improve basic skills in such areas as applied reading, problem solving, applied mathematics, communication, applied technology, as well as efficient manufacturing methods.

Once these foundational skills are mastered, a much larger number of Alabamians need to master technical skills. These needs are particularly acute in such areas as advanced manufacturing where skills related to multi-craft industrial maintenance, machining, tool and die, sheet metal, and welding are insufficient to meet current and projected demands. Similarly, in the aerospace sector, aircraft mechanics and service technicians are not available in sufficient numbers to meet demand.

“Accelerate Alabama” is the key economic development strategy for Alabama that was adopted by Governor Bentley in January 2012. This Plan developed from extensive input from community leaders, economic development partners, and Alabama employers identified eleven targeted business sectors. Six of these sectors, under the umbrella of advanced manufacturing, represent the core of Alabama's employment base and projected growth over the next ten years. These sectors are aerospace defense, automotive manufacturing, agricultural products/food production, steel/metal, forestry products, and chemicals. The Alabama Economic Development Alliance was appointed by Governor Bentley to oversee the directives of the plan for Alabama. The Alliance includes representatives of the Community College System, the Alabama Department of Economic and Community Affairs (State WIA entity), and local economic development representatives who are also on the State Workforce Investment Board.

In an effort to increase the number of skilled workers in labor pool the following actions will be provided through Alabama's workforce development partners:

- i. Expand career and technical education dual enrollment, course-to-course articulation, high school apprenticeship programs, and Department of Labor registered apprenticeships as a workforce training option.
- ii. Expand the GED concurrent enrollment program.

- iii. Provide completers of the Ready-to-Work Program and GED recipients six credit hours of tuition-free instruction in high-demand, high-wage technical education courses.
- iv. Provide a referral system for retirees to re-enter employment and volunteer opportunities through the Mature Worker Taskforce.
- v. Promote employer awareness of the talent pool of qualified individuals with disabilities and assistance available to employers who hire individuals with disabilities through such organizations as the Alabama Business Leadership Employment Network.
- vi. Develop a referral system so that unsuccessful job applicants may be referred to Career Centers for additional assistance in obtaining employment.
- vii. Coordinate inmate education and training with the Department of Corrections to ensure uninterrupted training and support objectives of the Governor's Community Partnership for Recovery and Re-Entry program.
- viii. Institute Career Readiness Credential in prison education programs.
- ix. Target funding for Ready-to-Work programs in areas of labor demand and high numbers of unemployed individuals with limited preparation for work.

The workforce development partners will also assist employees and employers to maximize retention and productivity by:

- i. Implement statewide the Operations Management and Continuous Improvement Program that assists existing businesses in increasing profits through greater efficiency.
- ii. Develop and implement an Alabama WIA Incumbent Worker Training Model based on best practices for administering and managing WIA incumbent worker training funds.
- iii. Provide assistance to employers through Vocational Rehabilitation's Retain A Valued Employee (RAVE) program.
- iv. Implement a professional development program for TEBI personnel at two-year colleges.
- v. Expand the Career Ready Alabama initiative, including ACT WorkKeys job profiles for employers.

It is also imperative to ensure that Alabamians are aware of career opportunities, skill requirements, and education and training options. To achieve these goals Alabama's workforce development partners will:

- i. Implement marketing and public relations activities that inform citizens of job opportunities and potential earnings in Alabama's new economy, skills required, training providers, and services available through the State's workforce development system.
- ii. Expand the Vocational Rehabilitation School-to-Career program to educate students with disabilities about career opportunities in Alabama.
- iii. Maximize use of virtual guidance websites to include education plans supporting career choices at the secondary, postsecondary, and higher education levels; and information on financial aid, employment opportunities, career information, and training opportunities.
- iv. Enhance career development and exploration experiences for K-12 students.
- v. Establish a toll-free number for Alabama job seekers and employers to access information and assistance.

One of the barriers we face is community recognition. The Career Center should be highly regarded in the community as the primary starting point for resume posting and job search, job listings, career planning, and individual training in the area.

- i. The lack of marketing tools and funds makes this a difficult task. We could partner with other government agencies (ADO, AIDT, ATN) and employer associations (trade groups, etc.) to broaden the knowledge about our partner services.
- ii. We could market our On-The-Job Training program to new and expanding businesses in the early stages of industry recruitment, increasing our OJT program awareness.

One service component that faces difficult obstacles is the ex-offender population.

- i. There are incentives in place such as Work Opportunity Tax Credit (WOTC) that offer incentives to employers and the Federal Bonding Program that assists in some occupations.
- ii. New initiatives are needed to promote acceptance of ex-offenders by employers

2. State Strategies (*key strategies the state intends to implement, based on its economic analysis, to achieve the governor's vision and goals.*)

- a. *Cross-Program Strategies* (*The plan must discuss integrated cross-program strategies for specific populations and sub-populations identified in the state's economic analysis, strategies for meeting*

the workforce needs of the state's employers, and regional and sector strategies tailored to the state's economy.

The state's cross-program strategic and tactical plans to serve specific populations/sub-populations must have a vision of incorporating workforce development system and education advancement system approaches into the mainstream of economic development system strategy by blending the state's infrastructure of the present economy with the "ideal" structure of an innovation economy. There must be an alignment of the three systems for greater success in the governor's job creation initiatives:

Specific cross-program strategies to meet the workforce needs of the state's employers are:

- i. Create greater efficiencies by leveraging strengths in Alabama's job creation, business support and worker preparation systems;
- ii. Incorporate participation by a broader set of stakeholders, including faith-based and community-based organizations;
- iii. Recommend specific processes and tools needed to create higher values at greater efficiencies;
- iv. Provide a set of recommended results metrics so that progress can be measured and promoted;
- v. Create a platform for better partnerships and alignment while respecting varying partner performance standards and goals; and
- vi. Assist communities to identify and capitalize on regional and occupational sector strategies tailored to the state's economy and potential community-building and economic growth opportunities.

The Alabama Workforce Investment Board (AWIB) has representatives of entities that advocate programs and services for specification populations and sub-populations identified in the preceding economic analysis. These populations and sub-populations include those with less than a high school diploma, unemployed youth, ex-offenders, dislocated workers, TANF recipients and populations with disabilities. The Alabama Community College System (ACCS), the Alabama Department of Rehabilitative Services (ADRS), Job Corps, the Alabama Department of Education and the Department of Human Resources representatives on the State Board provide services for these population groups and sub-population groups within the Alabama Career Center System in support of AWIB goals and objectives of preparing a workforce to meet the needs of the state's employers. All comprehensive Career Centers in Alabama have an adult education program to serve populations that need a GED to enter a job or community college program. The community college system

provides a program called Ready-to-Work, a twelve-week training program. Targeted to TANF recipients, ex-offenders (Re-Entry Program) and dislocated workers needing academic skills upgrade. The Alabama Community College System Workforce Development Division is utilizing Regional Workforce Councils with the twenty-eight community colleges to assist in identifying specified employer needs that can be addressed by providing training programs for specific industry groups that represent advanced manufacturing sectors as identified with State's "Accelerate Alabama" economic development strategic plan. The Alabama Community College System also provides state funds for incumbent worker programs identified as needed by employers on these Regional Councils.

Recently separate Career Technical Education Advisory Councils representing both the secondary level and post-secondary level were merged to provide smooth transition efforts for high school students, including lower income youth, entering through a high school community college dual-enrollment program. Local Workforce Boards were asked to set aside WIA funds to assist in funding this effort along with the state funds for this program.

These cross-program strategies represent a workforce development system in Alabama that is continuing to address population group needs, employer needs, and industry needs on a regional basis by not only having a State Board representative of the diverse regions of Alabama but also including input from the community college system of Regional Workforce Councils.

- b. *Partnerships – The plan must include a discussion of key strategic partnerships that are necessary to successfully implement the strategies, specify roles of specific state entities and programs, and discuss how the strategies will meet the needs of employers and of each sub-population. (WIA Sections 111(d)(2), 112(b)(8), W-P Section 8(c).)*

The Alabama Department of Economic and Community Affairs (ADECA) houses the Workforce Development Division (WDD), which serves as the state's WIA administrative entity. WDD serves a major role in pursuing other DOL grant funded programs such as NEG's and high wage/high growth grant initiatives.

The Alabama Department of Labor (ADOL) is the agency, charged by the Governor with the management and implementation Wagner-Peyser, Unemployment Compensation, and Trade Adjustment Act Programs. ADOL, in partnership with ADECA's Workforce Development Division oversees the Alabama Career

Center System which houses partner agencies co-located at each comprehensive One-Stop, to include Adult Basic Education, Vocational Rehabilitation, Employment Services, and Veteran's Services.

The Alabama Career Center System (ACCS), the State's "One-Stop System," provides job development information and referrals for services in areas such as: occupation, vocational rehabilitation, adult basic education, veteran's services, and unemployment insurance information. To facilitate interaction, the centers are electronically linked with partner agencies, such as the ADOL, two-year colleges, and other entities which encourage data sharing between all partner agencies located within the One-Stop and beyond. The ACCS staff assesses participants and refers them to appropriate training programs.

The Alabama Small Business Development Consortium is the association for the eleven Small Business Development Centers (SBDCs) throughout the state. The SBDCs counsel and train business people in a wide variety of business topics and provide comprehensive information services and access to experts in many fields. The SBDCs coordinate broad networks of public and private resources at the community level and are instrumental in the training and counseling of potential entrepreneurs.

The Alabama International Trade Center (AITC) provides export related research, training, financing, and consultation services to Alabama's small business community. Its staff includes professionals with expertise in international sales, marketing, business strategy, banking, and finance. The AITC operates as a federal-state partnership program between The University of Alabama and the U.S. Small Business Administration and is an institutional member of the Alabama Small Business Development Consortium.

The Alabama Technology Network (ATN) is Alabama's Manufacturing Extension programs (MEP) that primarily provides services to employers for skill upgrade and lean manufacturing. ATN is a primary training provider through Alabama's Incumbent Worker Training program. ATN staff will be able to provide training and services tailored to local needs and will be available to counsel and train current and potential members of the workforce.

The Chambers of Commerce provide educational opportunities for small businesses at the local level and provide access to information, technology, counseling and support services. Through

the Service Corps of Retired Executives (SCORE), the Chambers sustain and encourage business and economic development.

To ensure that workforce development programs and services are aligned with current and future skill needs, Alabama workforce development partners will continue to support the following initiatives:

- i. Coordinate and collaborate with the Community College Systems' Regional Workforce Development Councils that represent the diversity of businesses and communities within the regions.
 - ii. Require that Regional Workforce Development Councils review community college funding requests for special projects to ensure that proposed activities address workforce development priorities.
 - iii. Actively involve the three local WIBs, Alabama Workforce Investment Area, Jefferson County, and Mobile County, in establishing direction and leadership for workforce development activities.
 - iv. Develop the Alabama Integrated Workforce Plan WIA/Wagner-Peyser Act State Plan based on documented priorities, best practices, and the "Accelerate Alabama" initiative.
 - v. Continue the Alabama STEM Initiative to increase enrollment in science, technology, engineering, and mathematics (STEM) and provide a seamless transition in engineering and industrial technologies curricula from secondary through university levels.
 - vi. Review curricula and programs at two-year institutions to determine alignment with target sectors; identify strengths that can be used in marketing/recruiting, as well as gaps that the state can begin to address.
 - vii. Target funds to address workforce development needs of areas impacted by the Base Realignment and Closure (BRAC) Commission.
 - viii. Target funds to prepare individuals for high-wage employment in maritime, healthcare, aerospace, biotechnology, tourism, manufacturing, transportation, and industrial construction and maintenance.
 - ix. Development and implementation of a marketing/advertising program to communicate, in detail, all education and workforce services available to businesses, employees, and students.
- c. *Leveraging Resources – The plan must discuss how the state will coordinate discretionary and formula-based investments across*

programs and in support of the governor's vision. The state's planned commitment of Federal and non-Federal funds to these investments must be included. The plan must also describe how the state will use program funds to leverage other Federal, state, local, and private resources, in order to effectively and efficiently provide services. (WIA Section 112(b)(10).)

Upon implementing the Workforce Investment Act (WIA) Program on July 1, 2000, the mandated and other workforce partners have sought to maximize resources through the reduction of "redundancy" of services and administrative functions of staff in working with those eligible for the various social services programs to include workforce training. Early on in the implementation process, the state issued a request for proposals to develop an "Interagency Electronic Linkage System" whereby those seeking services would only have to provide certain "common" information such as name, address and other pertinent data to one intake person. If the person goes to another workforce partner agency to seek services, then the intake person at that agency can access the data already provided and add data relative to the services being sought at that agency.

ADECA/WDD will be responsible to research local, state, and/or federal grant opportunities to complement discretionary and formula funded activities. ADECA's established Grants Task Force enhances the Department's mission to help organizations sustain their workforce programs by maximizing opportunities presented by the new information age and to deliver services more efficiently and effectively.

In Alabama, discretionary grant awards by the federal government, non-profit, and the private sector support the delivery of valuable services to varied populations. Service providers and stake-holders partnering with ADECA/WDD may not be aware of such grant funding and do not know how to apply, receive and administer grant awards. The Grants Task Force, composed of ADECA's subject matter experts, assists organizations in grant research and application by providing a web-based list of fund sources. The database includes the most recent federal, state, corporation, and foundation announcements for grants. Guidance for the grant development and application process is also available through the website. The Grants Task Force initiative will contribute to the success of WDD, as it identifies and secures grants and funds for its partners and stake-holders, who also offer services developing Alabama's workforce.

In addition to assisting partners in obtaining funds to provide complementary workforce investment services, ADECA/WDD will use funds attained through non-federal sources in its own activities to support and leverage federally funded workforce investment activities. In the same way, federal discretionary and formula-based funds awarded to WDD will be used to complement and leverage non-federal dollars as applicable. WDD will coordinate all programs in order to ensure collaboration between programs and avoid duplication of services.

In regard to the operations, the One-Stop Career Centers are the “front door” for workforce services, and staffs in those centers are aware of various workforce program funding sources such as WIA Formula Funds, WP Funds, various Discretionary Grants such as National Emergency Grants, Trade Act Funds, etc. When a person enters the One-Stop Career Center and a determination is made that they will need additional assistance such as workforce training to obtain employment, the person at the One-Stop Career Center makes a determination as to which funding source should finance the person’s training. Having the staffs at the One-Stop Career Centers handle “multiple” programs fits into the Governor’s vision of “less government.” By having staffs in the Career Centers that are paid from multiple funding sources, costs to any particular award are reduced for “non-training” costs, thus leaving more funds to actually be used to provide beneficial services to program participants such as providing job training. If there were not multiple funding sources with each leveraging the other in regard to reduced staff and non-training costs for each one, it would preclude the state from applying for some discretionary awards. All Federal workforce funds WIA and WP are committed to the provision of workforce services including grant administration. The Grantor Agency, the USDOL/ETA is aware of the allocations of Federal Workforce funds to Alabama; thus, no dollar amounts are being provided as they would be out-of-date no later than receipt of the next allocation of funds or Federal rescission of funds. The state does not have any non-Federal funds contributing to the activities contained in this Plan. The state spends millions (if not billions) of dollars each year in non-Federal State General Funds and Education Trust Funds to support workforce training in the two-year college system as well as through the state’s major training provider (Alabama Industrial Development Training-AIDT) for new and existing businesses. AIDT is one of our partner agencies as noted on Attachment 2 of this Plan.

- d. *Policy Alignment – The plan must discuss how the state will align policies, operations, administrative systems, and other procedures*

to assure coordination and avoid duplication of workforce programs and activities outlined in WIA Section 121(b). (WIA Sections 111(d)(2)(A), 112(b)(8)(A), 121(b), 20 CFR 661.205(b)(1).)

The State will continue to work with one-stop partners to align policies, operations, administrative systems, and procedures to assure coordination and avoid duplication of workforce programs and activities.

Operation of the one-stop system is guided by a Memorandum of Understanding (MOU) signed by one-stop partners stating their commitment as part of the one-stop operator consortium, and their services to be provided through the Career Center system. A separate agreement by partners conveys daily operation of the Career Center System by the Alabama Department of Labor and ADECA Workforce Development Division.

Policies guiding Career Center operation are contained in the Career Center Operations Guide developed jointly along with Career Center area site managers. Program specific policy is directed by the funding partner in consultation and collaboration with other partners. All Career Center staff regardless of funding are made aware of program policy by written directive. Cross-awareness training, and in many instances cross-training, is conducted continuously through formal and informal training and in Career Center staff meetings. This open communication is essential to ensure coordination of programs and services and vital to avoid duplication of programs and services.

One-Stop partner cooperation, through the coordination of staff activities and innovative leveraging of resources, facilitates the integrated delivery of services, thus avoiding duplication while gaining efficiencies. In commonly shared services, such as reception, resource room, and employer relations, Career Center staff is virtually interchangeable. This integration and consolidation of services will continue with further staff capacity building gained through cross-awareness training and cross-training.

Under the umbrella of the Department of Postsecondary Education's, Office of Workforce Development Section, ten (10) Regional Workforce Development Councils were established to provide input into types of training programs offered by the community colleges in each region. Career Center partners including WIA and others have participated in these regional

councils as “Workforce System” partners since the primary goal is a skilled prepared workforce for regional employers. Employer members of these regional councils have also been members of the State Workforce Investment Board and the three Local Workforce Investment Boards. Since, however, these ten (10) regional councils fall within the 65-county Alabama Workforce Investment Area (AWIA) the State WIB has recently established a sub-committee to review their appropriate roles in the system.

Please note that the State Workforce Investment Board (SWIB), with input from staff in the various appropriate agencies, will revisit organizational roles, relationships, and responsibilities and make related recommendations to the Governor. Such reviews and recommendations are in keeping with the SWIB’s purposes and responsibilities and are subject to the Governor’s final approval, revision, or rejection. Such action is also normal when administrations and situations change and new plans and priorities are developed by the States’ political and administrative leadership. A Workforce Organizational Review Committee was established during the August 22, 2012 State Workforce Investment Board meeting to facilitate the reviews noted in this statement.

- 4. Desired Outcomes** *(must describe and provide specific quantitative targets for the desired outcomes and results for the programs included in the plan. Table B.6. may be used for WIA/W-P programs. The plan should also describe any additional established indicators and system measures, beyond those required by programs’ authorizing statutes. (WIA Sections 112(b)(3), 136(b)(1)(A)(ii), (b)(2)(C), 20 CFR 666.110, 666.120(g), 666.300.)*

In addition to the state’s program performance goals, the state may also discuss the other goals it intends to achieve. Does the state examine broader economic and social indicators? For example, is the state attempting to increase the percentage of workers employed in family wage jobs; increase earnings to support a better quality of life; increase the number of employers with job opportunities; or increase high school and college graduation rates as metrics? In sum, the state should describe its desired results for the state workforce investment system and the metrics is it using to measure those results.)

- a. Wagner-Peyser performance is assessed against Common Measures policy. Actual program performance data generated for these measures, i.e., Entered Employment Rate (EER), Employment Retention Rate (ERR), and Six Month Earnings will baseline associated performance goal negotiations which will be

applied against subsequent Program Years. Continuous improvement will be achieved through analysis for performance as revealed in AJL reporting, thus affording opportunity for strategy modifications designed to improve performance and the system. Effective with Program Year 2010, WIA Title I-B performance will be assessed against the WIA Title I-B Adult, Dislocated Worker, and Youth Common Measures, requirements.

b. Performance Indicators and Goals

i. Adult Measures - Definitions

1. Entered Employment Rate - Of those who are not employed at the date of participation: Number of adults who are employed in the 1st quarter after exit, divided by the number of adults who exit during the quarter.
2. Employment Retention Rate - Of those who are employed in the 1st quarter after exit: Number of adults who are employed in both the 2nd and 3rd quarters after exit, divided by the number of adults who exit during the quarter.
3. Six Month Earnings - Of those adult participants who are employed in the 1st, 2nd, and 3rd quarters after the exit quarter: Total earnings in the second quarter plus total earnings in the third quarter after the exit quarter divided by the number of adult participants who exit during the quarter.

ii. Dislocated Worker Measures - Definitions

1. Entered Employment Rate - Of those who are not employed at the date of participation: Number of dislocated workers who are employed in the 1st quarter after exit, divided by the number of dislocated workers who exit during the quarter.
2. Employment Retention Rate - Of those who are employed in the 1st quarter after exit: Number of dislocated workers who are employed in both the 2nd and 3rd quarters after exit, divided by the number of adults who exit during the quarter.
3. Six Month Earnings - Of those adult participants who are employed in the 1st, 2nd, and 3rd quarters after the exit quarter: Total earnings in the second quarter plus total earnings in the third quarter after the exit quarter divided by the number of dislocated worker participants who exit during the quarter.

iii. Youth (14-21) Common Measures - Definition

1. Placement in Employment or Education - Of those who are not in postsecondary education or

employment (including the military) at the date of participation: Number of youth participants who are in employment (including the military) or enrolled in postsecondary education and/or advanced training/occupational skills training the 1st quarter after the exit quarter; divided by the number of youth participants who exit during the quarter.

2. Attainment of a Degree or Certificate - Of those enrolled in education (at the date of Participation or at any point during the program): Number of youth participants who attain a diploma, GED, or certificate by the end of the 3rd quarter after the exit quarter; divided by the number of youth participants who exit during the quarter.

3. Literacy/Numeracy Gain - Of those out-of-school youth who are basic skills deficient; Number of youth participants who increase one or more educational functioning levels; divided by the number of youth who have completed a year in the program plus the number of youth who exit before completing the youth program.

iv. Customer Satisfaction – Definition

1. Participants - The weighted average of participant ratings on each of the 3 questions regarding overall satisfaction reported on a 0-100 scale.

2. Employers - The weighted average of employer ratings on each of the 3 questions regarding overall satisfaction reported on a 0-100 scale.

c. Performance Management and Accountability System: The Performance Management system described below is available for review and approval by representatives of the State Workforce Investment Board (SWIB) and Local Workforce Investment Boards (LWIBs). All Board member comments are duly considered.

i. Employers and Job Seekers Customer Satisfaction Measures

1. ES customer satisfaction is measured through both applicant/employer formal surveys and informal feedback. State and local Career Center Advisory Committees have proven invaluable in their feedback and recommendations to identify, prioritize, and enhance services locally, regionally, and Statewide. This information is used by Centers as part of the effort to continuously improve services. Career Centers also solicit customer

feedback through customer satisfaction survey forms that are available in every Center. This information is used in determining the quality of services provided and the level of customer satisfaction achieved.

Findings from these customer surveys are used to identify the perceptions, priorities, and values associated with employment services. These findings are shared, discussed, and analyzed by management and staff to determine customer satisfaction and identify changes needed to produce desired outcomes. Findings have also provided direction and prioritization in the utilization of the limited resources available.

The State will continue to employ telephone surveys in order to administer U.S. Department of Labor (USDOL)-prescribed (employers and participants) customer satisfaction surveys. In identifying individuals to be included in these surveys, WDD staff will sample from the full population of individuals receiving staff-assisted WIA core, intensive, and/or training services. Survey questions will consist of the information prescribed by USDOL and additional State-designed questions regarding specific participant and employer attitudes regarding various aspects of WIA program services. The input of local boards may be solicited regarding future additions to or deletions from the customer satisfaction survey instruments. Should LWIBs require more detailed information than that provided by the USDOL satisfaction questions and the additional State-designed questions, they may submit these recommendations to the WDD. In this manner, LWIBs may be able to obtain information they feel to be more useful in shaping their respective WIA local service delivery strategies.

ii. State and Local Boards Performance Goals Policy

1. The State will provide each Local Workforce Investment Area (LWIA) the opportunity to negotiate WIA Adult, Dislocated Worker, and Youth program performance goals on an annual basis. The negotiations of LWIA Adult, Dislocated

Worker, and Youth performance goals shall utilize the State-level performance goals previously-negotiated with the USDOL as a starting point. It shall be the responsibility of each LWIA to clearly demonstrate to the State why adjustments to the goals are necessary, and how such adjustments will not negatively impact the ability of the LWIA to effectively deliver workforce development services to individuals eligible for and in need of those services. Consistent with the provisions of WIA Section 136(c)(3), State and local area negotiations shall take into account the specific economic, demographic, and other characteristics of the populations to be served in the local area. Renegotiation of the performance goals may be requested by a local area if circumstances arise to warrant such a request.

Section 136 of the WIA specifies core indicators of performance for workforce investment activities in adult, dislocated worker, and youth programs. Fifteen core measures apply to the adult, dislocated worker, and youth programs and two measures of customer satisfaction apply across the three funding streams for a total of 17 required measures. Once again, the State is requesting continuance of a waiver for PY 2012 to allow the State to continue to replace the 17 (seventeen) performance measures under WIA Section 136 with the 9 (nine) common measures. This waiver permits the State to report WIA outcomes against the common performance measures indicated below.

Adult and Dislocated Worker

1. Entered Employment Rate
2. Employment Retention Rate
3. Average Six Month Earnings

Youth

1. Literacy or Numeracy Gains
2. Placement in Employment or Education
3. Attainment of Degree or Certificate

Quarterly reports will contrast LWIAs' current actual performance levels against their associated performance goals for each of the 9 (nine) common

measures. Following the submission of the final program year report to the USDOL, the actual performance level of each LWIA contrasted against their negotiated goals will serve as the basis for the awarding of incentives or the imposition of sanctions. At the point in which the State is provided the full 15 percent Governor's Set Aside funds, incentives will resume. Again, incentives were discontinued in PY 2011 due to no allocation of 10 percent set aside funds from the USDOL.

Prior to PY 2011, three percent of Adult, Dislocated Worker, and Youth funds were set aside by the State for LWIA program incentive awards and LWIA capacity building/technical assistance activities. At least sixty-seven percent of this amount was available for LWIA incentive awards. The balance of available funds was utilized for LWIA technical assistance and/or capacity building activities.

LWIAs, which met or exceeded at least two of the three Adult performance goals, were eligible to receive an Adult program incentive award. LWIAs, which met or exceeded at least two of the three Dislocated Worker performance goals, were eligible to receive a Dislocated Worker program incentive award. LWIAs, which met or exceeded at least two of the three Youth performance goals, were eligible to receive a Youth program incentive award.

The state defines "meeting a performance goal" as LWIA performance at eighty percent to one hundred percent of the level at which a particular goal is set. "Exceeding a performance goal" is LWIA performance above the level at which a goal is set and "failing to meet a performance goal" is LWIA performance below eighty percent of the level at which a particular goal is set.

Incentive awards were distributed as follows:

An amount of available Adult, Dislocated Worker, and Youth incentive award funds corresponding to each eligible LWIA's adjusted performance year formula allocation share were set aside.

Each eligible LWIA's Adult incentive funds were divided into three equal portions, or shares.

1. One share was linked to the LWIA's Adult Entered Employment Rate performance.
2. One share was linked to the LWIA's Adult Employment Retention Rate performance.
3. One share was linked to the LWIA's Adult Average Six Month Earnings performance.

Each eligible LWIA's Dislocated Worker incentive funds were divided into three equal portions, or shares.

1. One share was linked to the LWIA's Dislocated Worker Entered Employment Rate performance.
2. One share was linked to the LWIA's Dislocated Worker Employment Retention Rate performance.
3. One share was linked to the LWIA's Dislocated Worker Average Six month Earnings performance.

The proportion of each eligible LWIA's Youth incentive funds were divided into three equal portions, or shares.

1. One share was linked to the LWIA's Youth Literacy or Numeracy Gains performance.
2. One share was linked to the LWIA's Placement in Employment or Education performance
3. One share was linked to the LWIA's Youth Attainment of Degree or Certificate.

NOTE: Incentive award allocations were made from the data as reported to the U. S. Department of Labor as the final performance results for the previous program year. The awards were based on current program year funds, but the calculations for those awards were based on the previous program year's performance.

Each eligible LWIA whose actual Adult, Dislocated Worker, or Youth program performance exceeded corresponding performance goals received the portion of the incentive funds set aside for that category as indicated in Table B.8.

Table B.8. Performance Goals Exceeded

Percentage Measures Exceeded	Earnings (Change) Measures Exceeded	%
By up to 5 percent	By up to \$500	50%
Over 5, up to 10 percent	Over \$500, up to \$1000	75%
By greater than 10 percent	By greater than \$1000	100%

The procedure described above may well result in awarding the LWIAs less than the full amount of incentive funds set aside for a particular performance category. Following this initial distribution of incentive funds associated with the various performance measures, the full amount of any funds not awarded were distributed in accordance with each LWIA's composite index of actual performance against performance goals, summed over every performance categories. These composite indices weigh only those performance categories in which the LWIA has exceeded the associated goal, that is, have an actual/goal index greater than one. In the event that all three LWIA's performance in a particular category, i.e. Adult, Dislocated Worker or Youth, should fall below the index described in this paragraph for the second distribution method, it will result in no LWIA receiving the residual funds in the associated category.

Any funds remaining after the two distribution methods described before would be reclassified (per approved change to the appropriate allocation Directive) as "Other WIA Activities" and utilized in State-Level programs.

Table B.9. Table for State WIA/W-P Performance Indicators and Goals WIA

Requirement at Section 136(b)	PY11 Performance	Negotiated PY12 Performance Goal
Adults:		
Entered Employment Rate	64.8%	67.0%
Employment Retention Rate	84.1%	84.5%
Average Six-Months Earnings	\$11,923	\$12,000
Certificate Rate	N/A	N/A
Dislocated Workers:		
Entered Employment Rate	71.1%	75.0%
Employment Retention Rate	88.8%	91.0%
Average Six-Months Earnings	\$15,354	\$15,632
Certificate Rate	N/A	N/A
Youth Common Measures*:		
Placement in Employment or Education	54.1%	56.0%
Attainment of a Degree or Certificate	48.4%	50.5%
Literacy and Numeracy Gains	59.9%	58.0%
W-P Requirement at Section 13(a)	PY11 Performance	Negotiated PY12 Performance Goal
Entered Employment Rate	47.3%	54.0%
Employment Retention Rate	78.2%	80.6%
Average Six-Months Earnings	\$12,231	\$12,500

* Goals are negotiated for these measures by states reporting common performance measure outcomes only.

II. State Operational Plan

A. Overview of the Workforce System

- 1. Organization:** *The overview must describe organization and delivery systems at the state and local levels for the programs covered in the plan, particularly how this organization effectively supports the coordination and alignment of the state’s workforce programs and supports integrated service delivery. The overview must include a description of the key state administrative personnel of the programs described in Section I of the Integrated Workforce Plan, and the organizational structure and membership roster of SWIB members and their organizational affiliation.*

The State Workforce Investment Board is comprised of 60 members (Attachment 3) including the Governor and two members from each Chamber of the Alabama Legislature. Of the 60 members, 33 are

business representatives. The State Board has an Executive Committee to conduct business outside the regular Board meetings.

The membership of the State Workforce Investment Board shares a vision with the Governor to achieve a comprehensive market-driven, performance-based workforce development system, which readily adapts to dynamic occupational and economic trends.

2. State Board: *The State Operational Plan must describe how the SWIB effectively coordinates and aligns the resources and policies of all the programs included in the plan, and specifically, must include the following items related to the SWIB:*

- a. *Development Collaboration: How the board collaborated in the development of the plan, and how it will collaborate in carrying out the functions described in WIA Section 111(d). (WIA Sections 111(a), (b), (d), 112(b)(1); 20 CFR 661.205.)*

The State Board carries out functions required by WIA Section 111(d) and 20 CFR 661.205. SWIB will address specific issues and policies in order to make recommendations to the Governor. For example, the One-Stop Career Center template was developed for local areas' use as a method to achieve consistency of services, information, and branding at local One-Stop Career Center offices.

The Alabama Career Center partner agencies provide staff expertise for the various Board functions listed in Section 111(d) to ensure all statutory and regulatory requirements are met for WIA as well as other initiatives.

As referenced on page 34 of this document, the State Board (AWIB) has established a Workforce Organization Review Committee to review various roles, functions, and responsibilities of workforce development partner agencies as well as the relationship between Local Area WIB's and the ten regional advisory councils. The committee has a meeting on October 10 to set its schedule for submitting recommendations to the full Board for review. It is projected the report will be submitted to the full Board in March 2013.

Workforce System partner programs included in the Plan are represented by cabinet level staff on the State Board as appointed by the Governor. Board members that represent those programs were included in the review process along with all Board members of the preliminary draft State Plan at least two communications via e-mail were sent to the State Board members asking for feedback

and input by ADECA WDD staff. Comments were received and incorporated into the narrative. In addition, ADOL, the Wagner-Peyser Trade Act and Veterans Employment partner was a major contributor to the development of the Plan.

- b. Vocational Rehabilitation Representation: *How the SWIB member who represents Vocational Rehabilitation (VR) will effectively represent the interests, needs, and priorities of the VR program and how the employment needs of individuals with disabilities in the state will be addressed. (Only applicable to states which: (1) do not have the state VR agency director on its SWIB; or (2) in cases where the state uses an alternative entity as its SWIB, that entity does not provide for representative membership by individuals in these categories as required by WIA sec. 111(b), (WIA Sections 111(b)(1), 111 (e), 112(b)(8)(A)(iii), W-P Section 8(b), Rehabilitation Act Section 101(a)(2)(B), 20 CFR 661.200(i)(3), 661.205(b)(1), 661.210(c).)*

As Alabama Commissioner Boswell is also the State Vocational Rehabilitation Director and serves on the SWIB, this question would not apply to Alabama.

3. Local Areas: *The State Operational Plan must also describe the WIA title I local workforce investment areas in the state, including:*

- a. Local Workforce Investment Areas: *An identification of local workforce investment areas designated in the state, and the process used for designating local areas. (WIA Sections 111(d)(4), 112(b)(5), and 116(a), 20 CFR 661.205(d), 661.250-.270.)*

The most recent re-designation of local areas within the State of Alabama occurred on August 22, 2012 and is effective through June 30, 2014. The three local areas are: Jefferson County (Birmingham); Mobile County (Mobile); and the remaining 65 counties form the Alabama Workforce Investment Area. Designated representatives of each local area are invited to all SWIB meetings. The Jefferson County and Mobile Local Workforce Investment Areas each have a representative on the SWIB. Federal guidance and policy statements from the State WIA Administrative Entity are issued through Governor's Workforce Development Directives, which are posted on the ADECA Internet web site, accessible by all Workforce Development Partner agencies.

- b. Regional Designation: *The designation of intrastate regions and interstate regions, as defined in 20 CFR 661.290, and their*

corresponding performance measures. For interstate regions, describe the roles of the respective governors, and state and local workforce investment boards. (WIA Section 116(c).) States may also discuss other types of regional structures here.

The State of Alabama does not utilize intrastate or interstate regions as defined in 20 CFR 661.290.

B. Operating Systems and Policies Supporting the State's Strategies: *The State Operational Plan must describe:*

1. **State Operating System:** *State operating systems that support coordinated implementation of state strategies (e.g. labor market information systems, data systems, communication systems, etc.). (WIA Section 112(b)(8)(A).)*

Alabama JobLink (AJL) is the web-enabled portal to the state's workforce system serving job seekers and employers through the Career Center system. AJL provides 24/7/365 service for job seekers' and employers' to search for jobs, qualified workers, or labor market information through a self-service option. Staff-assisted service offers the same services, but in addition, offers assessment, testing, and case management. Career Center partners now use Alabama JobLink for all registration, program enrollment, service provision and tracking.

Labor Market Information is developed by the state's Labor Market Information unit working in conjunction with the Bureau of Labor Statistics and furnishes LMI products such as employment and unemployment data, occupational and industry employment and projections, wage data, etc. to Career Centers in hard-copy for resource rooms and electronically through the internet.

WIA program reporting uses a separate system called AlaWorks, which provides management information on WIA participants and budgets/expenditures. WIA also supports a system, which is the Inter-agency Electronic Linkage System (IELS), the State implemented in 2001. This system was developed with the use of One-Stop Grant funds. This system contains data from AlaWorks, which has data downloaded daily "data dumps," which, in accurate, are uploaded by WIA computer staff into the WIA Title I-B participant management and reporting system, Alaworks. All Career Centers partners may access and use the IELS system. As of August 2012, four agencies use this system. They are: Department of Human Resources (DHR), Alabama Department of Rehabilitation Services (ADRS), Alabama Department of Labor (ADOL), and Department of Economic and Community Affairs (ADECA).

2. **State Policies:** *State policies that support the coordinated implementation of the state's strategies. (WIA Section 112(b)(8)(A).)*

The State has developed an Inter-agency Electronic Linkage System (IELS). Since its inception, the IELS capability has been key in developing and maintaining a data warehouse for WIA, ES, DRS, and Human Resources information. This data storage/retrieval capacity has since expanded to include Postsecondary Education, the State Department of Education, Alabama Industrial Development Training, the Alabama Commission on Higher Education, Adult Education and Independence Through Employment.

This system will be expanded as soon as issues of confidentiality of information are resolved. With the approval of WISPR, this system can be adapted to provide combined reports.

3. **Delivery of Services:** *How the delivery of services to jobseeker customers and employer customers, including Registered Apprenticeship sponsors, will be aligned across programs. (WIA Sections 111(d)(2), 112(b)(8).)*

Branding for the Alabama Career Centers, established in 1996 USDOL consent, has been used on a continuous basis and well recognized by employers and job seekers throughout the state. When a rebranding effort is instituted Alabama will continue to utilize the current Alabama Career Center System brand with the addition of "a proud partner of the American Job Center network" tag line.

The delivery of services to job seekers and employers are customer-focused, technologically advanced, and outcome-driven with a goal of achieving high standards of customer satisfaction. With a wide-ranging array of customers with varying needs, service delivery must be flexible and adaptable. Service triage begins when the customer contacts the Career Center and the service(s) sought are self-identified and/or ascertained by staff. Quick initial assessment of the customer's needs by staff is completed and service initiated. Service delivery is accomplished through a three-tiered service triage strategy: (1) self-service, (2) facilitated self-help service, and (3) staff-assisted service.

Sequence of service is streamlined by staff that are cross-trained to identify and provide services at any particular point of the process in order to ensure individuals receive prompt full-service diminishing the need for return visits or requests for redundant information. The integration of staff from different funding sources and specific service providers is critical to the provision of effective, efficient service and

monitored on a regular basis. Jobseeker core services begin with intake and collection of general information. Jobseekers will be provided services as needs are identified and may extend beyond core services to include intensive services, such as detailed assessment and referral to training as needed.

Employer services are provided by a Business Service Team in every Career Center. This team is headed by a designated Business Service Representative (BSR) and includes Job Developers and Veterans LVERs. For a more complete description of Service to Employers please refer to Section II. E.

Career Center staffs are knowledgeable of Apprenticeship, Job Corps, and related workforce development programs available within their areas, facilitating their referral of customers to these services. All Career Center One-Stop Partners are encouraged to refer qualified applicants to these programs.

Registered Apprenticeship Programs:

Construction Registered Apprenticeship programs, administered through the Alabama AFL-CIO Labor Institute for Training (LIFT), in Alabama are a critical component of meeting Alabama's need for skilled workers. With the combination of on-the-job training, related instruction, and mentoring, the apprenticeship model is a powerful tool for addressing the skill shortages that many Alabama industries face. It also provides the grounded expertise and knowledge individuals need to do their jobs well and advance in their careers.

GO BUILD: Created by the Alabama Construction Recruitment Institute (ACRI), the Go Build campaign is designed to educate young people on the value of learning a trade, dispel their misconceptions about the construction industry and inspire them to consider building a career as a skilled construction tradesman. Through this advertising, public relations and social media campaign, ACRI aims to provide better opportunities for construction tradesmen, more highly skilled employees for construction businesses and enhanced economic development for Alabama and the nation.

ABOUT ACRI: Faced with a growing shortage of skilled construction craftsmen and an aging construction labor workforce, the Alabama Legislature established ACRI in 2009. The institute is working to educate young people, parents, educators and others about the opportunities offered by the construction industry. ACRI's partners include Alabama AFL-CIO, the Associated Builders and Contractors of Alabama, Alabama Associated General Contractors, Inc., Alabama Road Builders Association, the American Subcontractors Association, the

Alabama Construction Trade Unions, the Alabama College System, the Alabama Construction Users Roundtable and construction business owners throughout the state.

4. **Rapid Response:** *How the state will provide WIA rapid response activities to dislocated workers from funds reserved under Section 133(a)(2), including designating a state rapid response unit. (WIA Sections 112(b)(17)(A)(ii), 133(a)(2), 134(a)(2)(A).)*

Alabama's State Rapid Response Unit is organizationally situated within ADECA WDD, which is responsible for the day-to-day planning, administration and oversight of dislocated worker program activities. The Rapid Response Unit has entered into an agreement with the ES and Unemployment Compensation Divisions of the ADOL to provide coordination and support of Rapid Response and Trade Adjustment Assistance (TAA) functions Statewide. Information relative to dislocation events (i.e. plant closings/mass layoffs) and TAA petition filings are shared between the WDD and ADOL on a daily basis via e-mail, periodic activity reports, and telephone communications.

Written policy instructions specifically addressing coordination of the above-referenced activities are contained in Governor's Workforce Development Directives (PY 2000-32, Subject: Worker Adjustment and Retraining Notification (WARN) Act and Reporting of Actual or Potential Employee Layoff Activity) and PY 2002-13, Alabama Career Center System and Rapid Response Responsibilities relative to the TAA Reform Act of 2002. Directive PY 2002-13 specifically addresses co-enrollment for WIA and TAA.

The ES, through the Career Center system, participates in efforts to serve dislocated workers, offering a wide variety of services, to include the following: employability development services, referral to training, and/or training accounts and placement activities. Additionally, resources are leveraged through provision of Job Search Workshops for Dislocated Workers under Rapid Response and/or TAA.

ADOL is designated responsibility for processing the TAA programs. Because of the requirement of rapid and early intervention in providing the opportunity for workers to be enrolled in training, ES will cooperate with the Unemployment Compensation Division, which has been designated by the Department Director as the entity responsible for petition processing.

Once a WARN notice or request for assistance from the Rapid response Unit is received, an e-mail notification is forwarded to; the State Employment Service, local Workforce Investment Area staff, the local

Career Center, and to all agency representatives, that would provide program services to dislocated workers. The Rapid Response Unit personnel also contact the employer to discuss programs and services available to include; filing a TAA petition and setting up a group employer meeting (GEM) regarding available assistance. If a TAA petition is filed all agencies are notified a petition is pending and parties will be notified once a determination is made by the Department of Labor.

Career Center staff, including Wagner-Peyser funded and WIA staff, provide the initial level of services available to the dislocated workers. Training services may be provided by WIA while a TAA petition is pending. If the petition is approved the training plan for TAA funded training is submitted to the Department of Industrial Relations TAA Unit for approval.

The ES, as a Career Center partner, also recruits, certifies job readiness, develops work/training plans, and/or refers Dislocated Workers to other partner agencies for intensive services, classroom training, and individual referral slots. Other basic services, such as application taking, assessment, counseling, testing, selection and referral to available jobs, are also provided to Dislocated Workers, as resources permit.

The Alabama AFL-CIO Labor Institute for Training (LIFT) is a non-profit organization that identifies needs of the Alabama workforce and develops programs and projects to meet those needs. LIFT serves as the workforce development arm of the Alabama AFL-CIO.

An identified need continues to be services for dislocated workers who have lost their jobs through no fault of their own due to plant closures and mass layoffs. Many times these workers are unfamiliar with systems and programs available to help them during their crisis.

"Rapid Response" encompasses the activities necessary to plan and deliver services to enable dislocated workers to transition to new employment as quickly as possible, following either a permanent closure or mass layoff, or a natural or other disaster resulting in a mass job dislocation, such as Hurricane Katrina in August 2005.

The Rapid Response Labor Liaison Project (RRLLP) Staff works directly with the State Rapid Response team to enhance coordination and communication between ADECA Staff and AFL-CIO affiliated unions for all layoff, layoff aversions and closure activities. Assistance is provided in setting up worker orientation sessions to inform affected workers of available services and benefits. During these sessions, workers receive information on job training options, unemployment

compensation benefits, job search and placement, health insurance continuation, pension benefits, credit counseling, etc.

5. **Data-Collection & Reporting Process:** *Common data-collection and reporting processes used for all programs and activities present in One-Stop Career Centers. (WIA Section 112(b)(8).)*

Alabama JobLink (AJL) is the One-stop Career Center's common data collection system and is used by partners to register clients into the system, enter and track services provided and generate management and performance reports. AJL shares WIA registration, enrollment, and service information with AlaWorks, a system which provides management information on WIA participants and budgets/expenditures. All Career Centers partners may use the system.

There are three main components of AJL: JobLink, ServiceLink, and Fiscal Link. AJL is available to all Career Center partners to support State and local workforce investment activities, such as a Career Center operational system designed to facilitate case management and service delivery across programs, a State job matching system, web-based self service tools for customers, and fiscal management systems.

6. **Performance Accountability:** *State performance accountability system developed for workforce investment activities to be carried out through the statewide workforce investment system. (WIA Sections 111(d)(2), (d)(6)-(8), 112(b)(3), 136; W-P Section 15; 20 CFR 666.205(f)-(h), 661.220(c), and 20 CRF part 666.)*

These metrics are: Entered Employment Rate; Employment Retention Rate; Average Six-Months Earnings; Certificate Rate; Skill Attainment Rate; Diploma or Equivalent Attainment Rate; Retention Rate; Placement in Employment or Education; Attainment of a Degree or Certificate; and Literacy and Numeracy Gains.

7. **Quarterly Wage Information:** *State strategies for using quarterly wage record information to measure the progress on state and local performance measures, including identification of which entities may have access to wage record information. (WIA Section 136(f)(2), 20 CFR 666.150)*

Wagner-Peyser: The Wagner-Peyser agency imports wage record information from state UC files, WRIS and FEDES on a quarterly basis for exiters to determine Common Measures.

Access to the wage data for agency staff is in accordance with state and DOL guidelines.

Quarterly wage data from primarily the UI wage record system, and including WRIS (Wage Record Interchange System) data from other states, forms the backbone of the Common Measures performance outcomes. One-stop partner agencies share a common data system which promotes the exchange of individual customer information, enabling partners' common, real-time access to cross-agency participant information, including services provided, assessment results, referrals made, and length of time in services.

Quarterly Common Measures performance reports are generated for LWIAs and Career Centers contrasting current actual performance levels against their associated performance goals for each of the 9 (nine) common measures used in WIA and the 3 (three) used by Wagner-Peyser. This quarterly feedback allows management to evaluate current strategies and implement changes as necessary to achieve performance goals. Following the submission of the final Program Year WIA report to the USDOL, the actual performance level of each LWIA contrasted against their negotiated goals will serve as the basis for the awarding of incentives or the imposition of sanctions.

Access to quarterly wage records is available to one-stop partners through agreement/contract with the Unemployment Compensation agency in accordance with state and DOL guidelines.

WIA: Alabama is a partner within the Wage Record Interchange System [WRIS]. WRIS is an interstate clearinghouse through which Alabama can obtain UI wage records from other partner States for those individuals who received workforce services and subsequently obtained employment in other States. Alabama requests WRIS wages on a quarterly basis, corresponding to the submission of ETA 9090.

This wage information is utilized in calculating the Adult Entered Employment Rate, Employment Retention Rate, Average Wage Rate; as well as the Youth Placement in Employment performance measure. Performance data is shared with Local Areas in order to provide Management with the tools to better gauge and monitor program outcomes.

Alabama has designated the State Reporting/Technical Assistance section within the Workforce Development Division of ADECA as the Performance Accountability and Customer Information Agency (PACIA). The PACIA is the sole entity to the WRIS wage record information.

C. Services to Targeted Populations: *The State Operational Plan must describe how all the programs described in the plan will work together to ensure that customers who need a broad range of services receive them. This is an opportunity for the state to describe how One-Stop Career Center services will address more specific needs of targeted sub-populations identified in the economic analysis. The State Operational Plan must describe how the state will:*

- 1. Unemployment Compensation Services:** *Serve employment, re-employment, and training needs of unemployment compensation claimants; the long-term unemployed; the under-employed; dislocated workers (including trade-impacted dislocated workers and displaced homemakers); low-income individuals (including recipients of public assistance); migrant and seasonal farmworkers; veterans; individuals with limited English proficiency; homeless individuals; ex-offenders; older workers; individuals training for nontraditional employment; and individuals with multiple challenges to employment. (WIA Sections 112(b)(17)(A), (b)(17)(B), (b)(8)(A), 20 CFR 652.207, 663.600-.640, 29 CFR part 37.)*

In affiliation with the American Job Center (AJC) network, the Alabama Veterans' Services Program within the Alabama Career Center system shall offer comprehensive employment and career placement service to nearly 25,000 veterans a year through a combination of self- service Internet-based job services and direct assistance at Alabama Career Centers (One-Stops) throughout the state.

The Alabama Job Link (AJL) system, as a point of entry for self-service registration, provides a priority service notification to veterans and covered persons, which can be accessed through the following web link: https://joblink.alabama.gov/ada/mn_veterans_dsp.cfm. Veterans and persons entitled to priority services and training complete a universal application that includes features and questions designed to assist staff members in identifying them for priority services and training at the point of entry into the workforce development system.

Veterans who can use AJL competently are encouraged to self-register and make maximum use of the automated access to resources. Career center specialists and veterans' employment representatives review applications submitted by veterans and covered persons who register using self-service for the purpose of assessing the quality of the applications and resumes to ensure they reflect clearly stated job objectives, meaningful information with regards to work history, education and training, and that veterans' resumes represent veteran job-seekers adequately to enable employers to locate qualified veterans for job openings. Another action to ensure that veterans' receive priority is

the 24 hour email alerts sent to veterans on any matching work we find in Alabama Job Link data system. The automated system used by Alabama to select qualified candidates for job openings is programmed to refer only qualified veterans in the first 24 hours of the listing, unless no qualified veterans are available.

Priority service is also provided when veterans, or others eligible for priority, are identified at intake when registering for services at any Alabama Career Center, or other service delivery points. Career center specialists will ensure that each veteran completing a full application will have properly recorded their skills, education, training, job or career interests, work experience, licenses or certifications, employment availability, contact information, and other vital information.

Additionally, all career centers will use signage, graphics, and displays to inform veterans and Covered Persons of priority service (as described under Title 38 U.S.C. Chapter 41 and 20 CFR Part 1010) and as applicable to all federally-funded employment services and training.

Moreover, local career center managers will develop outreach activities to locate Covered Persons under Veterans' Priority. Managers or designated representatives will review special reports generated by AJL for the purpose of identifying veterans and Covered Persons who may be contacted and made aware of their priority in services and training. Career Center managers will develop local service strategies and training goals for veterans and Covered Persons entitled to Veterans' Priority, in consultation with their partner agencies and training providers, to encourage maximum utilization of services and training by veterans and Covered Persons.

All Alabama Workforce Development regions have implemented Veterans' Priority Service in the State WIA and Wagner-Peyser Plan of Service. Disabled Veterans Outreach Program (DVOP) representatives and Local Veterans Employment Representatives (LVERs) shall complement priority service to veterans and Covered Persons provided by the Alabama Career Center system, as mandated under Title 38 U.S.C., Chapter 41, and in accordance with the general and special provisions of the Jobs For Veterans State Grant (JVSG), and applicable regulations, policies, and directive guidance for JVSG from the Assistant Secretary, Veterans Employment and Training (ASVET), including Veterans Program Letters addressing DVOP-LVER Roles and Responsibilities.

The Alabama strategy leverages improvements in technology to enable career center specialists and veterans' employment representatives to review veterans' resumes submitted on-line and then contact veterans'

who appear to need further assistance in grooming their resumes or additional help in presenting their skills and abilities to employers, many of whom search our job bank with a method known as “skills-harvesting” in order to find veterans with the experience and education needed for their job openings. The AJL data system is designed to support employers searching for veterans, and automatically flags the resumes of veterans and Covered Persons who are identified as qualified candidates within the parameters entered by the employer. This advantages veterans who choose the AJL feature that enables an employer to contact them directly, with or without a referral through a posted job order.

Alabama DVOP representatives will prioritize their efforts with veterans who are facing challenges in securing employment, including veterans who appear to be having difficulty in using the Alabama Job Link (AJL) automated system. Although many veterans can and will use the internet-based self-registration and various self-service features, certain veterans will receive intensive services beyond core services. Veterans and Covered Persons who enter the Alabama Career Center (One-Stop) system shall be served initially by career center specialists. For veterans with significant barriers to employment, career center specialists will offer intensive services, and may refer veterans and Covered Persons to a DVOP for additional intensive services under the strategy of case management.

DVOP provide intensive services, including employment case management services, to veterans representing the following categories:

- a. All veterans enrolled in the Five-track Employment Program administered by the U.S. Department of Veterans Affairs, Vocational Rehabilitation and Employment (VR&E) Service. As covered in a separate agreement with VR&E, all clients referred from VR&E counselors will be provided job search services and case management as taught by the National Veterans Training Institute (NVTI).
- b. All veterans participating in the REALifelines program administered by the U.S. Department of Labor, Veterans Employment and Training Service (VETS).
- c. All Service-Connected Disabled Veterans (SCDV) with serious barriers to employment, such as veterans educationally or economically disadvantaged.
- d. Homeless Veterans registered in our system and seeking employment.

- e. Recently Separated Veterans, especially veterans with no significant work prior to military service.
- f. Other categories of veterans coping with significant challenges to employment and job training, as directed by VETS under the JVSG special provisions.

Veterans representing the categories above will be provided a written, comprehensive, Assessment of Employability, addressing the barriers to employment and a written Employment Development Plan (EDP) outlining the individual's plan for gaining employment.

LVERs assigned to Alabama Career Centers will facilitate the expansion of services and training provided to veterans. LVERs will integrate services to veterans and Covered Persons with all service and training providers within the Alabama Career Center network, to promote veterans as a category of job seekers who have highly marketable skills and experience, and advocate, on behalf of veterans, for employment and training opportunities with business, industry, and community-based organizations, so as to offer such veterans and eligible persons the maximum advantages of a full array of employment services and training opportunities, with priority given to the needs of disabled veterans, and other veterans designated by the ASVET, through existing programs, coordination, and merger of programs and implementing new programs under the WIA, as required by Section 112 (b)(17)(B), 322 of the Workforce Investment Act of 1998 and 20 CFR 1001.120-125, to ensure that veterans and Covered Persons are provided universal access to all services and training, and empowered with customer choice and customized access to those services which satisfy their individual needs for career development. In the provision of these services, veterans' priority will be followed in accordance with 38 U.S.C., Chapters 41 and 20 C.F.R. 1001.100 et seq. and the provisions of the Jobs for Veterans State Grant, pursuant to the Jobs for Veterans Act (Public Law 107-288) and the regulations under 20 CFR 1010.230, 1010.300-310.

LVERs work directly for the manager of the career center to which assigned. LVER duties are not limited to, but shall include the following:

Train system partners to enhance their knowledge of veterans' employment and training issues.

Promote the participation of veterans in employment and training programs.

Refer veterans to training, supportive services, and educational opportunities available in the career center system and other community providers.

Advocate for veterans with employers, educational and training providers, unions, apprenticeship programs, and the business community to promote employment and training opportunities for veterans and Covered Persons.

On at least a quarterly basis, LVERs will assist career center management in an assessment of the level of utilization and effectiveness of services and training that is provided to veterans and Covered Persons by all providers in the network as required by mandate and the policy of veterans' priority. The LVER will prepare and the manager shall submit a report in the format required by the ASVET to address compliance with the law, adherence to requirements of the WIA, the grant (JVSG), and applicable directives. Reporting will include the results of self-evaluation and a description of any corrective planning taken to resolve deficiencies or improve performance, effectiveness, and accountability. JVSG reporting by the State will affirm that services provided to veterans are consistent with the law and ASVET agreement.

The State tracks categories of job seekers and training participants as required by the U.S. Department of Labor, including specific categories of veterans and Covered Persons. The aggregate data is used to generate reports to assist State and local management monitor Veterans' Priority in services and training and to analyze actual performance outcomes in comparison to negotiated performance measures.

LVERs and DVOP representatives are state employees subject to the rules and provisions of the State Merit System. However, as required under the Federal Jobs for Veterans Grant, selection of LVERs and DVOPs will be in consultation with the State Director, Veterans Employment, and Training Service (DVET).

The assignment of LVERs and DVOP representatives will be based on analysis of the economy at the local level and the number of veterans seeking employment, particularly the number of veterans in categories established by law or the grant to receive greater emphasis in services and training.

2. **Disability Services:** *Serve the employment and training needs of individuals with disabilities. The discussion must include the state's long-term strategy to improve services to and employment outcomes of individuals with disabilities, including plans for the promotion and development of employment opportunities, job counseling, and*

placement for individuals with disabilities. (W-P Section 8(b); WIA Section 112(b)(17)(A)(iv), 20 CFR 663.230, 663.640, 667.275(a).)

The Alabama Disability Network's (ADN) goal is to provide a comprehensive workforce development system for individuals with disabilities in order to ensure access to career center core, intensive and training services, ensure coordinated community service delivery, streamline services, empower individuals, ensure universal access, and improve services to jobseekers and employers. The ADN is a partnership of governmental, employers, and faith-based and community-based organizations that coordinate services in Alabama's Career Center System.

ADN partnership funding from the Workforce Investment Act (WIA), Wagner-Peyser Act, disability capacity-building grants from the U.S. Department of Labor's (DOL) Employment and Training Administration, as well as DOL's Office of Disability Employment Policy, non-profit agencies, and foundations has enabled Alabama to experience tremendous success in improving education and training services and employment opportunities, including self-employment outcomes to individuals with disabilities through Alabama's Career Center System and its partners.

Through the ADN partnership funding and previous US/DOL grants, we have addressed the accessibility of the Alabama Career Centers throughout the state, secured up to date equipment and peripherals for accessibility, developed training manuals, on-line curriculum, guides, fact sheets, and other materials for capacity-building for staff, increased the community awareness and made significant strides in assisting individuals with disabilities achieve employment goals. Alabama's disability partners are committed to sustaining and improving the Alabama Disability Network.

Some major examples of Alabama's Disability Network accomplishments are:

- b. ADN partners conducted physical and programmatic accessibility reviews of all career centers throughout the state.
- c. ADN partner staff provided training to career center staff on disabilities, disability etiquette, and customer service.
- d. ADN partner staff expanded disability training to additional agencies, organizations, community colleges and postsecondary programs, and local businesses.

- e. ADN partner staff coordinated with the Social Security Administration's (SSA) work incentives and Ticket to Work programs, including establishing a SSA Employment Network to assist SSA disabled clients to obtain employment.
- f. ADN partner staff promoted communication between service providers, employers, and individuals with disabilities; facilitated an integrated service team approach when serving employers and customers; and located and access transitional support services for people with disabilities.

Alabama's long-term strategy is to continue to be responsible to research local, state, and federal grant opportunities to fund and sustain the ADN. In addition to this strategy, the Alabama Career Center System will continue to use best practices effectively to serve Alabama's disability population.

3. **Youth Services:** *Deliver comprehensive services for eligible youth, particularly youth with significant barriers to employment. (WIA Section 112(b)(18)(A).) The discussion must include how the state coordinates youth activities, including coordination of WIA Youth activities with the services provided by the Job Corps program in the state. Job Corps services include outreach and admissions, center operations, and career placement and transition services. (WIA Sections 112(b)(18)(C), 129.)*

The Governor's vision for Alabama's neediest youth to reach their maximum potential through active participation in a workforce investment system of quality services. In addition, the Alabama system will provide opportunities that will enable them to make informed and responsible choices, acquire critical and marketable skills, and be a healthy and caring member of their community.

Through the Governor's vision, Alabama has undertaken initiatives to create more effective youth services for transitioning our neediest youth, i.e., foster care youth, youth living in economically depressed areas with high school dropout rates and high juvenile offender rates. With the state's WIA youth resources, our goal is to continue to document the steps and process for local communities in how to create a unified system of services to assist the neediest youth in Alabama to become productive, happy, and healthy members within our communities and State.

The State has issued Department of Labor policy guidance regarding program of services for Youth to the three local areas. These guidance direct the areas to provide comprehensive WIA youth services, targeted toward the neediest youth. Local area representatives have been asked to

provide an update of their targeted youth programs at a meeting of the State Board.

Alabama's two Job Corps Centers located in Montgomery and Gadsden are viable partners in the State's Youth Investment System. Coordination is accomplished by local Career Center staff actively participating in various local Job Corps councils, etc., Community Relations Council, and the state's Job Corps Consortium (staff from both centers and local youth partners) that meets quarterly to discuss policy, strategies, and initiatives of serving the state's neediest youth. In addition, a Job Corp Center Director is a member of both the State Board and the Alabama Workforce Investment Local Board. These youth partners are cohesively working together to provide youth with opportunities to develop career options and improve their quality of life.

D. Wagner-Peyser Agricultural Outreach: *Each state workforce agency shall operate an outreach program in order to locate and to contact migrant and seasonal farmworkers (MSFWs) who are not being reached by the normal intake activities conducted by the local offices. To this end, each state agency must include in its State Operational Plan an annual agricultural outreach plan, setting forth numerical goals, policies, and objectives. Regulations at 20 CFR 653.107 require that the outreach plan include the following elements:*

1. Assessment of Need

The number of Migrant and Seasonal Farm Workers (MSFWs) in Alabama estimated by calendar quarter in PY 2011 were: July-September, 100; October-December, 25; January-March, 25; and April-June, 100. This is virtually unchanged from previous estimates. No significant increase in MSFW is expected in the State in PY 2012.

During PY 2011, two (2) MSFWs filed applications for work through the Career Center system. It is estimated that ten (10) MSFW will file applications for work through the Career Center system during PY 2012.

Information from WIA/MSFW grantee, Alabama Livestock and Crop Reporting Service, Extension Service and other knowledgeable sources have been used in assessing MSFWs needs.

Agricultural employers number approximately 2,000 in the State. During PY 2011, over 200 agricultural job orders were for 1,400 job openings were placed in Alabama JobLink. It is projected that in PY 2012, job orders will increase to 250 representing 1,900 agricultural job openings.

2. **Proposed Outreach Activities**

The Alabama State Employment Service, as recipient of the Wagner-Peyser grant and as a Partner Agency in Alabama's One-Stop Career Center system, affirms that all available Wagner-Peyser Act services, such as job search assistance, testing, and referral services, will be made available to MSFWs equitably, and to the extent that is comparable to services provided non-MSFW customers. Outreach will assist in providing timely information to other Partner Agencies, and Workforce Development Boards, about special employment, training, economic and educational needs of MSFWs and their families. Outreach activity will interface with the WIA 167 grantee activities to assure all resources and assistance available to MSFW and their families is accessible. The continuing agreement with the WIA/MSFW Grantee will produce approximately 100 MSFW outreach contacts and Wagner-Peyser staff will make 850 contacts during PY 2012.

3. **Services Provided to Agricultural Employers and MSFWs through the One-Stop Delivery System**

Each Career Center will contact MSFW individuals and groups to identify needs and to provide services to those not reached by usual local office intake activities. Pre seasonal surveys will be conducted by Career Center staff with leads provided by the State Office Monitor Advocate to determine anticipated MSFW population in local office areas on a month to month basis. Intensive effort will be made to contact all MSFW whose usual residence is in the local office area and those that migrate into the area that do not contact Centers for service. MSFW will be informed of their rights to full Career Center services and invited to the local office for registration, assessment, and appropriate services. Services including job referral, job development, testing, as well as referral to other service agencies will be provided.

Bilingual staff will be assigned where possible to Centers where substantial proportions of MSFW are primarily fluent and/or literate in Spanish, but not in English.

Career Centers will continue an active employer relations program to serve agricultural employers. This effort will be intensified to assist farmers as they seek new recruitment sources of labor. The bulk of agricultural operations in Alabama are not labor intensive, and as a result, operations rely on family members, year-round workers, and mechanization. In many instances, operations which are labor intensive depend on seasonal help from locals. Based on experience and knowledge of the labor market, areas which have traditionally used MSFW have been identified. Through the network of local Career Centers, contacts in the community, and awareness of local labor market

conditions, a network is in place to identify employers who use, or are likely to use MSFW.

The basic outreach program and an intensive employer relations campaign in areas of need forms the basis for employer/worker linkage. Implementation of a new program, Work Alabama, offers a streamlined process for farmers needing temporary workers and workers seeking temporary work to register and recruit through Alabama JobLink. Additionally, Career Center staff in intensive farm labor areas network with community agencies in an attempt to ensure that the full range of needed services are delivered to farm workers and employers.

State and Career Center staff will participate in agricultural forums, conferences, and meetings to make farmers aware of all services available to them including Work Alabama, the automated job order system, H2A Program, and other rural manpower services.

This plan has been reviewed and commented on by the State MSFW Monitor Advocate. The WIA/MSFW Grantee will receive a copy of this plan for comment. The State Monitor Advocate has reviewed the Affirmative Action section of the State Plan.

4. Numerical goals

No significant increase in MSFW is expected in the State in PY 2012. Outreach contact goal for WIA/MSFW Grantee is expected to be approximately 100 and Wagner-Peyser staff will make another 850 contacts during PY 2012. It is estimated that ten (10) MSFWs will file applications for work through the Career Center system during PY 2012.

5. Data analysis

All Career Center services, such as job search assistance, testing, referral, training, and assessment services are made available to MSFW equitably through the Career Center System. The Employment Service Outreach assists in providing timely information to other partner agencies, and workforce investment boards, about special employment, training, economic, and educational needs of MSFWs and their families. It is anticipated that an estimated 200 MSFWs will be reached annually through this outreach program. Outreach Workers' activity will interface with the WIA 402/WIA § 167 grantee activity to assure all resources and assistance available to MSFWs and their families is accessible.

Outreach services to MSFWs will comply with Federal Regulations at 20 CFR 653.107 to contact those workers traditionally not reached by the usual local office intake activities. Each local Career Center will

identify MSFWs service needs and contact individuals and applicant groups to offer and provide services to those not usually reached by local office intake activities. Local office staff conduct pre-seasonal surveys with leads provided by the State Office to determine anticipated MSFW population in local office areas on a month to month basis. Intensive efforts are made to contact all MSFWs whose usual residence is in the local office area and those that migrate into the area that do not contact local offices, branch offices or itinerant points for service. MSFWs will be informed of their rights to full ES services and invited to the Career Center office for completion of work applications in accordance with ES/MSFW regulations. Services including job referral, job development, testing, as well as referral to other service agencies will be provided. Appropriate media publicity is directed to MSFWs, informing them of their rights under various Federal and State laws, as well as directives of service agencies in the community. Handouts will be given to each person contacted advising them of this information.

Bilingual regular and outreach staff are assigned to offices where substantial proportions of MSFWs are primarily fluent and/or literate in Spanish, but not in English. Recruitment of staff from persons with MSFW backgrounds will be conducted specifically among home-based Alabama migrants.

- E. Service to Employers:** *The State Operational Plan must describe how the state will coordinate efforts of the multiple programs included in the plan to meet the needs of business customers of the One-Stop system in an integrated fashion, such as hiring plans, training needs, skill development, or other identified needs. The State Operational Plan should also describe how the state will use program funds to expand the participation of business in the statewide workforce investment system. (WIA Sections 111(d)(2), 112(a), 112(b)(8), 112(b)(10), W-P Section 8, 20 CFR 661.205(b)(1).)*

Alabama Career Centers provide a comprehensive network of services to address the needs of employers in every community. The Alabama Career Centers provide an integrated continuum of employer services throughout the cycle of hiring plans (recruiting and screening), skill training and education development, retention and up-grading skills (OJT, Incumbent Worker Training), and transitioning (Rapid Response, TAA, Base Closure and realignment). Specific examples of the state's multiple workforce development programs coordinating employer services through Alabama's Career Centers are:

- Recruitment, Screening, Referral - Alabama Industrial Development Training (AIDT) uses the state's career centers to meet the employer needs of new and expanding businesses and industries; Alabama Technology Network (ATN) uses career centers to meet the employer

needs of existing businesses and industries; and the career centers meet the employer needs on an individual basis.

- Skills Training and Education Development - Career Centers provide access to core, intensive, and training and education services that creates a competent pool of potential employees; training programs that offer industry-recognized certification, pre-employment classes; and on-the-job training programs.
- Retention and Up-grading - Career Centers develop training services to retool incumbent workers, supports employee retention by referrals to supportive services such as transportation, childcare assistance, Food Stamps, and mentoring programs to individuals engaged in training; assists employers in applying for Work Opportunity Tax Credits (WOTC); and assists in lay-off aversion strategies.
- Transitioning - Alabama's Career Centers assists in WIA State and Local Rapid Response activities; provides on-site business services, such as pre-layoff and retraining information; Trade Adjustment Assistance – providing training and income support program for transitioning workers; and eases the transition from point of layoff notification to shut down.

Alabama's service to employer strategies draw from a vast array of multiple workforce and community resources to make a multitude of services available in addressing employer needs.

Local Areas and the co-located partners at the Alabama Career Center address the needs of business customers through ongoing collaboration. Recourses are shared including access to Alabama Joblink for centralized job listings that match local business with job seekers. Ongoing information is provided to business and industry which reaches community leaders and keeps them informed of workforce news.

The Local Area work closely with area educators at the K-12 level to link area industry with area education to improve student readiness for the local workforce and with post-secondary, including community colleges, to constantly evaluate and improve training programs to reflect the skills needed in aerospace, maritime, construction, and other industrial settings as well as in the fields of healthcare, materials handling and technology. By focusing the State's resources on these high demand areas, the State assist businesses to become more competitive by having a well trained and prepared workforce to fill their needs as the demand for their services grows.

On-the-Job training also provides a very flexible training option for specific skills for which no training program has been identified. Giving businesses

assistance in filling job openings with individuals who can be trained on site allows individual companies to expand their workforce at a lower cost.

F. WIA Waiver Requests: *States wanting to request waivers as part of their Operational Plan submission must attach a waiver plan, as required by 20 CFR 661.420(c), that includes the following information for each waiver requested:*

1. Statutory and/or regulatory requirements for which a waiver is requested.
2. A description of the actions the state or local area has undertaken to remove state or local statutory or regulatory barriers.
3. A description of the goals of the waiver, how those goals relate to Integrated Workforce Plan goals, and expected programmatic outcomes if the waiver is granted.
4. A description of individuals impacted by the waiver.
5. A description of the processes used to monitor implementation, provide notice to any local workforce investment board affected by the waiver, provide affected local workforce investment boards an opportunity to comment on the waiver request, and ensure meaningful public comment, including comment from business and labor.

Alabama is requesting the following waivers for consideration:

1. Conduct Evaluations, Local Incentive Grants, and Disseminating Training Provider Performance and Cost Information using Governor's Reserve
2. Increase the Allowable Transfer Rate between Adult and Dislocated Worker Programs
3. Common Measures
4. Eligible Training Provider List
5. Incumbent Worker Training at the Local Area Level
6. Transfer of Funds from Rapid Response to Statewide Activities

The waiver requests can be found in Attachment 7.

G. Trade Adjustment Assistance (TAA): *States must describe how TAA will coordinate with WIA/W-P to provide seamless services to participants and address how the state:*

TAA, WIA and Wagner-Peyser programs are closely coordinated in Career Centers in order to provide seamless services to TAA participants. TAA-eligible customers reporting to Career Centers are provided Wagner-Peyser core services through registration and an initial assessment performed through the automated data system (Alabama JobLink). Resume creation and job search are the emphasis of service at this point. Upon completion of core services, customers expressing an interest in training are provided WIA intensive services where a more specialized and intensive assessment of academic and occupational skills is administered. Participants identified for possible training

are then co-enrolled in both TAA and WIA programs. Special attention is given to ensure that customers' requesting training meet the six criteria for TAA-approved training. A Case Manager is assigned and the processes leading to training enrollment in TAA and co-enrollment in WIA are initiated.

- 1. Early Intervention:** *Provides early intervention (e.g. rapid response) to worker groups on whose behalf a TAA petition has been filed. (WIA Sections 112(b)(17)(A)(ii), 134(a)(2)(A), 20 CFR 665.300-.340.)*

Early intervention for possible TAA-eligible workers is provided by the State Rapid Response Unit assisted by local Career Center staff which together comprises the Rapid Response team. Customers attending Rapid Response General Employee Meetings are provided a general outline of available TAA services and instructed to report to their local Career Center upon receipt of their TAA eligibility notice. Available to assist in early interventions efforts are the Mobile Career Center Vehicle (MCCV) providing internet access to areas removed from Career Centers and ten (10) Portable One-Stops each offering 10 PCs with internet access.

- 2. Core & Intensive Services:** *Provides core and intensive services to TAA participants, as indicated in the encouragement of co-enrollment policies provided in TEGP 21-00. The description should provide detailed information on how assessments are utilized to identify participants' service needs, including whether participants need training according to the six criteria for TAA-approved training. (20 CFR 617.21(c), 617.22(a))*

Mandatory case management for all TAA participants was initiated in PY 2011. TAA case management, as mandated, must be provided by Wagner-Peyser merit staff. With WIA, already a case management driven program, a consolidation of program processes was a natural "next step" with the advent of Wagner-Peyser TAA case management. Training on the consolidated assessment and case management system for WIA and Wagner-Peyser TAA trainees was provided to all Career Center Site Managers and WIA and Wagner-Peyser TAA program supervisors. All participants requesting training services are subject to the same assessment services, Individualized Employment Plans, pre-training activities, progress reporting requirements and case management services. In addition, all forms relative to receipt of training funds have had all references to specific funding sources removed and are now generic to and required for all training participants.

- 3. Integrated Data:** *Has developed and managed resources (including electronic case management systems) to integrate data provided through different agencies administering benefits and services (TAA, Trade*

Readjustment Allowances, Unemployment Insurance, Employment Security, WIA, etc.) in order to ensure consistent program administration and fiscal integrity, as well as reliable fiscal and performance reporting. (May alternatively be discussed in “operating systems and policies” section of Operating Plan.) (WIA Sections 112(b)(8)(A), (B).)

Electronic enrollment information, assessment results, case management notes, completion and certification information, and exit information for both TAA and WIA participants are reported in the same manner through the AJL data system. This allows all Career Center staff, both WIA and Wagner-Peyser TAA to access progress reports and other information relative to a trainee’s services through the state-wide service tracking system. This integration of data from different partners into a commonly shared system allows Career Center staff access to all data pertinent to counseling or case management needs presented by the participant. These electronic records are also available to the TAA fiscal office, TRA Allowance, and Unemployment Insurance benefits staff.

Upon completion of training, credentials are captured, resume’s updated and labor exchange services begin. Participants receive follow-up and job search services. Final outcomes are entered in the automated data collection system.

- a. The WIA partners use a system that is called AlaWorks, which provides management information on WIA participants and budgets/expenditures.
- b. Wagner-Peyser utilizes AJL as its Labor Exchange system to provide management and public services delivery to both job seekers and employers.

AJL is a web-enabled Career Center workforce development system that has provided the next level of systemic transformation in the provision of employment services. AJL provides constant self-service for job seekers’ and employers’ job matching activities, enhanced Career Center customer services delivery management capabilities, case management, labor exchange job matching, and labor exchange information services. AJL also incorporates a “spidering” feature that affords system users instant access to millions of jobs worldwide. There are three main components of AJL: JobLink, ServiceLink, and Fiscal Link.

- i. JobLink: JobLink is a self-service job matching and workplace information service for employers and jobseekers. Jobseekers can establish an Internet account to

manage their self-directed job search activities and/or register with the public labor exchange to broaden their job search activities, to include staff-assisted services. Employers can establish an account to manage job orders and to search/view job seeker resumes. Additional assistance in seeking and finding talent may be leveraged through public labor exchange staff assistance.

- ii. ServiceLink: ServiceLink is a web-based Career Center client management application that allows case managers to track their caseload and report information required under Labor Exchange, Re-employment Services, WIA, TAA, and other federal programs. ServiceLink provides a standardized process for following participants through the workforce development system network. It eases the load for case managers by providing a tool that can manage and monitor caseloads, assess employment barriers, establish training and employment plans, search for WIA eligible training providers, and track job placements. ServiceLink collects all information required to generate reports for these federal programs. Some of the reports which may be generated under ServiceLink are Recently Soft Exited and Soft Exit Warning by Office; Job Service Activity Reports by Statewide, WIB and Office; WIA Youth Elements, NEG Project Quarterly Reports and WIA Quarterly Report by Statewide, Local Area, WIB and Office.
- iii. FiscalLink: FiscalLink allows case managers and program administrators the ability to process participant and vendor payments for workforce training programs.

AJL is available to all Career Center partners to support State and local workforce investment activities, such as a Career Center operational system designed to facilitate case management and service delivery across programs, a State job matching system, web-based self service tools for customers, and fiscal management systems.

III. Integrated Workforce Plan Assurances and Attachments: *This section provides a "check-the-box" table of assurance statements and a single signature sheet to certify that the information provided by the state, and submitted to the Department, in the following table is accurate, complete, and meets all legal and guidance requirements. The table below contains the assurances, the legal reference that corresponds to each assurance, and a column for the state to provide a reference to the document(s) that it believes meets the stated assurance or where the statute requires documentation of a policy or procedure. Such a reference may be a hyperlink to an on-line document or it may be an attachment. Not all assurances require documents to be attached or referenced. Where an approved special exemption, waiver, or an approved alternate structure makes an assurance not applicable to your state, please insert the words "Not Applicable" in the reference column.*

By checking each assurance, attaching the proper documentation or links, and signing the certification at the end of the document, the state is certifying it has met each of the legal planning requirements outlined in WIA law and regulations and in corresponding Departmental guidance. By checking each box and signing the certification, the state is also indicating that its supporting documentation meets all applicable Federal and state laws and regulations and is available for review. Any deficiencies in the documentation attached to each assurance identified during the state plan review process may result in additional technical assistance and a written corrective action as part of the Department's conditional approval of the state's Integrated Workforce Plan. Assurances that are part of the state's grant agreement are not duplicated here.

A. ASSURANCES AND ATTACHMENTS – PLANNING PROCESS AND PUBLIC COMMENT

	STATEMENT	REFERENCE	DOCUMENTATION and COMMENTS
1. <input checked="" type="checkbox"/>	The state established processes and timelines, consistent with WIA Section 111(g) – and, where appropriate, 20 CFR 641.325 (g) – to obtain input into the development of the Integrated Workforce Plan and to give opportunity for comment by representatives of local elected officials, local workforce investment boards, businesses, labor organizations, other primary stakeholders, and the general public.	WIA Sections 112(b)(9), 111(g) 20 CFR 661.207 20 CFR 661.220(d) 20 CFR 641.325(f), (g), (h), 20 CFR 641.335	<i>Attachment 16</i>
2. <input checked="" type="checkbox"/>	The state afforded opportunities to those responsible for planning or administering programs and activities covered in the Integrated Workforce Plan to review and comment on the draft plan.	WIA Sections 112(b)(9), 111(g) 20 CFR 661.207 20 CFR 661.220(d)	
3. <input checked="" type="checkbox"/>	The final Integrated Workforce Plan and State Operational Plan are available and accessible to the general public.		
4. <input checked="" type="checkbox"/>	The state afforded the State Monitor Advocate an opportunity to approve and comment on the Agricultural Outreach Plan. The state solicited information and suggestions from WIA 167 National Farmworker Jobs Program grantees, other appropriate MSFW groups, public agencies, agricultural employer organizations, and other interested organizations. At least 45 days before submitting its final outreach, the State provided a proposed plan to the organizations listed above and allowed at least 30 days for review and comment. The State considered any comments received in formulating its final proposed plan, informed all commenting parties in writing whether their comments have been incorporated and, if not, the reasons therefore, and included the comments and recommendations received and its responses with the submission of the plan.	WIA Sections 112(b)(9), 111(g) 20 CFR 661.207 20 CFR 661.220(d) 20 CFR 653.107 (d) 20 CFR 653.108(f)	<i>Attachment 18</i>
5. <input checked="" type="checkbox"/>	In the development of the plan, the state considered the recommendations submitted by the State Monitor Advocate in the annual summary of services to Migrant and Seasonal Farmworkers.	20 CFR 653.108(t)	
6. <input checked="" type="checkbox"/>	The state established a written policy and procedure to ensure public access (including people with disabilities) to board meetings and information regarding board activities, such as board membership and minutes.	WIA Sections 111(g), 112(b)(9), 117(e) 20 CFR 661.207	<i>Attachment 13</i>
7. <input type="checkbox"/> N/A	Where SCSEP is included in the Integrated Workforce Plan, the state established a written policy and procedure to obtain advice and recommendations on the State Plan from representatives of the State and area agencies on aging; State and local boards under the WIA; public and private nonprofit agencies and organizations providing employment services, including each grantee operating a SCSEP project within the state, except as provided under section 506 (a)(3) of OAA and 20 CFR 641.320(b); Social service organizations providing services to older individuals; Grantees under Title III of OAA, Affected Communities, Unemployed older individuals, Community-based organizations serving older individuals; business organizations and labor organizations	20 CFR 641.315(a)(1-10), 641.325 (f), (g), (h)	<i>N/A</i>

B. ASSURANCES AND ATTACHMENTS - REQUIRED POLICIES AND PROCEDURES

	STATEMENT	REFERENCE	DOCUMENTATION and COMMENTS
8. <input checked="" type="checkbox"/>	The state made available to the public state-imposed requirements, such as state-wide policies or guidance, for the statewide public workforce system, including policy for the use of WIA title I statewide funds.	WIA Sections 112(b)(2), 129, 134 20 CFR 665.100	http://www.adeca.alabama.gov/Divisions/wdd/Pages/gwdd.aspx .
9. <input checked="" type="checkbox"/>	The state established a written policy and procedure that identifies circumstances that might present a conflict of interest for any state or local workforce investment board member or the entity that represents, and provides for the resolution of conflicts. The policy meets the requirements of WIA Sections 111(f) and 117(g).	WIA Sections 112(b)(13), 111(f), 117(g)	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-05.PDF
10. <input checked="" type="checkbox"/>	The state has established a written policy and procedure that describes the state's appeals process available to units of local government or grant recipients that request, but are not granted, designation of an area as a local area under WIA Section 116.	WIA Sections 112(b)(15), 116(a)(5) 20 CFR 661.280 20 CFR 667.700	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-03.PDF
11. <input checked="" type="checkbox"/>	The state established written policy and procedures that describe the state's appeal process for requests not granted for automatic or temporary and subsequent designation as a local workforce investment area.	20 CFR 667.640 20 CFR 662.280	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-03.PDF
12. <input checked="" type="checkbox"/>	The state established a written policy and procedure that set forth criteria to be used by chief elected officials for the appointment of local workforce investment board members.	WIA Sections 112(b)(6), 117(b) 20 CFR 661.300(a), 20 CFR 661.325	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-04.PDF
13. <input checked="" type="checkbox"/>	The state established written policy and procedures to ensure local workforce investment boards are certified by the governor every two years.	WIA Sec 117(c) 20 CFR 661.325	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-13.PDF
14. <input type="checkbox"/> N/A	Where an alternative entity takes the place of an SWIB, the state has written policy and procedures to ensure the alternative entity meets the definition under section 111(e) and the legal requirements for membership.	WIA Sections 111(e), (b) 20 CFR 661.210	N/A
15. <input type="checkbox"/> N/A	Where the alternative entity does not provide representative membership of the categories of required SWIB membership, the state has a written policy or procedure to ensure an ongoing role for any unrepresented membership group in the workforce investment system. (Only applicable in cases where a state uses an alternative entity as its SWIB, and that entity does not provide for representative membership by individuals in the categories required by WIA sec. 111(b).)	WIA Sections 111(b), (e) 20 CFR 661.210(c)	N/A
16. <input checked="" type="checkbox"/>	When applicable, the state takes any action necessary to assist local areas in developing and implementing the One-Stop system.	WIA Sections 112(b)(14), 134(c) W-P Section 8(c)	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2003-02.pdf

17.	<input checked="" type="checkbox"/>	The state established procedures for determining initial and subsequent eligibility of training providers.	WIA Sections 112(b)(17)(A)(iii), 122, 134(d)(4) 20 CFR 663.515, 663.535	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-16.PDF and http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2002-03.pdf
18.	<input checked="" type="checkbox"/>	All partners in the workforce and education system described in this plan will ensure the physical, programmatic, and communications accessibility of facilities, programs, services, technology, and materials for individuals with disabilities in One-Stop Career Centers.	WIA Section 188 W-P Section 8(b) 29 CFR part 37 20 CFR 652.8(j)	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-18.pdf and http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2007-08.pdf
19.	<input checked="" type="checkbox"/>	The state ensures that outreach is provided to populations and sub-populations who can benefit from One-Stop Career Center services.	WIA Section 188 29 CFR 37	Attachment 19
20.	<input checked="" type="checkbox"/>	The state implements universal access to programs and activities to all individuals through reasonable recruitment targeting, outreach efforts, assessments, services delivery, partnership development, and numeric goals.	WIA Section 188 29 CFR 37.42	Attachment 10
21.	<input checked="" type="checkbox"/>	The state complies with the nondiscrimination provisions of section 188, including that Methods of Administration were developed and implemented.	WIA Section 188 29 CFR 37.20	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2003-07.pdf
22.	<input checked="" type="checkbox"/>	The state collects and maintains data necessary to show compliance with nondiscrimination provisions of section 188.	WIA Section 185	Attachment 10
23	<input type="checkbox"/> N/A	For WIA Single-Area States only, the state has memorandums of understanding between the local workforce investment board and each of the One-Stop partners concerning the operation of the One-Stop delivery system in the local area.	WIA Sections 112(b)(5), 116(b), 118(b)(2)(B), 20 CFR 661.350(a)(3)(ii)	N/A

C. ASSURANCES AND ATTACHMENTS - ADMINISTRATION OF FUNDS

	STATEMENT	REFERENCE	DOCUMENTATION and COMMENTS
24. <input checked="" type="checkbox"/>	The state established written policy and procedures that outline the methods and factors used in distributing funds, including WIA Adult, Dislocated Worker, and Youth formula and rapid response funds. The policy establishes a process for funds distribution to local areas for youth activities under WIA Section 128(b)(3)(B), and for adult and training activities under WIA Section 133(b), to the level of detail required by Section 112(b)(12)(a). In addition, the policy establishes a formula, prescribed by the governor under Section 133(b)(2)(B), for the allocation of funds to local areas for dislocated worker employment and training activities.	WIA Sections 111(d)(5), 112(b)(12)(A), (C), 128(b)(3)(B), 133(b)(2)(B), 133(b)(3)(B) 20 CFR 661.205(e)	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2010-11.pdf
24a. <input checked="" type="checkbox"/>	For Dislocated Worker funding formulas, the state's policy and procedure includes the data used and weights assigned. If the state uses other information or chooses to omit any of the information sources set forth in WIA when determining the Dislocated Worker formula, the state assures that written rationale exists to explain the decision.	WIA Section 133(b)(2)(B) 20 CFR 667.130(e)(2)(i)-(ii)	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2010-11.pdf
25. <input checked="" type="checkbox"/>	The state established a written policy and procedure for how the individuals and entities represented on the SWIB help to determine the methods and factors of distribution, and how the state consults with chief elected officials in local workforce investment areas throughout the state in determining the distributions.	WIA Sections 111(d)(5), 112(b)(12)(A), 128(b)(3)(B), 133(b)(3)(B), 20 CFR 661.205(e)	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-14.PDF
26. <input checked="" type="checkbox"/>	The state established written policy and procedures for any distribution of funds to local workforce investment areas reserved for rapid response activities, including the timing and process for determining whether a distribution will take place.	WIA Sections 133(a)(2), 134(a)(2)(A) 20 CFR 667.130(b)(2), (e)(4), 665.340	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2007-06Change05.pdf
27. <input checked="" type="checkbox"/>	The state established written policy and procedures to competitively award grants and contracts for WIA Title I activities.	WIA Section 112(b)(16)	<i>Attachment 14</i>
28. <input checked="" type="checkbox"/>	The state established written criteria to be used by local workforce investment boards in awarding grants for youth activities, including criteria that the governor and local workforce investment boards will use to identify effective and ineffective youth activities and providers of such activities.	WIA Sections 112(b)(18)(B), 123, 129	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-12.PDF and http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-20.PDF and http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2000-04.PDF

29.	<input checked="" type="checkbox"/>	The state established written criteria for a process to award a grant or contract on a competitive basis for Summer Youth Employment Opportunities element of the local youth program, where a provider is other than the grant recipient/fiscal agent.	WIA Sections 123, 129(c)(2)(C) 20 CFR 664.610.	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-12.PDF and http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-20.PDF
30.	<input checked="" type="checkbox"/>	The state distributes adult and youth funds received under WIA equitably throughout the state, and no local areas suffer significant shifts in funding from year-to-year during the period covered by this plan.	WIA Section 112(b)(12)(B)	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2011-19.pdf
31.	<input checked="" type="checkbox"/>	The state established written fiscal-controls and fund-accounting procedures and ensures such procedures are followed to ensure the proper disbursement and accounting of funds paid to the state through funding allotments made for WIA Adult, Dislocated Worker, and Youth programs, and the Wagner-Peyser Act.	WIA Sections 112(b)(11), 127, 132, 184 W-P Sections 9(a), (c) 20 CFR 652.8(b), (c)	http://www.adeca.alabama.gov/Divisions/wdd/Documents/NEW%20FISCAL%20MANUAL.pdf
32.	<input checked="" type="checkbox"/>	The state ensures compliance with the uniform administrative requirements in WIA through annual, onsite monitoring of each local area.	WIA Sections 184(a)(3), (4)	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2011-36.pdf
33.	<input checked="" type="checkbox"/>	The state follows confidentiality requirements for wage and education records as required by the Family Educational Rights and Privacy Act of 1974 (FERPA), as amended, WIA, and applicable Departmental regulations.	WIA Sections 136(f)(2), (f)(3), 122, 185(a)(4)(B) 20 USC 1232g 20 CFR 666.150 20 CFR part 603	Attachment 20 and http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2000-30.PDF
34.	<input checked="" type="checkbox"/>	The state will not use funds received under WIA to assist, promote, or deter union organizing.	WIA Section 181(b)(7) 20 CFR 663.730	

D. ASSURANCES AND ATTACHMENTS - ELIGIBILITY

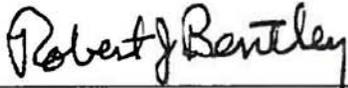
	STATEMENT	REFERENCE	DOCUMENTATION and COMMENTS
35. <input checked="" type="checkbox"/>	Where the SWIB chooses to establish them, the state established definitions and eligibility documentation requirements regarding the “deficient in basic literacy skills” criterion.	WIA Sections 101(13)(C)(i) 20 CFR 664.205(b)	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2006-04.pdf
36. <input checked="" type="checkbox"/>	Where the SWIB chooses to establish them, the state established definitions and eligibility documentation requirements regarding “requires additional assistance to complete and educational program, or to secure and hold employment” criterion.	WIA Sections 101(13)(C)(iv) 20 CFR 664. 200(c)(6), 664.210	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2000-05.PDF
37. <input checked="" type="checkbox"/>	The state established policies, procedures, and criteria for prioritizing adult title I employment and training funds for use by recipients of public assistance and other low-income individuals in the local area when funds are limited.	WIA Section 134(d)(4)(E) 20 CFR 663.600	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_1999-07.PDF
38. <input checked="" type="checkbox"/>	The state established policies for the delivery of priority of service for veterans and eligible spouses by the state workforce agency or agencies, local workforce investment boards, and One-Stop Career Centers for all qualified job training programs delivered through the state's workforce system. The state policies: 1. Ensure that covered persons are identified at the point of entry and given an opportunity to take full advantage of priority of service; and 2. Ensure that covered persons are aware of: a. Their entitlement to priority of service; b. The full array of employment, training, and placement services available under priority of service; and c. Any applicable eligibility requirements for those programs and/ or services. 3. Require local workforce investment boards to develop and include policies in their local plan to implement priority of service for the local One-Stop Career Centers and for service delivery by local workforce preparation and training providers.	WIA Sections 112(b)(17)(B), 322 38 USC Chapter 41 20 CFR 1001.120-.125 Jobs for Veterans Act, P.L. 107-288 38 USC 4215 20 CFR 1010.230, 1010.300-.310	http://www.adeca.alabama.gov/Divisions/wdd/GWDD/GWDD_2008-08.pdf

E. ASSURANCES AND ATTACHMENTS - PERSONNEL AND REPRESENTATION

	STATEMENT	REFERENCE	DOCUMENTATION and COMMENTS
39. <input checked="" type="checkbox"/>	<p>The state assures that Migrant and Seasonal Farmworker (MSFW) significant office requirements are met.</p> <p>Note: The five states with the highest estimated year-round MSFW activities must assign full-time, year-round staff to outreach activities. The Employment and Training Administration designates these states each year. The remainder of the top 20 significant MSFW states must make maximum efforts to hire outreach staff with MSFW experience for year-round positions and shall assign outreach staff to work full-time during the period of highest activity.</p> <p>If a state proposes that its State Monitor Advocate work less than full-time, the state must submit, for approval by the Department, a plan for less than full-time work, demonstrating that the state MSFW Monitor Advocate function can be effectively performed with part-time staffing.</p>	<p>WIA Section 112(b)(8)(A)(iii), 112(b)(17)(A)(iv) W-P Sections 3(a), (c)(1)-(2) 20 CFR 653.107(a), 107(i), 653.112(a), 653.108(d)(1)</p>	<p><i>Attachment 15</i></p>
40. <input checked="" type="checkbox"/>	<p>Merit-based public employees provide Wagner-Peyser Act-funded labor exchange activities in accordance with Departmental regulations.</p>	<p>W-P Sections 3(a), 5(b) 20 CFR 652.215 Intergovernmental Personnel Act, 42 USC 4728(b)</p>	<p>http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?%20and%20DIR%20Policies%20and%20Procedures%20Manual%20found%20at%20and%20http://dirnet/docs/PP20-HistoryAndOrganization.pdf</p>
41. <input checked="" type="checkbox"/>	<p>The state has designated at least one person in each state or Federal employment office to promote and develop employment opportunities, job counseling, and placement for individuals with disabilities.</p>	<p>W-P Section 8(b) 20 CFR 652.211</p>	<p><i>Attachment 17</i></p>
42. <input checked="" type="checkbox"/>	<p>If a SWIB, department, or agency administers state laws for vocational rehabilitation of persons with disabilities, that board, department, or agency cooperates with the agency that administers Wagner-Peyser services.</p>	<p>W-P Section 8(b) 20 CFR 652.211</p>	<p><i>Attachment 19</i></p>

STATEMENT OF ASSURANCES CERTIFICATION

The State, Commonwealth, or Territory of Alabama certifies on the 31 day of August month in 2012 year that it complied with all of required components of the Workforce Investment Act, Wagner-Peyser Act, and N/A (insert name of Act that authorizes programs included in State Plan). The State, Commonwealth, or Territory also 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.



Robert Bentley, Governor

08/31/12
Date

PROGRAM ADMINISTRATION AND DESIGNEES AND PLAN SIGNATURES

Name of WIA Title I Grant Recipient Agency:

Alabama Department of Economic and Community Affairs
Address: P.O. Box 5690, Montgomery, AL 36103-5690
Telephone Number: (334) 242-8672
Facsimile Number: (334) 242-5855
E-mail Address: Jim.Byard@adeca.Alabama.Gov

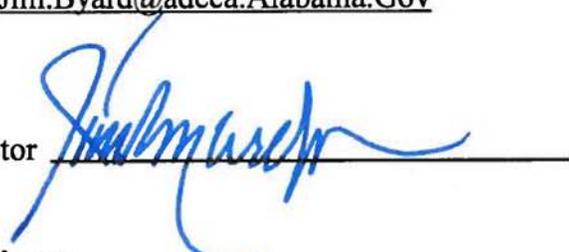
Name of State WIA Title I Administrative Agency (if different than the Grant Recipient)

Alabama Department of Economic and Community Affairs, Workforce Development Division
Address: P.O. Box 5690, Montgomery, AL 36103-5690
Telephone Number: (334) 242-5300
Facsimile Number: (334) 242-5855
E-mail Address: Steve.Walkley@adeca.Alabama.Gov

Name of WIA Title I Signatory Official:

Alabama Department of Economic and Community Affairs
Address: P.O. Box 5690
Montgomery, AL 36103-5690
Telephone Number: (334) 242-8672
Facsimile Number: (334) 242-5099
E-mail Address: Jim.Byard@adeca.Alabama.Gov

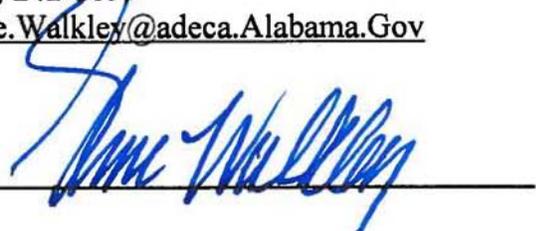
Jim Byard, Jr., Director



Name of WIA Title I Liaison:

Alabama Department of Economic and Community Affairs
Address: P.O. Box 5690, Montgomery, AL 36103-5690
Telephone Number: (334) 242-5300
Facsimile Number: (334) 242-5855
E-mail Address: Steve.Walkley@adeca.Alabama.Gov

Steve Walkley, Director



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

Alabama Department of Industrial Relations

Address: 649 Monroe Street, Montgomery, AL 36131
Telephone Number: (334) 242-8990
Facsimile Number: (334) 242-3690
E-mail Address: Tom.Surtees@dir.alabama.gov

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

Alabama Department of Industrial Relations

Address: 649 Monroe Street
Montgomery, AL 36131
Telephone Number: (334) 242-8990
Facsimile Number: (334) 242-3690
E-mail Address: Tom.Surtees@dir.alabama.gov

G. Thomas Surtees, Director



As the governor, I certify that for the State/Commonwealth/Territory of Alabama, the agencies and officials designated above have been duly designated to represent the State/Commonwealth/Territory 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: Robert Bentley

Signature of Governor Robert Bentley Date 11/31/12

Attachments:

1. Executive Order Number 21
2. Alabama Workforce Development System (Organization Chart)
3. Alabama Workforce Investment Board (Members)
4. Alabama Workforce Development System Roles and Responsibilities
5. Alabama Workforce Development Regional Councils (Map)
6. Alabama Career Centers (Map)
7. State of Alabama Workforce Investment Act Waiver Requests
8. State of Alabama Workforce Investment Act Waiver Approval
9. Alabama's Career Center System Operations Template
10. Workforce Investment Act Sec. 181(c) Grievance Procedures
11. Alabama Youth Workforce Investment Act Full Collaboration Model
12. Alabama Workforce Investment Act Adult, Dislocated Worker, and Youth Programs PY11 Actual/PY12 Negotiated Performance Goals
13. By-Laws of the Alabama Workforce Investment Board
14. Workforce Development Division Procurement Procedures
15. Migrant and Seasonal Farm Workers Outreach Plan
16. Integrated Workforce Plan Public Comments
17. Service to Handicapped Persons
18. MSFW Monitor Advocate approval letter
19. Memorandum of Understanding Alabama Workforce Investment Area's Career Center Partners
20. Confidentiality Requirements for Wage and Education Records
21. Key to Acronyms

Office of the Governor

ROBERT BENTLEY
Governor



Press Office

July 19, 2011

EXECUTIVE ORDER NUMBER 21

WHEREAS, the creation and preservation of jobs in the State of Alabama is of great importance to the economic well being of the State of Alabama;

WHEREAS, the alignment of resources, agencies and public and private organizations involved in economic development initiatives is essential to a successful economic development strategy;

WHEREAS, memoranda of understanding have been executed between the Department of Commerce and the public and private organizations involved in economic development initiatives defining their respective roles and responsibilities in economic development recruitment, retention, and renewal;

WHEREAS, after much consideration, it has been determined that the Alabama Economic Development Alliance should be formally established to more effectively and efficiently utilize the job creation and workforce development assets of the State of Alabama; and,

WHEREAS, the Alabama Economic Development Alliance shall consist of the Director of the DEPARTMENT OF COMMERCE; the President of the Economic Development Partnership of Alabama; the Chair of the Alabama Marketing Allies; the Chancellor of the Alabama Community College System, representing the Alabama Workforce Training System; the Chancellor of the University of Alabama System, representing universities and research organizations; and three local economic developer designees from the Economic Development Association of Alabama.

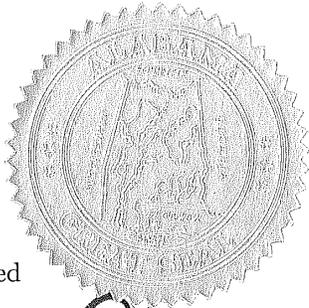
NOW, THEREFORE, based upon these considerations and for the good and valid reasons thereto, I, Robert Bentley, Governor of the State of Alabama, by virtue of the authority vested in me by the Constitution and laws of the State of Alabama, do hereby create the Alabama Economic Development Alliance to coordinate and direct the creation of a statewide economic development strategic plan to be submitted no later than December 31, 2011.

BE IT ORDERED that the Alabama Economic Development Alliance shall be chaired by The Honorable Seth Hammett, Speaker Emeritus of the Alabama House of Representatives, until the economic development strategic plan is completed. Upon completion of the economic development strategic plan, the Director of the SDC shall serve as chairman of the Alliance and will oversee implementation of the strategic plan.

Executive Order No. 21
Page 2

BE IT FURTHER ORDERED that this Executive Order become effective July 18, 2011, and shall remain in effect until amended or modified by the Governor.

DONE AND ORDERED this ____ day of July, 2011.

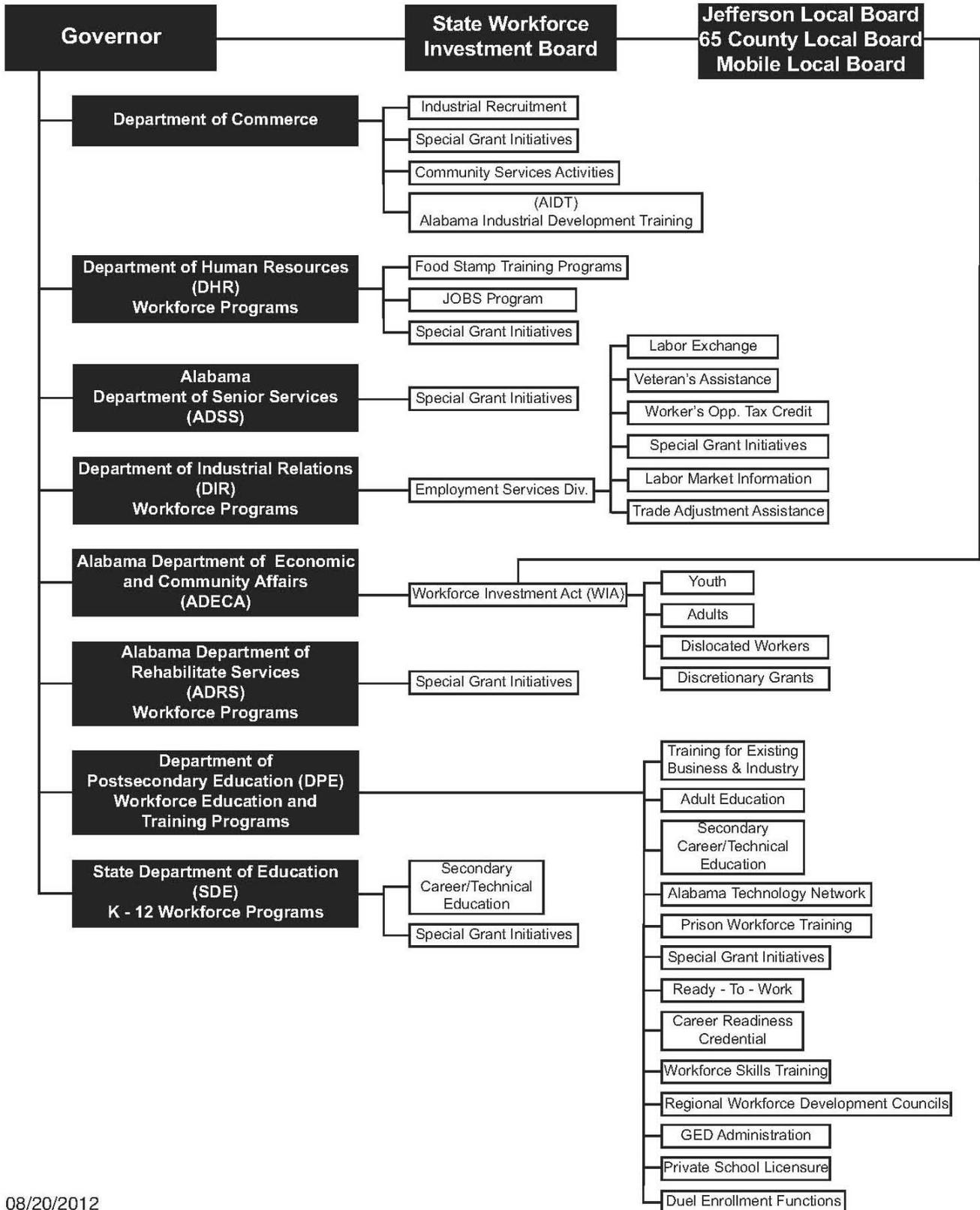


Attested

Beth Chapman
Beth Chapman
Secretary of State

Robert Bentley
Robert Bentley
Governor

Alabama's Workforce Development System (August 2012)



Alabama Workforce Investment Board

Membership by Category

60 Members

- 1. The Governor:** Robert Bentley
- 2. Two members of each chamber of the State legislature to be appointed by the presiding Officer of each Chamber, (WIA Section 111(b)(1)(b))**

Shadrack McGill
Alabama Senate

Clay Scofield
Alabama Senate

Terri Collins
Alabama House

Ed Henry
Alabama House

- 3. Representatives of Labor organizations, who have been nominated by state labor federations; (WIA Sec. 111(b)(1)(c)(iii) minimum of 2 (20 CFR Part 661.200(b)(2))**

Al Henley – Alabama AFL-CIO
Mary Allbritten – Alabama AFL-CIO

- 4. Representatives of individuals and organizations that have experience with respect to youth activities; (WIA Sec. 111(b)(1)(c)(iv) minimum of 2 (20 CFR Part 661.200(b) (2))**

Frank Coiro – Montgomery Job Corps Center
Susan McKim – Alabama Department of Children’s Affairs

- 5. Representatives of individuals and organizations that have experience and expertise in the delivery of workforce investment activities, including CEO’s of Community Colleges and community based organizations within the State; (WIA Sec. 111(b)(1)(c)(v) minimum of 2 (20 CFR Part 661.200(b) (6))**

Ed Castile – AIDT
Gregory Fitch – Alabama Commission on Higher Education
Frederick Hamilton – Jefferson County Community & Economic Development – JCWIA
Mark Heinrich – Shelton State Community College
Judy Merritt – Jefferson State Community College
Sydney Raine – Mobile Works, Inc. - MCWIA

6. Representatives of the WIA required One-Stop Partners; (WIA Sec. 111(b)(1)(c)(vi) (As listed in the Partner Memorandum of Understanding) (7)

Jim Byard, Jr. – Director, AL Dept. of Economic & Community Affairs, Montgomery, AL
Tom Surtees – Director, AL Dept. of Industrial Relations, Montgomery, AL
Tommy Bice – Superintendent, AL Dept. of Education, Montgomery, AL
Nancy Buckner – Commissioner, AL Dept. of Human Resources, Montgomery, AL
Neal Morrison – Commissioner, AL Dept. of Senior Services, Montgomery, AL
Cary Boswell – Commissioner, AL Dept. of Rehabilitation Services, Montgomery, AL
Susan Price – Interim Chancellor, AL Dept. of Postsecondary Edu., Montgomery, AL

7. Such other representatives and State agency officials as the Governor may designate; (WIA Sec. 111(b)(1)(c)(vii) (3)

Kib McKibbens – Governor’s Office of Small Business Development
Ron Scott – Economic Development Association of Alabama
Goodrich “Dus” Rogers – Jackson County Economic Development Authority

8. Chief Elected Officials (representing both cities and counties where appropriate); (WIA Sec. 111(b)(1)(c)(ii) (2)

Mayor Wayne Silas – City of Winfield
Commissioner Don Stisher – Morgan County Commission

9. Representatives of business in the state, who are owners of businesses, chief executives or operating officers of businesses, and other business executives or employers with optimum policymaking or hiring authority, ...which represent businesses with employment opportunities that reflect the employment opportunities of the State, and are appointed from among individuals nominated by State business organizations and business trade associations, (WIA Sec. 111(b)(1)(c)(i) (Majority of Board members) (33)

Patricia Adams – Hyundai Motor Manufacturing Alabama, LLC
Tim Alford* – Alabama Construction Recruitment Institute
Brian Barr – Brasfield & Gorrie
Jeff Bayer – Bayer Properties
Shane Boatright – Boatright Companies, Inc.
Ronnie Boles** – General & Automotive Machine Shop, Inc.
Joseph Brown – Alabama Power Company
Glenn Camp – H B & G Building Products, Inc.
John Carroll – Phifer, Inc.
Stan Chavis – Stan Chavis Insurance Agency
George Clark – Manufacture Alabama
Jeff Coleman – Coleman World Group
J. Ab Conner – Conner Brothers Construction Co., Inc.
A.J. Cooper – Cooper Law
Wayne Daugherty – Raycom Media

John Downs – Qualico Steel Company
Perry Hand – Volkert, Inc.
John Harper – Wiregrass Construction Co., Inc.
Bobby Humphrey – Ready Mix USA / Bryant Bank
Susan Johnston – East Alabama Medical Center
Elliot Maisel – Gulf Distributing Holdings, LLC
Bartley McCorquodale – McCorquodale Transfer, Inc.
Ken McPherson, Jr. – The McPherson Companies
Anne Payne – Bethel Farms
David Pearce – Alabama Catfish Feedmill, LLC
Ashley Ramsay-Naile – CrowderGulf
Mike Reynolds – BroadSouth Communications, Inc.
Quentin Riggins – Alabama Power Company
Doug Sellers – Merchant Capital, LLC
Steve Sloan – North American Lighting, Inc.
Dan Stracener – Tractor and Equipment Company
Sherry Vest – West Corporation
Cheryl Williams – The Coleman Group dba Spherion

- * State Workforce Investment Board Chairperson
- ** State Workforce Investment Board Vice Chairperson

Alabama Workforce Development System Roles and Responsibilities

Governor: is the chief executive officer of the state workforce system and is responsible for providing leadership and oversight through his office and through his position as chairman of the State Board of Education. He approves the State Integrated Workforce Plan for Workforce Development.

State Workforce Investment Board: is responsible for advising the Governor on the development of the State Integrated Workforce Plan for Workforce Development. The State Board is also responsible for designating local workforce areas, approving an annual report, and reviewing performance data.

Local Workforce Investment Boards: are responsible, in partnership with the chief local elected officials, for providing general leadership, oversight, and governance of the workforce development system in the local area in compliance with applicable state and federal policies and regulations. They are responsible for identifying eligible training providers and for approving the annual general program budget for their respective areas. The local board are also required to approve contracts with service providers for the local areas.

State Board of Education: is responsible for providing leadership, oversight, and for developing policies, programs, and budgets for career/technical education in the State's K-12 and postsecondary systems.

Chancellor, Department of Postsecondary Education: is the chief executive officer of the Alabama College System and provides leadership and oversight to all programs, including those related to workforce development.

Superintendent, Elementary-Secondary Education: is the chief executive officer of the K-12 public school system throughout the State which provides programs related to career education as well as technical education.

Department of Industrial Relations: contains the Divisions of ES, Unemployment Compensation, LMI, Hearings and Appeals, Workers Compensation, and State Programs. These divisions are primarily responsible for workforce security programs, but the ES Division is responsible for some workforce development programs, including Veterans' Assistance, Worker's Opportunity Tax Credit, and TAA. ES is also a major partner in the Career Centers throughout the State.

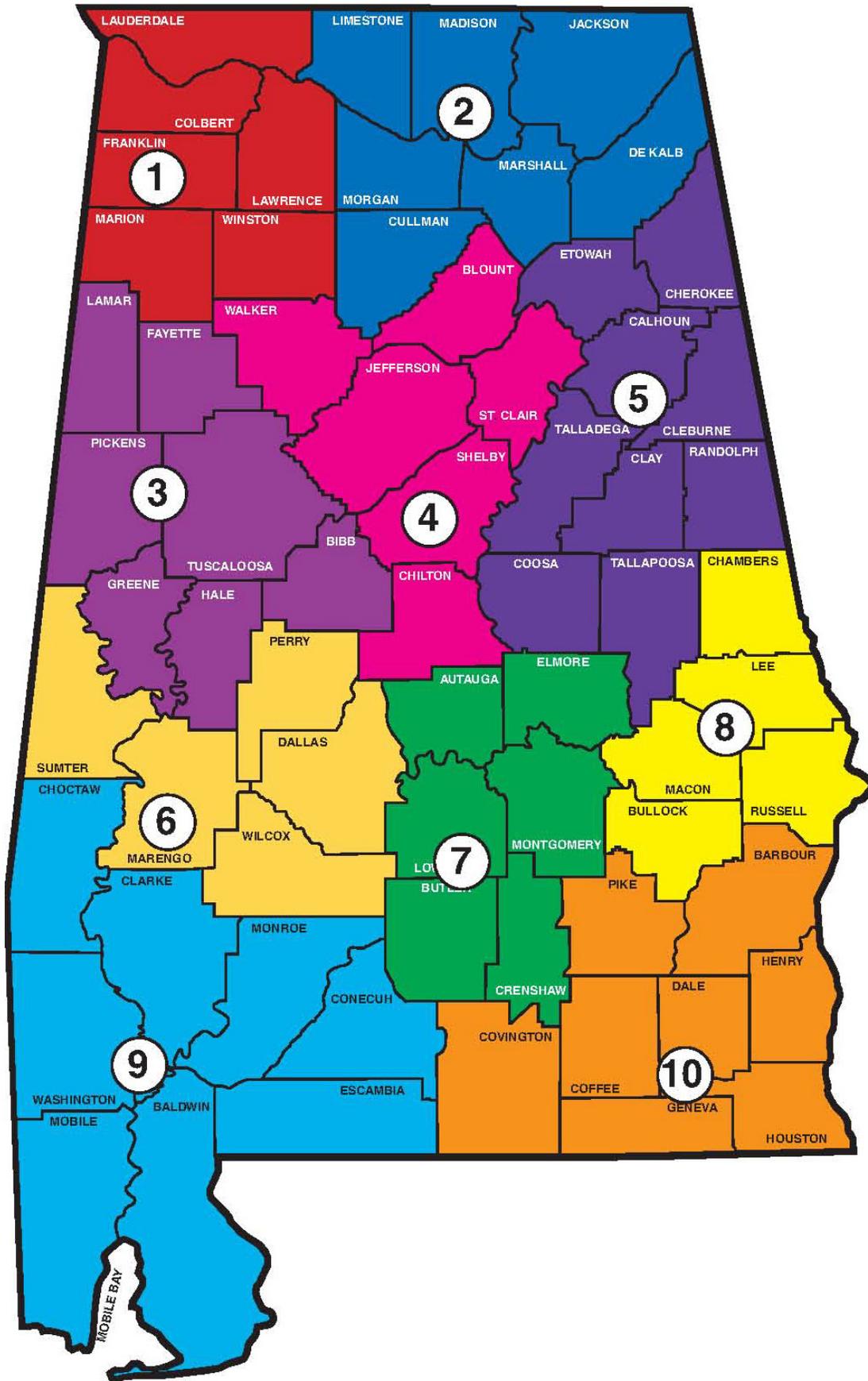
Department of Human Resources: is involved in the Workforce Development System through its Food Stamp Training Program and its JOBS Program.

Department of Rehabilitation Services: is involved in the Workforce Development System as a contractor of services for its clients who seek education and training for job preparation.

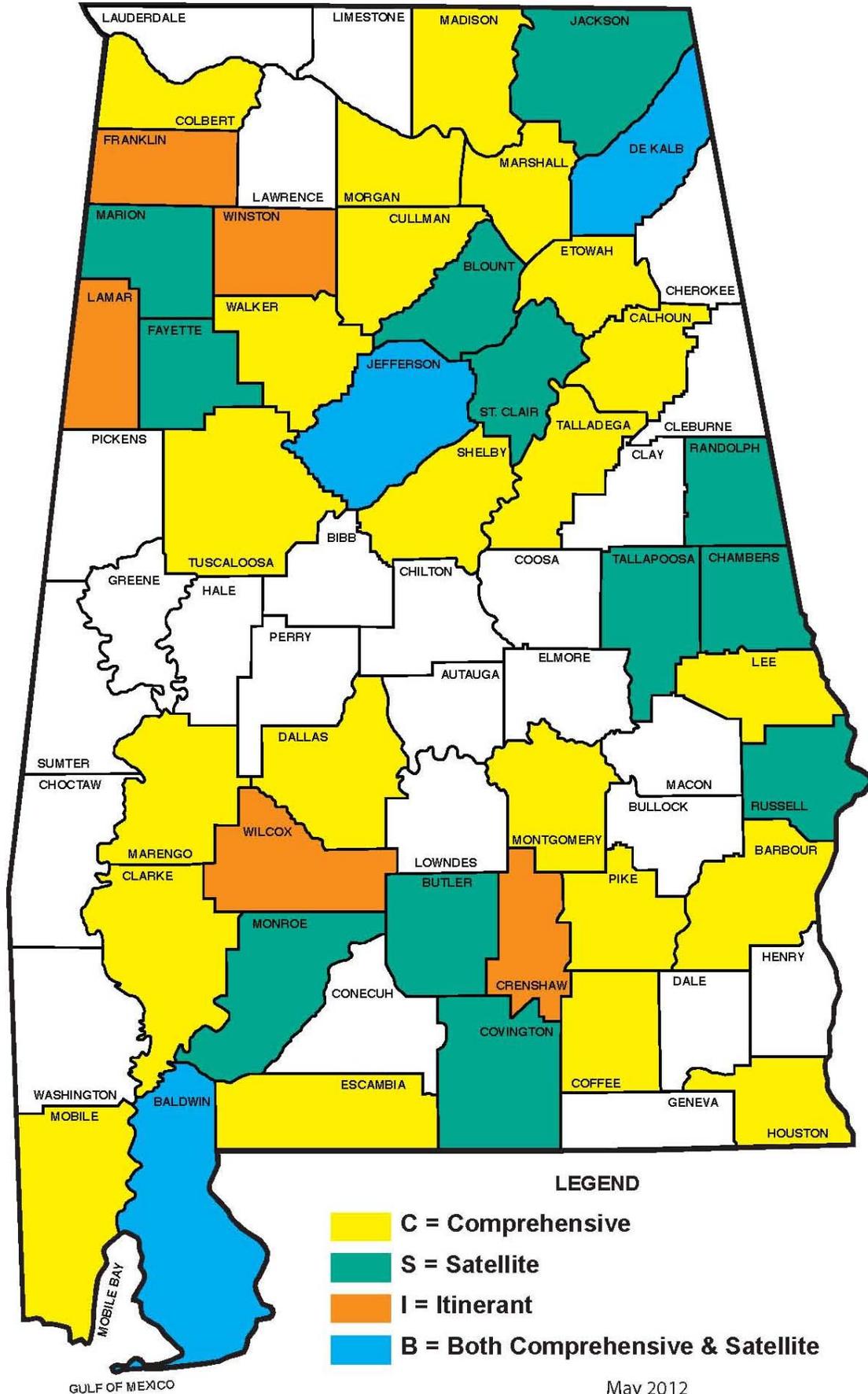
One-Stop Centers: are the primary vehicles for local assessment and referral to information and/or services in the Workforce Development System.

Regional Workforce Development Councils: gather and analyze regional labor market information, demographics, and other pertinent data to inform the state workforce development system of regional need, concerns, issues, priorities, and related action plans.

WORKFORCE DEVELOPMENT COUNCILS OF ALABAMA



Career Center Offices



GULF OF MEXICO

LEGEND

- C = Comprehensive
- S = Satellite
- I = Itinerant
- B = Both Comprehensive & Satellite

**State of Alabama
Workforce Investment Act
PY12 Waiver Requests**

The following are requests for waivers which have been in use by the State of Alabama for varying periods of time. They are submitted pursuant to 20 CFR 661.420(c).

Conduct Evaluations, Local Incentive Grants, and Disseminating Training Provider Performance and Cost Information using Governor's Reserve

1. Statutory Requirements to be Waived:

The State of Alabama is seeking:

- Waiver of WIA Section 134(a)(2)(B)(ii) and 20 CFR 665.200(d) requiring the conduct of evaluations of workforce investment activities for adults, dislocated workers, and youth.
- Waiver of WIA Section 134(a)(2)(B)(iii) and 20 CFR 665.200(e) requiring provision of incentive grants to local areas.
- Waiver of 20 CFR 665.200(b)(3) requiring dissemination of training provider performance and cost information.

2. State or Local Statutory Barriers:

There are no state or local barriers.

3. Goals of the Waiver and Expected Programmatic Outcomes:

The reduction to five percent in the WIA allotment for PY 2012 Governor's Reserve funds restricts the state's ability to effectively fund and carry out all of the required statewide workforce investment activities. The current funding level in the Governor's Reserve is insufficient to cover the cost of evaluations, incentive grants to local areas, and dissemination of training provider performance and cost information. The state's reduced funds are being used to cover the following required activities:

§ 665.200

(b) Disseminating:

- (1) The State list of eligible providers of training services (including those providing non-traditional training services), for adults and dislocated workers;
- (2) Information identifying eligible providers of on-the-job training (OJT) and customized training;
- (4) A list of eligible providers of youth activities as described in WIA section 123;
- (f) Providing technical assistance to local areas that fail to meet local performance measures.
- (g) Assisting in the establishment and operation of One-Stop delivery systems, in accordance with the strategy described in the State workforce investment plan. (WIA sec. 112(b)(14))
- (i) Operating a fiscal and management accountability information system, based on guidelines established by the Secretary after consultation with the Governors, chief elected officials, and One-Stop partners, as required by WIA section 136(f). (WIA secs. 129(b)(2), 134(a)(2), and 136(e)(2))

Funds are being used by the state in regard to WIA grant administration, oversight and monitoring, reporting to the USDOL, and for State WIB support as necessary.

Our goal in seeking this waiver is to ensure that the state may prioritize the use of Governor's Reserve funds for the required activities we deem most essential to the basic functions of the workforce investment system.

The following is the amount of funding available for statewide activities:

- Governor's 10% Program Funds Carried into PY12: \$811,367.54
- 5% Administrative Funds: \$4,012,213.82
- Rapid Response: \$919,338.81
- Total Available: \$5,742,920.17

The following amount would be spent on required activities:

- \$3,267,322.32 is budgeted/obligated for required activities.

Allowable activities are continuing to be funded with Governor's Reserve funds as follows:

- \$2,125,597.85 is budgeted/obligated for allowable activities
- \$350,000 of available FY13 RR Funds are not obligated and are available for "additional assistance" to local workforce investment areas, which may encounter a situation in which they need additional funds (beyond their formula D.W. funds) to meet the needs of eligible dislocated workers.

Once all required activities necessary for the Grantee to administer the WIA program, to include participant management information systems, reporting, oversight and monitoring, etc., are budgeted, then a determination is made as to funding new and/or continuing statewide programs/activities. Note that some previously funded programs such as the statewide ITA program, which was linked to dislocated workers who were provided services by the State Rapid Response Team, is winding down as new enrollments were stopped once it became apparent that the Governor would not be receiving any FY12 10 Percent Set Aside Funds. The highly successful Incumbent Worker Training Program is budgeted (limited amount) with Five Percent Administrative funds in order to keep it somewhat viable and to be able to offer some services to employers.

4. Description of Individuals Impacted by the Waiver:

This waiver will provide the state agency with more flexibility in directing Governor's Reserve funds to those activities that best preserve basic functions of the statewide workforce investment system.

5. Description of the Process to Monitor Waiver Program:

The State will monitor progress and ensure accountability for Federal funds in connection with these waivers by reviewing monthly expenditure, performance and other reports, through regular contact with the ETA Regional Office liaisons, and through its monitoring and performance accountability system.

6. Opportunity for Local Board and Public Comment on the Waiver Request:

Local workforce administrative entities were provided a copy of this proposed waiver request as well as the USDOL/ETA's June 29, 2012 reply to this request. Local areas have already been notified (during a recent WIA Roundtable Meeting) that no incentive grants would be made in PY 2011 or thereafter (until Governor's full 15 Percent Set Aside funds are restored to the state) due to the loss of Governor's 10 Percent WIA funds.

7. Public Comment on the Waiver Request:

Information of this request was made available on the ADECA website at www.adeca.alabama.gov for a minimum of 30 days prior to September 15, 2012. No comments were received in regard to this waiver.

Increase the Allowable Transfer Rate between Adult and Dislocated Worker Programs

1. Statutory Requirements to be Waived:

A waiver of the limits on transfers between adult and dislocated worker programs is requested. This limit is found in Section 133(b)(4) of WIA. This waiver would result in the ability to transfer up to 50 percent of funds from one of these programs to the other.

2. State of Local Statutory Barriers:

There are no existing State or local barriers, statutory or regulatory, to implementation of this waiver request.

3. Goals of the Waiver and Expected Programmatic Outcomes:

The primary goal of this waiver is to gain the flexibility needed to effectively use the funds allocated to the state under the Workforce Investment Act. By allowing the funds to be transferred as needed, based on the needs determined within each local area within the state, the funds will be more effectively used. Within the last two years, several areas of the state have been impacted by events that resulted in the State's ability to access National Emergency Grant funding. These NEG grants have focused on providing services to Dislocated Workers. Our ability to transfer WIA funds initially allocated for Dislocated Workers to the Adult fund has made it possible for us to serve a much larger number of individuals and to maximize the resources available to area industry for On-the-Job Training.

As Career Center representatives have indicated in the past, there are more applicants that qualify for Adult funding than for Dislocated Worker funding. Additionally, since dislocated workers can receive assistance from the Trade Adjustment Assistance and extended unemployment resources they are not as limited with their funding options. Also, many dislocated workers tend to extend their job search efforts rather than enter training courses.

4. Description of the Individuals Impacted by the Waiver:

The individuals impacted will be adults and dislocated workers who are in need of training and re-employment services. By having the flexibility to move the funds to the target group where the need is greatest, program participants, both adults and dislocated workers, will benefit from the waiver.

5. Description of the Process to Monitor Waiver Program:

Alabama's Workforce Investment Act planning and accounting procedures allow the state to keep track of and approve any transfers. We also track expenditures of funds in order to ensure the benefits of such transfers. The local areas track all fund sources on a monthly and quarterly basis to assure that funds are being made available to the most "in-need" populations. The 65-County (AWIA) and Mobile local areas have successfully utilized 100% of the funds allocated through the WIA funding process each program year. Jefferson County has not been as successful and lost dislocated worker funds (based on the June 30, 2012 ETA-9130 Reports) due to non-expenditure during the two-year life of funds at the local workforce investment area.

6. Opportunity for Local Boards to Comment on the Waiver Request:

The Local Workforce Boards have been provided a copy of their respective local area's annual plans which are, in turn, submitted to the state. In the plans, the intention to utilize the available waivers is expressed. Throughout the program year, as budgets and transfers are submitted to the State for review and consideration they must first be approved by the local Board. Additionally, information of this request has been made available to local areas through publication on the ADECA website at www.adeca.alabama.gov for a minimum of 30 days prior to September 15, 2012. Comments received will be reviewed and forwarded to the USDOL in a timely manner.

7. Public Comment on the Waiver Request:

Information of this request was made available on the ADECA website at www.adeca.alabama.gov for a minimum of 30 days prior to September 15, 2012. No comments were received in regard to this waiver.

Common Measures

1. Statutory Requirements to be Waived:

The State of Alabama is seeking to waive the provision of WIA Section 136(b) and (c) and accompanying Regulations §666.100(a) and §666.300(a) that specify the state and local performance measures currently required for WIA Title I programs.

2. State or Local Statutory Barriers:

There are no State or local statutory or regulatory barriers to implementing this requested waiver. Nothing in this waiver is intended to prevent the State or any local workforce board from implementing additional measures to assess performance.

3. Goals of the Waiver and Expected Programmatic Outcomes:

This waiver will allow Alabama to renew its performance focus and will facilitate system integration across partner programs. The common measures provide a simplified and streamlined performance measurement system that is more cost effective and understandable to business-led local boards. It is believed that case management, customer service, and operational effectiveness will be enhanced through the implementation of this waiver. By utilizing common measures, there is no requirement to conduct customer satisfaction surveys; therefore, the State will not conduct these surveys as long as the common measure waiver is in effect.

The waiver is viewed as a continuous improvement measure that will have the following far-reaching benefits and outcomes:

- Facilitate the goal of a fully integrated workforce system;
- Provide clear and understandable information to stakeholders concerning the use of public funds and return on investment;
- Improve case management integration, service coordination, and information sharing;
- Assist in the realignment of youth program designs to better implement the USDOL's vision for targeting out-of-school youth;
- Use a single set of measures for youth, thus eliminating the need to track younger and older youth through separate silos; and
- Reduce labor intensive data collection.

4. Description of Individuals Impacted by the Waiver:

All customers of the workforce system will benefit from this waiver. The quality and quantity of services to participants will be enhanced by focusing on fewer targeted outcomes. State and local program administrators will benefit as Alabama progresses toward a fully integrated workforce system that concentrates on demand-driven accountability measures.

5. Description of the Process to Monitor Waiver Program:

The Alabama Department of Economic & Community Affairs/Workforce Development Division (ADECA/WDD) will monitor the implementation and impact of the waiver, as well as progress toward meeting expected outcomes. This will be accomplished as follows:

- Alabama's participant tracking system will be used to monitor the data collection and

reporting of the common measures at both the state and local workforce areas. The system accommodates the common measures reporting requirements and allows for specialized reports to ensure the accuracy of data. This will enable the state and local area staff to identify technical assistance needs related to the implementation of the common measures.

- ADECA/WDD will review applicable policies, procedures, and manuals and modify them accordingly.
- Alabama will report performance on the common measures to the U.S. Department of Labor both quarterly and annually in accordance with USDOL prescribed procedures.
- ADECA/WDD will monitor the implantation of the waiver through regular contact with local area administrators as well as through meetings with Career Center staff and supervisors.
- Alabama's incentive and sanction policies will be developed around the common measures to reward success in meeting and exceeding performance and require timely corrective action to enhance the performance of the measures. (Incentives will resume if the Governor's 10 Percent Set Aside funds are once again allocated for the Governor's use by Congress.)

6. Opportunity for Local Boards to Comment on the Waiver Request:

The Common Measure goals and yearly performance are presented to board members at the quarterly meetings. Information of this waiver request has been made available through publication on the ADECA website at www.adeca.alabama.gov for a minimum of 30 days prior to September 15, 2012. Comments received will be reviewed and forwarded to the USDOL in a timely manner.

7. Public Comment on the Waiver Request:

Information of this request was made available on the ADECA website at www.adeca.alabama.gov for a minimum of 30 days prior to September 15, 2012. No comments were received in regard to this waiver.

Eligible Training Provider List

1. Statutory Requirements to be Waived:

WIA Section 122(d) requires the annual submission by training providers of program information on all individuals participating in an applicable training program. This has proven to be an overly burdensome requirement. If performance information was required only for WIA-funded program participants, the collection of information would be much less burdensome and compliance would be manageable.

2. State or Local Statutory Barriers:

There are no existing State or local statutory or regulatory barriers to implementation of this waiver request.

3. Goals of the Waiver and Expected Programmatic Outcomes:

This waiver makes the provision of consumer information less burdensome and still provides information that is valuable to the consumer. This waiver allows the provision of helpful information to potential trainees without being overly burdensome.

4. Description of the Individuals Impacted by the Waiver:

This waiver impacts those customers who are eligible for WIA training services in that it would provide them with information about performance results for WIA-funded individuals in a given training program. This information is very valuable to the consumer in making critical career decisions. Information about the entire group that has gone through training, regardless of funding, would also be valuable, but it has been extremely difficult to acquire. Confidentiality issues come into play when acquiring information about non-WIA students because Social Security Numbers are involved. Two-year colleges have been unable to overcome this issue.

5. Description of the Process to Monitor Waiver Program:

The ADECA Workforce Development Division will monitor the progress of the waiver through maintenance of the ETPL system, of which the Workforce Development Division is the administrator of the Internet website. The Workforce Development Division continues to work with the two-year colleges and the Department of Postsecondary Education to provide the best information available to those using the ETPL. Routine maintenance of the provider list ensures the information on the list (courses, addresses, etc.) are up-to-date. The State recognizes providers that are public training providers or private trainers that have been certified by the private school licensure unit of the State Department of Post-Secondary Education before they can be added to the registered training provider list.

During a previous program year the software was updated to Geo Solutions software and all of the previously stored data was reviewed and updated during the conversion process. The provider list is maintained by ADECA, utilizing the Geo Solutions software. The software allows for two-year colleges to update the courses they have available, and for local areas to review and send training provider data to the State. However, no changes can be made to the information on the website without the review and approval from ADECA Workforce Development Division staff.

6. Opportunity for Local Boards to Comment on the Waiver Request:

This waiver has been used by WIA local areas and boards for several years. They have taken no exception to it as it is helpful to them. This waiver request will be available for review and comment on ADECA's website (www.adeca.alabama.gov) for a minimum of 30 days prior to September 15, 2012. Comments received will be reviewed and forwarded to the USDOL in a timely manner.

7. Public Comment on the Waiver Request:

Information of this request was made available on the ADECA website at www.adeca.alabama.gov for a minimum of 7 days prior to September 15, 2012. No comments were received in regard to this waiver.

Incumbent Worker Training at the Local Area Level

1. Statutory Requirements to be Waived:

The Alabama Department of Economic and Community Affairs (ADECA), as the State Administrative Entity for the Workforce Investment Act (WIA), is requesting that its waiver of the restrictions on the use of local area WIA funds for Incumbent Worker Training at the local area level be extended.

WIA requires progression through a series of core, intensive, and training activities. The requirements for intensive services include, from WIA Section 134(d)(3)(A), being “...unemployed and are unable to obtain employment through core services...”, “...been determined by a one-stop operator to be in need of more intensive services in order to obtain or retain employment that allows for self-sufficiency.” WIA Section 134(d)(4)(A)(i) requires a person to have “...met eligibility requirements for intensive services...” and to be “...unable to obtain or retain employment through such services.” These requirements effectively block the use of local funds for Incumbent Worker Training.

With very limited State level funds (due to the loss of 10 Percent Governor’s Set Aside Funds and only limited amounts of Five Percent Administrative funds being available for IWT), it is more likely that Local Area’s will need to contribute to the IWT efforts. This waiver would allow Local Workforce Investment Boards, at their discretion, to spend up to 10 percent of local Dislocated Worker funds and up to 10 percent of local Adult funds for incumbent worker training only as part of a lay-off aversion strategy. Use of Adult funds must be restricted to serving low-income adults under this waiver. All training delivered under this waiver is restricted to skill attainment activities. Local areas must continue to conduct the required local employment and training activities at WIA section 134(d), and the State is required to report performance outcomes for any individual served under this waiver in the Workforce Investment Act Standardized Record Data System (WISARD). The approval of this waiver will help to prevent layoffs and closures by assisting companies in becoming more competitive through provision of needed training.

Alabama implemented an Incumbent Worker Training Program using state-level funds in 2001. This program has become very popular and very worthwhile. To date, local areas have used the waiver to a limited extent, but the waiver is a valuable tool for training incumbent workers. A state policy requires a dollar-for-dollar match of WIA funds by the employer. This waiver increases local flexibility to address the needs of the local labor market.

2. State or Local Statutory Barriers

There are no existing State or local statutory or regulatory barriers to implementation of this waiver request.

3. Goals of the Waiver and Expected Programmatic Outcomes:

This waiver provides Local Workforce Investment Boards the option to spend a portion of their WIA funding on Incumbent Worker Training. The Incumbent Worker Training Program is very popular with employers as industry competition is constantly increasing. Employers are required not only to work harder, but also to work smarter; and this requires employee training.

Incumbent Worker Training provides skill upgrade training to employees of companies that need the assistance, thereby assisting in retaining jobs and even in creating jobs. In addition to these benefits, Incumbent Worker Training is spreading the word about WIA funded programs and resources in a very positive way.

The State has experienced several major lay-offs within the last six months and continues to work with local business and industry to identify areas where layoff/closure risks may exist and put training in place to address these issues. Occasionally requests are received from local companies for resources to assist them to retrain or up-train their current employees to adapt to changing market forces or to integrate new skill sets into their process to remain competitive. Historically, these cases have first been referred to the State for consideration of support. Going forward, having the option of earmarking and investing 10% of funding toward IWT provides the Local Areas with flexibility to provide a better way to address local workforce training needs and provides them with another resource to help employers remain competitive.

In the event an appropriate application of IWT is identified locally, one local area will apply the same guidelines used to determine which industries are targeted as are applied to applicants seeking to be added to their Eligible Training Provider list. The current list of target areas approved by the Board includes Maritime, Aviation, Transportation/Materials Handling, Healthcare, Technology, Manufacturing and Construction. In an effort to streamline the review and approval process, the remaining local workforce areas would have the option to utilize the existing State IWTP Application and contracting process. Coordination would also occur with regard to the applicant pool. If applicable submissions are received by the State when state-level funding is not available, they would be passed along to the local workforce areas for funding consideration. The Local Workforce Investment Areas would coordinate with the State to ensure that they were considering the funding an IWT project, which is currently or recently funded by the State. Funding for IWT will be limited to training for skills that provide the worker with a substantial new level of function that secures that individuals long term employment prospects and/or provides the target business with a new or improved capacity that results in a more competitive position in the market/arena in which they are positioned.

Additional One-Stop Career Center services (to the affected employees) will also be made available including access to information about individual classes aimed at improving the employees' ability to craft a resume, seek out possible employment, and improve their career readiness through Work Keys and other Career Center activities. Outreach to employees, who are faced with the potential of downsizing or closure, will also include information about training resources that are available to individuals who have been laid off or who are interested in pursuing training in areas where more demand exists.

The Local Areas would utilize the IWT funding for those companies who have a clear strategy to implement training for existing employees as part of their layoff aversion effort. This training must also result in the guaranteed continuation of employment for those trainees who successfully complete the course and in addition, these employees must receive no reduction in pay and if appropriate, be considered for increased pay as a result of the new skills they have acquired via the training. No local workforce area funds will be made available to companies where no risk to the company related to major downsizing or closure exists. The Local Areas

would coordinate with the State to ensure that they were not funding an IWT Project currently or recently funded by the State.

4. Description of the Individuals Impacted by the Waiver:

The potential impact of this waiver is on employers and employees in businesses in which employees need training in order to remain competitive in the marketplace. Without the training, the business may have to lay off employees or close. The training makes the employees more valuable to the current employer and to other future employers.

5. Description of the Process to Monitor Waiver Program:

The ADECA Workforce Development Division will monitor the progress of the waiver by checking with local areas on any Incumbent Worker Training they provide and to check on them through the statewide management information system. As noted earlier, there will be continuous coordination between the State and Local Workforce Investment Areas. Also, expenditures will be reviewed to ensure that the approved limitation for use in IWT is not exceeded by any of the local workforce investment areas as they implement IWT projects.

6. Opportunity for Local Boards to Comment on the Waiver Request:

This waiver has been available to local areas for several years. Information of this request will be made will be available to local areas through publication on the ADECA website at www.adeca.alabama.gov for a minimum of 30 days prior to September 15, 2012. Comments received will be reviewed and forwarded to the USDOL in a timely manner.

7. Public Comment on the Waiver Request:

Information of this request was made available on the ADECA website at www.adeca.alabama.gov for a minimum of 30 days prior to September 15, 2012. No comments were received in regard to this waiver.

Transfer of Funds from Rapid Response to Statewide Activities

1. Statutory Requirements to be Waived:

The State of Alabama requests that its waiver of WIA Section 134(a)(3)(A)(iv)(I) be extended. This waiver allows the transfer on up to 20 percent of Rapid Response funds to WIA Statewide Activities in order that we may provide additional Incumbent Worker Training.

2. State or Local Statutory Barriers:

There are no existing State or local statutory or regulatory barriers to implementation of this waiver request.

3. Goals of the Waiver and Expected Programmatic Outcomes:

This waiver gives the state the flexibility to move funds from the Rapid Response program to Incumbent Worker Training, which greatly enhances the state's ability to adapt as situations dictate. Incumbent Worker Training has proven to be our best available tool to assist with layoff avoidance. With very limited funds (due to the loss of 10 Percent Governor's Set Aside Funds and only limited amounts of Five Percent Administrative funds being available for IWT), this waiver should result in IWT Projects being funded, which otherwise would not be funded due to a lack of funding. The Rapid Response funds would fund projects, which meet the criteria for "layoff aversion." The goal would be to preclude layoffs as well as providing employers with a workforce trained in the latest skills necessary for their companies to compete in a global economy by reducing "output" costs. The benefits to the employees is that the skills are often "transferable" to other jobs/industries should they eventually be laid off and/or terminate their employment with the employer.

Our State has experienced several major lay-offs within the last six months and our Local Areas continue to work with local businesses and industry to identify areas where layoff/closure risks may exist and put training in place to address these issues. Utilizing Rapid Responses funds, the IWT Program is vital to the specific situations where downsizing and closures can be avoided through skill upgrade training for current employees. By adapting to the changing market forces or integrating new skill sets the improved skill of the IWT trained employees can help companies to remain open and competitive. Through IWT training activities, financial competitiveness is positively affected with improvements in efficiency, downtime, customer satisfaction, and subsequently, overall job security. Alabama has lost 147,000 jobs during the past two years or so and the unemployment rate as of August 2012 is 8.5 percent.

Please keep in mind that the State is the project operator for the statewide IWT Program in Alabama. The State's waiver to use up to 20 percent of the PY12/FY13 Rapid Response funds for IWT is in addition to the Five Percent Administrative funds budgeted for IWT. The use of Rapid Response Funds is limited to IWT Applications from employers whereby without the provision of IWT, the company indicates that it will either "lay off employees" and/or close down its operations. If there are no companies, which meet the criteria, then Rapid Response funds will not be used for the IWT Program. As we first implemented a statewide IWT Program in 2001, we have used Governor's 10 Percent Set Aside funds and Rapid Response funds (via approved waiver) to fund approved IWT Program applications. We have also used Five Percent Administrative funds when it was determined that we had some Administrative funds, which could be used for the IWT Program when the 10 Percent Governor's Set Aside funds and Rapid

Response funds budgets were already obligated for IWT Projects. During Program Year 2012, we have established a limited budget of Five Percent Administrative funds to be used for IWT Projects to keep the program somewhat viable since the 10 Percent Governor's Set Aside funds are no longer available. If this waiver is approved, then Rapid Response funds will be used for specific projects meeting the required "layoff aversion" criteria.

The purpose of the program is to provide assistance to Alabama employers to help with certain expenses associated with new or upgraded skills training of full-time, permanent company employees. The IWT Program is accessible to every industry and business sector, aside from training providers, labor unions, and government entities. Allowable training services can be provided through Alabama's public or private educational institutions, in- or out-of-state private training organizations, professional trainers hired by the company, or a combination of training providers. These services can consist of occupational skills training designed to meet special requirements of a business or industry or can be educational training, other than degreed programs, such as workplace literacy, basic skills, "soft" skills, and English as a Second Language (ESL). Training services, which are not allowable include: training in professional fields in which continuous education is necessary to retain professional certification, such as Certified Public Accountants, degreed medical professionals, insurance providers, attorneys, etc. Additionally, training, which would result in advanced degrees such as associate, bachelor, master, or doctorate, cannot be provided through the IWT Program.

The training should result in some combination of the following, where applicable: business growth or expansion, productivity and efficiency improvements, reduced employee turnover to include layoff aversion and wage improvements of employees, the use of new technology to improve current production practices, and a positive return on investment of federal funds and employer matching contributions relevant to the outcomes achieved from the newly acquired skills obtained from the training activities.

The One-Stop Career Centers provide the full array of WIA services when determining eligibility for the IWT. The Career Center staff complete the enrollment process as well as the exit process upon completion of the training program. Employees are "on-the-job" during the IWT, which means that the employer is paying them while they're in training, which is usually on-site at the employer's place of business. Additional One-Stop Job Center services to the affected employees will also be made available including access to information about individual classes aimed at improving the employees' ability to craft a resume, seek out possible employment, and improve their career readiness through Work Keys and other Career Center activities. Outreach to employees, who are faced with the potential of downsizing or closure, will also include information about training resources that are available to individuals who have been laid off or who are interested in pursuing training in areas where more demand exists.

As far as "leveraged" resources, the employers are required to pay the employees their normal wages and benefits while they're in IWT. The requirement is a dollar-for-dollar expenditure by the employer for wages and benefits plus other costs not covered by the IWT Project such as trainer travel costs. The purpose of this requirement is to get a "buy in" by the employer to ensure that they're serious about implementing their approved project as well as ensuring the employees don't suffer a wage/benefit loss while they are in the IWT Project. On-the-job

training is also available to employers to encourage them to hire workers who are WIA eligible. However, employers are reluctant to hire new employees unless they perceive a positive economic outlook for their particular company.

4. Description of Individuals Impacted by the Waiver:

Individuals impacted by this waiver will be those workers whose companies are in need of employee training to meet the competitive demands of the marketplace. Provision of the training to these individuals helps the competitiveness of the company and helps the trainee by providing the worker with additional skills which are valuable at the current job and any future job.

5. Description of the Process to Monitor Waiver Program:

The ADECA Workforce Development Division will monitor the program through visits to companies, which have Incumbent Worker Training agreements and by reviewing information in our reporting system. As in past years, if approved, the waiver will be limited to the 20 percent of the Rapid Response funds approved for specific IWT as noted earlier. ADECA's Program Integrity Section has the responsibility for monitoring of state as well as local workforce programs. State staff, who administer the IWT Program, will have the responsibility of ensuring that only companies, which meet the "layoff aversion" criteria, are funded with Rapid Response funds. There's a zero tolerance for the misapplication of WIA funds.

The purpose of the program is to provide assistance to Alabama employers to help with certain expenses associated with new or upgraded skills training of full-time, permanent company employees. Training project applications are reviewed on a first-come/first-served basis, with priority given to companies that have not previously received IWTP funding assistance, until the budgeted funds are fully awarded. Each business (applying for funding assistance) must provide evidence of matching contributions, at least a dollar-for-dollar, for the funds requested and provide details regarding their layoff aversion strategy and how the requested training assistance will impact their layoff aversion goals. With high demand and limited funding available, all applications will be evaluated to leverage other state, federal, and private funds with IWTP funds. Upon receipt of an IWT application, a thorough review is conducted to determine if the applying company's current needs meet the requirements necessary to utilize Rapid Response funds for layoff aversion, reduced employee hours, and other economic difficulty.

The IWT program can be an appropriate solution for many employers if they can present a training program that: provides for new and/or upgraded job skills that are necessary for the company to maintain or increase competitiveness in a global economy, provide marketable work skills for the participating employees, demonstrate the effect of the training on business operations, and identify the skills that will be acquired by the employees. It is required that applicants for IWT funds provide clear and measurable anticipated performance outcomes for the company and the employees in the IWTP application. These outcomes may include; prevention of relocation; training of veterans, disabled, or minorities; contributions to the long-and/or short-term viability of the company; improve competitiveness and/or international trade opportunities; number of employees affected by the layoff aversion; number of jobs created

from training activities; short- and long-term wage improvements; turnover reductions; efficiency improvements; and profit margin improvements.

Local workforce investment areas do not apply to the “state” for funding of IWT Projects. The State administers its own statewide program; and local workforce investment areas would administer their own programs via a separately approved waiver for them to use part of their local WIA allocations for IWT. The local workforce areas have the option of using the State’s approved IWT Guidelines and application, which are on the ADECA web site. As in the past, the State would coordinate with the local areas to ensure that they were not funding an IWT Project currently or recently funded by the State. Also, the State would ensure that it was not funding an IWT project being served by a local workforce investment area or recently served by them. Local workforce area’s may also ask the State for assistance in the implementation and operation of their programs to further improve coordination of the IWT Program on the State and local level.

6. Opportunity for Local Boards to Comment on the Waiver Request:

Information of this request will be made will be available to local areas through publication on the ADECA website at www.adeca.alabama.gov for a minimum of 30 days prior to June September 15, 2012. Comments received will be reviewed and forwarded to the USDOL in a timely manner.

7. Public Comment on the Waiver Request:

Information of this request was made available on the ADECA website at www.adeca.alabama.gov for a minimum of 30 days prior to September 15, 2012. No comments were received in regard to this waiver.

U.S. Department of Labor

Department of Labor
Employment and Training
Washington, D.C. 20210

JUN 29 2012

The Honorable Robert Bentley
Governor of Alabama
State Capitol
600 Dexter Avenue
Montgomery, Alabama 36130-2751

Dear Governor Bentley:

This letter provides approval of an extension of Alabama's current Workforce Investment Act (WIA) and Wagner-Peyser Act (W-P) State Plan for a portion of Program Year (PY) 2012. This letter also provides approval of extensions for Alabama's waivers. Training and Employment Guidance Letter (TEGL) No. 21-11, issued on March 27, 2012, provides guidance for states to secure approval of their WIA/W-P State Plans and waivers for PY 2012. In accordance with TEGL No. 21-11 and your extension request, the State must submit a full five-year WIA/W-P State Plan and annual W-P Agricultural Outreach Plan by September 15, 2012.

Extension of State Plan

Alabama's existing State Plan will expire on June 30, 2012. This letter constitutes a written determination under WIA Section 112 (29 USC 2822) that the Employment and Training Administration (ETA) is temporarily extending the approval of Alabama's State Plan for WIA Title I and the Wagner-Peyser Act into PY 2012, July 1, 2012 through December 31, 2012. The State has already received its formula allotment for the WIA Youth program for PY 2012. The State is eligible to receive WIA formula allotments for Adult and Dislocated Worker programs and W-P initial base program allotments under the PY 2012 annual funding agreement for WIA and the PY 2012/Fiscal Year 2013 annual funding agreement for W-P.

Performance Levels

Alabama requested to temporarily extend its existing PY 2011 WIA and W-P performance goals for a portion of PY 2012. ETA has incorporated these performance goals, identified as PY 2012 performance goals, into the Regional and National Office copies of the State Plan. Please include these PY 2012 goals in the State's official copy of the State Plan. As required by TEGL 21-11, the state must renegotiate its new PY 2012 goals upon submission of its full State Plan.

Waivers

As part of the State's extension of the WIA/W-P State Plan, and as described in TEG L No. 21-11, the State requested temporary extensions of Alabama's PY 2011 waivers of statutory and regulatory requirements under WIA for PY 2012. The disposition of the State's waiver extensions is outlined below. This action is taken under the Secretary's authority at WIA Section 189(i) to waive certain requirements of WIA Title I, Subtitles B and E, and Sections 8-10 of the Wagner-Peyser Act.

Waiver of WIA Section 133(b)(4) to increase the allowable transfer amount between Adult and Dislocated Worker funding streams allocated to a local area.

The State was previously granted a waiver to permit an increase in the amount a state is allowed to transfer between the Adult and Dislocated Worker funding streams. The State is granted an extension of this waiver through December 31, 2012. Under the waiver, transfer authority is limited to 50 percent. This limitation provides states flexibility while ensuring consistency with Congressional intent regarding the level of funding appropriated for the WIA Adult and Dislocated Worker programs.

Waiver to permit the State to replace the performance measures at WIA Section 136(b) with the common measures.

The State was previously granted a waiver that allows the State to replace the 17 performance measures under WIA Section 136(b) with the common measures. The state is granted an extension of this waiver through December 31, 2012.

This waiver permits the State to negotiate and report WIA outcomes against the common performance measures only, rather than the performance measures prescribed at WIA Section 136 (b). The State will no longer negotiate and report to ETA on the following WIA measures: WIA adult and dislocated worker credential rates; participant and employer customer satisfaction; older youth measures and younger and youth measures. The State will use the three adult common performance measures to negotiate goals and report outcomes for the WIA Adult and WIA Dislocated Worker programs. The State will use the three youth common performance measures to negotiate goals and report outcomes for the WIA Youth program. Workforce Investment Standardized Record Data system (WIASRD) item 619, Type of Recognized Credential, should be completed for each individual as appropriate, regardless of this waiver to report on common performance measure outcomes only.

Waiver of WIA Section 134(a)(2)(B)(ii) and 20 CFR 665.200(d) to exempt the state from the requirement to conduct evaluations.

The State was previously granted a waiver of the requirement to conduct evaluations of workforce investment activities for adults, dislocated workers, and youth in order to establish and promote continuous improvement of the statewide workforce investment system. The State is granted an extension of this waiver through December 31, 2012.

Waiver of 20 CFR 65.200(b)(3) to exempt the state from the requirement to disseminate training provider performance and cost information.

The State was previously granted a waiver of the requirement to disseminate training provider performance and cost information. The State is granted this extension through December 31, 2012.

Waiver of the provision at 20 CFR 663.530 that prescribes a time limit on the period of initial eligibility for training providers.

The State was previously granted a waiver of the time limit on the period of initial eligibility of training providers provided at 20 CFR 663.530. The State is granted an extension of this waiver through December 31, 2012. Under the waiver, the State is allowed to postpone the determination of subsequent eligibility of training providers. The waiver also allows the State to provide an opportunity for training providers to re-enroll and be considered enrolled as initially eligible providers.

Waiver of WIA Section 134(a)(2)(B)(iii) and 20 CFR 665.300(e) to exempt a state from the requirement to provide local workforce investment areas incentive grants.

The State was previously granted a waiver of the requirement to provide local workforce investment areas incentive grants to reward regional cooperation, local coordination of activities, and exemplary performance. The State is granted an extension of this waiver through December 31, 2012.

Waiver of WIA Section 134(a) to permit local areas to use a portion of local funds for incumbent worker training.

The State was previously granted a waiver to permit local areas to conduct allowable statewide activities as defined under WIA Section 134(a)(3) with local WIA formula funding, specifically incumbent worker training. The State is granted an extension of this waiver through December 31, 2012. Under this waiver, the State will be permitted to allow local areas to use up to 10 percent of local Dislocated Worker funds and up to 10 percent of local Adult funds for incumbent worker training only as part of a layoff aversion strategy. Use of Adult funds must be restricted to serving lower income adults under this waiver. ETA believes limiting incumbent worker training to the specified level and requiring it to be part of layoff aversion is the best use of funds in the current economic climate where serving unemployed workers is a paramount responsibility of the worker system. All training delivered under this waiver is restricted to skill attainment activities. Local areas must continue to conduct the required local employment and training activities at WIA Section 134(d), and the State is required to report performance outcomes for any individual served under this waiver in the Workforce Investment Act Standardized Record Data system (WIASRD), field 309. TEGL No. 26-09, Section 7A, "Workforce Investment Act (WIA) Waiver Policy and Waiver Decision for PY 2009 and 2010" and TEGL No. 30-09, "Layoff Aversion

Definition and the Appropriate Use of Incumbent Worker Training for Layoff Aversion Using a Waiver” provide policy guidance related to implementation of this waiver.

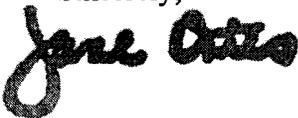
Waiver of WIA Section 134(a)(1)(A) to permit a portion of the funds reserved for rapid response activities to be used for incumbent worker training.

The State was previously granted a waiver to permit use of rapid response funds to conduct allowable statewide activities as defined under WIA Section 134(a)(3), specifically incumbent worker training. The State is granted an extension of this waiver through December 31, 2012. Under this waiver, the State is permitted to use up to 20 percent of rapid response funds for incumbent worker training only as part of a layoff aversion strategy. ETA believes limiting incumbent worker training to layoff aversion is the best use of funds in the current economic climate where serving unemployed workers is a paramount responsibility of the workforce system. All training delivered under this waiver is restricted to skill attainment activities. The State is required to report performance outcomes for any incumbent workers served under this waiver in the Workforce Investment Act Standardized Record Data system (WIASRD), field 309. TEGl No. 26-09, Section 7A, “Workforce Investment Act (WIA) Waiver Policy and Waiver Decisions for PY 2009 and 2010” and TEGl No. 30-09, “Layoff Aversion Definition and the Appropriate Use of Incumbent Worker Training for Layoff Aversion Using a Waiver” provide policy guidance related to implementation of this waiver.

The approved waivers are incorporated by reference into the State’s WIA Grant Agreement, as provided for under paragraph 3 of the executed Agreement, and this constitutes a modification of the State Plan. A copy of this letter should be filed with the State’s WIA Grant Agreement and the approved State Plan. In addition, as described in TEGl No. 29-11, the State should address the impact these waivers have had on the State’s performance in the WIA annual performance report, due on October 1 of each year.

We look forward to receiving your full State Plan for PY 2012 and working together as you implement it. If you have any questions related to the issues discussed above, please contact Terri Lonowski, the Federal Project Officer for Alabama, at (404) 302-5377 and Lonowski.Terri@dol.gov.

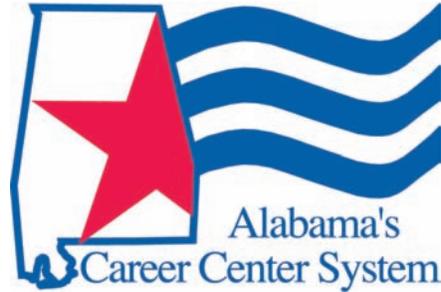
Sincerely,



Jane Oates
Assistant Secretary

Enclosure

cc: Helen Parker, Regional Administrator, ETA Atlanta Regional Office
Terri Lonowski, Federal Project Officer for Alabama



Alabama's Career Center System Operations Template

The vision we share is to build a workforce development system in Alabama which addresses and serves the workforce development needs of its employers and workers.

Career Center Advisory Committee: In order to assure that collaboration among not only the partner agencies has occurred, but also collaboration with private sector employers within the community, each Career Center will have a Career Center Advisory Committee. This Advisory Committee must include all partner agencies and have at least an equal number of private sector employers. The purpose of the Advisory Committee will be to provide recommendations for services, activities, marketing, and outreach efforts in the Career Center's area of operations. These Advisory Committees should meet not less than once per quarter, but more frequently when needed. In Mobile and Jefferson Counties, the LWIBs serve in these roles in addition to other roles.

Cross Awareness Training: It is essential for all Workforce Development Partners to participate in Cross Awareness Training. Each partner agency should train the staff of other partner agencies on the services and activities which are provided by his/her agency. In this way, each staff person in the Career Center will be better able to refer employers and workers to the appropriate activity(ies) and service(s). Cross Awareness Training should be held frequently, as staff members and services and activities change. It is good to better understand what your partners are doing.

Customer Satisfaction: Each Career Center must have a customer feedback system to determine how customers feel about the physical structure, about how they were treated by staff, if any problems were encountered, what was wrong, and what was right. This should be an ongoing process and should be conducted by each Career Center. One questionnaire should cover all partner agencies. This information should be reviewed by the Career Center Advisory Committee and changes should be recommended accordingly.

Collocation: While collocation is not required by law, it is by far the most effective way to reach the objectives of a Career Center, including integration of staff and customer choice. Collocation eases the process of cross awareness training, thereby enhancing collaboration among staff. To facilitate collocation, each partner that is not collocated at present should ensure that it has a clause in its lease, which allows it to escape from the lease for the purpose of collocation into a Career Center.

Partners: The minimum partners for each comprehensive Career Center should be the WIA Title I entity, Employment Security, Adult Education, and Rehabilitation Services. Other partner agencies should be collocated as feasible.

Non-comprehensive Career Centers: Those offices, which do not have all the partners indicated above, but do have two or more of the required partner entities and have a resource area with information on a wide variety of workforce development programs and services, may be deemed to be a Non-comprehensive Career Center with the approval of the Workforce Development State Partner Group.

Resource Area: Each Career Center should have a resource area within which computers are available for resume preparation and Internet access for job search. The resource area should also contain a wide variety of printed material on community resources; workforce development activities, programs, and services, including services provided by partner agencies and those provided by non-partner agencies.

Putting the Customer First: Career Centers have two primary sets of customers: employers and job seekers. Career Centers must constantly look for ways to improve services to customers and avoid any policies that do not keep customer service as the goal.

“Kiddie Corner”: Each Career Center should have an area designated for use by the children of customers who are visiting the Career Center. It should have small tables and chairs, games, and books available for use by the children. This is not a requirement to have full-time day care for customers.

Career Center Names: Many of the Career Center names are difficult to locate in a telephone listing because the name does not include the name of the town/city in which the Career Center is located. In the interest of being able to locate the telephone listing for a given Career Center, each Career Center should be listed under “Alabama’s Career Center System,” followed by the place name, such as “Alabaster”, or “Mobile”.

Telephone Listing: Each Career Center should have a telephone listing for the Career Center, as indicated above, in addition to any listing for each partner agency. Any marketing done will be for the Career Center and not for the individual partner agency, so the Career Center listing will be what a customer attracted by marketing efforts will be looking for. Each Career Center should, at a minimum, have a listing in the white pages of the telephone book as well as a yellow page listing under the heading, “Employment Agencies.”

Signage: Each Career Center and non-comprehensive Career Center should have a main sign prominently displayed on the front of the Career Center building, which says, “Alabama’s Career Center System,” and includes the full color (red, white, and blue) logo. This main sign should not have other information such as partners listed on it. If there is a sign between the front of the building and the street, it should contain the same name and logo. This is needed for Statewide recognition of Alabama’s Career Center System.

WIA Section 181(c) Grievance Procedures

I. Guidelines for Local Workforce Investment Area Grievance Procedures Under the Workforce Investment Act (WIA)

Scope and Purpose

Each local workforce investment area in the Alabama Workforce Investment System must establish and maintain grievance procedures. The procedures must provide for resolution of grievances or complaints from participants and others affected by the local workforce investment system, including complaints about WIA Title I-funded programs and services administered by One-Stop partners and service providers. Local area procedures should include a process for referring grievances and complaints related to One-Stop partners' programs (non-title I-funded) to the appropriate partner agency.

Local area grievance procedures must be designed to resolve grievances or complaints that allege violations of Title I of WIA. Employee grievances or complaints related to terms and conditions of employment will be handled according to procedures established by employers. Discrimination complaints will be handled according to procedures established under WIA regulations at 29 CFR Part 37. Complaints involving criminal fraud, waste, abuse or other criminal activity will be handled according to procedures established under the Department of Labor's Incident Reporting System (20 CFR §667.630).

References

WIA Sections 181(c); 20 CFR §667.600; and 29 CFR §§37.25(d), 37.70-37.72, and 37.77.

General Requirements

At a minimum, local area grievance procedures must include the following elements.

- **Notice.** A method of notifying participants and other interested parties of grievance procedures and their rights to use the procedures. Reasonable efforts must be made to ensure that information is available to and understandable by participants and others, including persons of limited-English speaking ability, youth, and persons with disabilities that might affect their ability to read, hear or otherwise access information regarding grievance and complaint procedures.

Local areas must provide information about their grievance and complaint procedures to subrecipients, service providers, and One-Stop partners, and must ensure that every entity to which they award title I funds notifies participants of the grievance and complaint procedures.

- **Time Limits.** Grievances and complaints, except those alleging discrimination, must be filed within one (1) year of the alleged violation.
- **Records.** All records of grievances and complaints (e.g., documentation of informal resolution, investigation reports, hearing records, etc) will be maintained for no less than three (3) years from the date of final resolution.

- **Confidentiality.** Local areas will ensure that complaints, actions taken, and the identity of complainants will be kept confidential to the maximum extent possible, unless disclosure is essential to a fair determination.
- **Prohibition Against Retaliation.** It is a violation of WIA Section 184 (f) to discharge or in any other manner discriminate against an individual because that individual has filed a complaint, instituted a proceeding under Title I, or testified in a proceeding or investigation under or related to Title I.
- **Due Process.** Local areas must ensure due process in the administration of their grievance procedures. At a minimum, the elements of due process include notice and opportunity to be heard.
- **Other Remedies.** Local area grievance and complaint procedures may not prevent an aggrieved person or complainant from pursuing remedies under other Federal, State, or local laws.

Specific Elements Required in Local Area Procedures

- Opportunity for informal resolution and a hearing within sixty (60) days of the date a grievance or complaint is filed.
- Opportunity for an individual alleging a labor standards violation to submit the grievance to a binding arbitration procedure when an applicable collective bargaining agreement provides for such.
- Opportunity to appeal to the Alabama Department of Economic and Community Affairs (ADECA), Workforce Development Division (WDD) when (1) the local area does not issue a decision within sixty (60) days; or (2) either party to the complaint is dissatisfied with the local area decision. Appeals should be mailed within ten (10) days of receipt of an unsatisfactory decision or of the date by which the complainant should have received a decision to

Director
Alabama Department of Economic and
Community Affairs
Workforce Development Division
401 Adams Avenue
PO Box 5690
Montgomery, Alabama 36103-5690

- Local areas must identify at least one person in each Career Center who will be able to answer customers' questions about grievance and complaint procedures, to refer aggrieved persons to appropriate partner programs, and to assist customers who wish to file complaints.

Local Workforce Investment Area Role in Discrimination Complaint Procedures

No person in the United States may be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with any WIA Title I-funded program or activity based on that person's race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries only, citizenship or participation in a WIA Title I-financially assisted program or activity (29 CFR § 37.5). Any person who believes that he/she, or any specific class of persons, has been or is the object of discrimination that is prohibited by WIA may file a written complaint, either by

him/herself or through a representative, with the WDD Equal Opportunity Officer or the Director, Department of Labor, Civil Rights Center.

Receipt of Discrimination Complaints

Discrimination complaints filed in-State, including those involving local area activities, will be received and processed only at the State-level by the ADECA Workforce Development Division. However, local workforce investment areas may be requested/required to assist in State-led investigations and resolution efforts.

Local area grievance and complaint procedures must include a method of informing participants and others affected by or interested in local workforce investment area programs, activities and services of discrimination complaint procedures. At a minimum, local areas must inform participants, service providers, One-Stop partners, and other customers affected by or interested in local workforce investment area programs, activities and services of the right to file, and where and when to file discrimination complaints.

LWIAs should maintain records of any discrimination complaints they or their recipients refer to the WDD.

Where to File Discrimination Complaints: The complainant has the option of filing a written complaint with either

Lillian Patterson
Equal Opportunity Officer
Alabama Department of Economic &
Community Affairs
Workforce Development Division
401 Adams Avenue
P.O. Box 5690
Montgomery, Alabama 36103-5690
(334) 242-5300 (voice)

or

Director
Civil Rights Center
U.S. Department of Labor
200 Constitution Avenue NW
Room N-4123
Washington, DC 20210

When to File: Discrimination complaints must be filed within 180 days of the alleged violation, unless the Director, Civil Rights Center, extends the time for good cause shown.

II. WIA State-Level Grievance Procedures Workforce Development Division

Scope and Purpose

State-level procedures are established to resolve grievances and complaints that allege violations of title I of the Workforce Investment Act (WIA), regulations (20 CFR Parts 660-671), grants, or other agreements under WIA. The procedures are available to participants and other interested parties affected by Alabama Workforce Investment System statewide programs and activities. Statewide activities are those administered by, or otherwise conducted on behalf of, the ADECA/WDD. Statewide activities include, but may not be limited to, rapid response activities for dislocated workers; certification of eligible training providers; dissemination of (1) a State list of eligible training providers, (2) a list of eligible providers of youth activities, (3) information identifying eligible OJT and customized training providers, and (4) provider performance and cost information; incumbent worker training; evaluations for continuous improvement; provision of incentive grants; technical assistance to local areas that do not meet performance measures; assistance in establishing and operating one-stop systems; assistance to local areas with high concentrations of eligible youth; and operation of a fiscal and management accountability system.

State-level procedures are also established to receive and resolve appeals of decisions made by local workforce investment areas.

These grievance and complaint procedures do not apply to the following areas. Refer to the documents cited in parentheses, WIA regulations, or other directives for information about complaints and grievances in these areas.

- Complaints related to terms and conditions of employment from employees of the WDD, local workforce investment areas (LWIAs), or other WIA recipients (see specific employer's personnel policies and procedures).
- Non-designation of local areas (see applicable Governor's Workforce Development Directive [GWDD]).
- Denial/termination of training provider eligibility (see applicable GWDD).
- Audit disputes (see ADECA Audit Policy).
- Discrimination complaints (Section III)
- Complaints of fraud, abuse, or criminal activity in WIA programs and activities (see Department of Labor Incident Report Procedures).

Retaliation Prohibited: It is a violation of WIA §184 (f) for any WIA recipient to discharge, discriminate against, or otherwise unlawfully deny any individual a benefit to which he/she is entitled under WIA title I because that individual files a complaint, institutes or causes to be instituted any proceeding under WIA title I, or testifies in any such proceeding.

Notice

All participants in Statewide programs and activities will be given a copy and an explanation of the WDD *WIA Grievance and Complaint Procedures Form (WDD-24)* at the time of application/registration. A signed and dated copy of the WDD-24 must be maintained in each participant's file. When grievance and complaint procedures are explained and/or made available

in an alternative format to vision-impaired applicants/participants, the alternative format, name of person who explained/provided the procedures, and the date must be recorded in the participant's file.

Career Centers will provide grievance and complaint information to applicants and other WIA customers upon request, or will make such information otherwise available.

Filing and Content of Complaints

Service providers (including training providers), employers, and Career Center staff will make every effort to resolve grievances informally and immediately (within ten [10] days) after being notified of a grievance. When a grievance or complaint is not resolved informally, an aggrieved customer or complainant may send a written complaint to

Lillian Patterson
Equal Opportunity/Grievance Officer
Alabama Department of Economic
and Community Affairs
Workforce Development Division
401 Adams Avenue
PO Box 5690
Montgomery, Alabama 36103-5690

The written complaint should include (1) a statement of the grievance/complaint, including relevant dates; (2) the complainant's name, address, and telephone number; (3) the name, title, and address of the person against whom the complaint is filed (respondent); (4) the complainant's signature; and (5) date of the written complaint.

The date of filing of any complaint is the date the written complaint is received in the Workforce Development Division.

Receipt and Resolution

Step 1 – Acknowledgement: The WDD Equal Opportunity (EO)/Grievance Officer will acknowledge receipt of complaints in writing within five (5) days to the complainant, respondent, and other parties, as appropriate. If the complaint is not accepted (e.g., ADECA/WDD does not have jurisdiction), the complainant will be notified within five (5) days including referral to the appropriate agency.

Step 2 – Informal Resolution: The WDD EO/Grievance Officer (or other WDD staff assigned by the Division Director) will continue to try to resolve the grievance/complaint informally. Informal resolution attempts may include investigation, Informal mediation, or other methods.

If resolution is achieved by informal means, all parties to the complaint will be notified in writing of the resolution, including any agreements or corrective actions. The WDD EO/ Grievance Officer (or other WDD staff assigned by the WDD Division Director) will monitor implementation of and compliance with agreements and/or corrective action plans. The complaint will be closed

according to the terms of any agreement or corrective action plan, but in any case, no later than 60 days after receipt of the grievance or complaint.

If informal resolution is not possible, the WDD/EO Officer (or other staff assigned by the Division Director) will notify the complainant and other parties and a hearing will be scheduled.

Step 3 – Hearing: The WDD Director will assign one or more hearing officer(s). The hearing process will include the following elements:

- written notice to all parties of the date, time, and place of the hearing; the name(s) of the hearing officer(s); and the issues to be decided;
- the right to a fair and impartial hearing;
- the right, at the complainant’s expense, to be represented by counsel;
- the right to present evidence and witnesses;
- identification of parties involved and in attendance at the hearing;
- opportunity to question witnesses and other parties involved;
- written report of findings and recommendations from the hearing officer(s) to the WDD Director;
- written decision from the WDD Director to the complainant, respondent, and other parties, as appropriate, within 60 days of receipt of the complaint.

Step 4 – Appeals to the Secretary of Labor. Under the following conditions, a complainant and/or respondent may appeal a WDD decision to the Secretary of Labor and will be notified of that right in the WDD’s written decision or by other means, as necessary:

- If the WDD does not issue a decision within 60 days of receipt of a grievance or complaint, either party to the complaint may appeal to the Secretary of Labor within 120 days of the date the complaint was filed with the WDD.
- A party to a complaint who receives an adverse decision from the WDD may appeal to the Secretary of Labor within 60 days of receipt of the adverse decision.
- Appeals to the Secretary must be sent by certified mail, return receipt requested to
 - Secretary
 - U.S. Department of Labor
 - Washington, DC 20210
 - Attention: ASET
- A copy of the appeal must be sent at the same time to the opposing party and to
 - Dr. Helen Parker, Regional Administrator
 - U.S. Department of Labor
 - Employment and Training Administration
 - 61 Forsyth Street SW
 - Atlanta, Georgia 30303

Appeals of Local Workforce Investment Area Decisions

A complainant or respondent involved in a complaint that is filed with a LWIA may appeal to the WDD if:

- the LWIA does not reach a decision within 60 days of the date a complaint is initially filed; or
- either party to the complaint is dissatisfied with the LWIA’s hearing decision.

Procedures

Step I – Filing Appeals of LWIA Decisions: An appeal of a local area decision must be written and submitted within ten (10) days after a complainant receives a decision from the LWIA , or within 10 days of the date he/she/they should have received a decision. The appeal should include (1) a brief statement of the issues in the complaint initially filed with the LWIA; (2) the date the complaint was filed; (3) a brief statement of the LWIA’s decision; and (4) the date the complainant received the LWIA’s decision. If a complainant does not receive a decision from the LWIA within 60 days of filing a complaint, the appeal should state the date by which a decision should have been received. The appeal should be mailed to

Steve Walkley, Division Chief
 Workforce Development Division
 Alabama Department of Economic
 and Community Affairs
 401 Adams Avenue
 PO Box 5690
 Montgomery, Alabama 36103-5690.

Step 2 – Receipt, Review, Decision: Receipt of appeals will be acknowledged within five (5) days. Appeals that are not timely filed will be denied and returned to the complainants, unless the WDD Director waives the time limitation for filing an appeal for good cause shown.

Appeals will be remanded to LWIAs when

- an appeal is filed before local procedures are exhausted;
- a LWIA has failed to follow its grievance/complaint procedures and/or has violated the WIA or its regulations related to grievances; or
- a complainant has been denied due process at the local level.

The WDD Director will issue a written decision on an appeal of a local level decision within sixty (60) days of receipt of the appeal.

Step 3 – Federal-level Appeals:

- If the WDD Director fails to issue a decision on the appeal within 60 days, either party to the grievance/complaint may appeal to the Secretary of Labor within 120 days of filing the appeal with the WDD (see mailing address in previous section).
- Any party to the appeal who/that receives an adverse decision from the WDD may appeal to the Secretary within 60 days of the adverse decision.
- Appeals must be sent to the Secretary of Labor by certified mail, return receipt requested. At the same time, a copy must be sent to Dr. Helen Parker, ETA Regional Administrator (see address above), and to the opposing party.

Records: Grievance/complaint records will be maintained for no less than three (3) years from the date of resolution.

III. WIA Discrimination Complaint Procedures **Workforce Development Division**

No individual in the United States may be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with any WIA title I-funded program or activity on the basis of that individual's race, color, religion, sex, national origin, age, disability, political affiliation or belief, and for beneficiaries, on the basis of citizenship or participation in a WIA title I program or activity. (WIA §188; 29 CFR Part 37, §37.5)

Any person who believes that he/she or any specific class of individuals has been or is subjected to discrimination prohibited by the Workforce Investment Act (WIA) or the, may file a written complaint, either by him/herself or through a representative. Complainants and respondents (individuals or entities against whom allegations of discrimination are made) have the right to be represented by an attorney or other individual of their choice.

Where to File Discrimination Complaints: The complainant has the option of filing a written complaint with either

Lillian Patterson
 Equal Opportunity Officer
 Alabama Department of Economic &
 Community Affairs
 Workforce Development Division
 401 Adams Avenue
 P.O. Box 5690
 Montgomery, Alabama 36103-5690
 (334) 242-5300 (voice)

or

Director
 Civil Rights Center
 U.S. Department of Labor
 200 Constitution Avenue NW
 Room N-4123
 Washington, DC 20210

When to File: Discrimination complaints must be filed within 180 days of the alleged violation, unless the Director, Civil Rights Center, extends the time for good cause shown.

Content of Complaints: Each complaint must be filed in writing and must contain the following information:

- the complainant's name, address and telephone number (or another means of contact);
- the identity of the person or entity the complainant alleges is responsible for the discrimination (respondent);
- a description of the allegations; and
- the complainant's or his/her representative's signature.

Complaint Processing Procedures

The date of a complaint is the date the written complaint is received in the WDD. Upon receipt of a complaint, the WDD EO Officer will determine if the WDD has jurisdiction, and if so, will provide written notice to the complainant within five (5) days that

- acknowledges receipt of the complaint;

- notifies the complainant of his/her right to representation in the complaint process, at his/her expense;
- identifies or restates the issues raised in the complaint;
- states the issues the WDD will accept or reject, including the reason an issue is rejected;
- offers the complainant the option of an investigation or alternative dispute resolution by mediation; and
- notifies the complainant that a *Notice of Final Action* will be issued within ninety (90) days of receipt of the complaint and of appeal procedures if the *Notice of Final Action* is not issued within that time.

If the WDD does not have jurisdiction, the complainant will also be notified within five (5) days.

Investigation

If the complainant chooses to have his/her complaint resolved through investigation, the WDD EO Officer (or other staff assigned by the WDD Director) will conduct an investigation, make efforts to bring the parties to agreement, as appropriate, and make recommendations for resolution and/or corrective actions to the WDD Director.

Notice of Final Action

A written *Notice of Final Action* will be signed and issued by the WDD Director within 90 days of receipt of a complaint. The *Notice of Final Action* will include

- a discussion of the WDD's decision on each issue and the reason(s) for the decision; or
- a summary of the way the parties resolved the issue; and
- notice of the complainant's right to complain to the Civil Rights Center (CRC) within thirty (30) days of issuance of the *Notice of Final Action*, if he/she is dissatisfied with the WDD's final action.

Mediation

The WDD uses mediation as a means of alternative dispute resolution. If the complainant chooses mediation as the means of resolution, a third party mediator, acceptable to both parties, will be selected. Because WIA nondiscrimination regulations (29 CFR §37.76[c][1]) entitle a complainant to choose mediation, any respondent who/that is a recipient of WIA title I funds from the WDD must cooperate in the mediation process.

The complainant and respondent will be notified of the date, time, place, and conditions of the mediation session by the WDD EO Officer or the mediator. All parties must agree to keep the mediation proceedings and any resultant agreements confidential, and not to involve the mediator in any litigation. If the complaint is settled, all parties must sign a written settlement agreement. A *Notice of Final Action* that describes the way the parties resolved the complaint will be issued within 90 days of the date the complaint was filed.

Conditions Under Which Parties to Mediation May File a Complaint with CRC

If any party to the settlement agreement breaches the agreement, the non-breaching party may file a written complaint with the CRC Director within thirty (30) days of learning of the breach.

If the parties do not reach an agreement as the result of mediation, the complainant may file a complaint with the CRC Director and will be so advised.

Records

Complaint logs containing the name and address of the complainant; the date the complaint is filed; the disposition of the complaint and date of disposition will be maintained by the WDD EO Officer.

All records related to complaints and actions taken will be maintained for a period of not less than three (3) years from the date of resolution.

Retaliation and Intimidation

According to 29 CFR Part 37 §37.11, a WIA recipient must not discharge, intimidate, retaliate, threaten, coerce, or discriminate against any individual because the individual has

- filed a complaint alleging a violation of Section 188 of WIA or 29 CFR Part 37;
- opposed a practice prohibited by the nondiscrimination and equal opportunity provisions of WIA or 29 CFR Part 37;
- furnished information to, or assisted or participated in any manner in an investigation, review, hearing, or any other activity related to any of the following:
 - administration of the nondiscrimination and equal opportunity provisions of WIA;
 - exercise of authority under WIA nondiscrimination and equal opportunity provisions;
 - exercise of privilege secured by those provisions;
- otherwise exercised any rights and privileges under the nondiscrimination and equal opportunity provisions of WIA.

Sanctions and penalties may be imposed against any recipient that engages in any such retaliation or intimidation, or fails to take appropriate steps to prevent such activity.

WIA Section 122(g) Grievance Procedures

Appeals of Denial or Termination of Training Provider Eligibility

If a LWIB denies an application for initial eligibility determination from a training provider, the board must provide written notice of the denial, including the reasons for the denial and a description of an appeal process.

Local Appeals

Each LWIB shall develop a written appeal process. At a minimum, the procedures must allow for:

- an opportunity for an informal resolution and a hearing to be completed within 60 days of the filing of the appeal; and
- an opportunity for a local level appeal to the Workforce Development Division when:
 - no decision is reached within 60 days; or
 - the applicant (training provider) is dissatisfied with the local resolution or hearing decision.

State-level Appeal of LWIB Denial/Termination of Training Provider Eligibility

A training provider that does not receive a decision within sixty (60) days of the appeal to the LWIB, or that receives a decision with which the training provider is dissatisfied, may appeal to the Director, Workforce Development Division (WDD). The WDD Director or his designee will allow for a hearing or other method of resolution agreeable to all parties. The hearing or other means of resolution shall be completed and a decision issued within thirty (30) days of receipt of the appeal.

If the training provider or LWIB disagrees with the decision of the WDD Director, either party may appeal to the Director, Office of Workforce Development (OWD). The OWD Director shall review the case and issue a decision within thirty (30) days.

The decision of the OWD Director is final and may not be appealed to the Secretary of Labor.

Appeals of State-Level Denials/Terminations of Training Provider Eligibility

A WDD denial or termination of eligibility, or other enforcement action with respect to a training provider may be appealed. A written request for appeal must be submitted to the Director, Office of Workforce Development, within thirty (30) days of the date of written notice from the WDD to the training provider of denial, termination, or enforcement action. The appeal may be requested by the training provider or the LWIB for the area in which the provider applied or previously operated. The OWD Director or his designee shall review the matter and issue a final decision within sixty (60) days of receipt of the appeal. The decision of the OWD Director is final and may not be appealed to the Secretary of Labor.

ALABAMA YOUTH WORKFORCE INVESTMENT SYSTEM FULL COLLABORATION MODEL

WIA partners, service providers and other interested parties (business/private sector/non-profits) can interact to establish or improve service in a youth development/workforce investment system (adult, dislocated workers, incumbent workers) and plan for services and activities for customers. We will use every resource available. Presently, all partners are implementing this full collaboration model in their local areas and contiguous areas.

1. **Networking** – Workforce development partners, service providers and other interested partners gain an awareness of available resource and discover how to access or refer customers to those services. This is deemed a starting point but greatly insufficient for the level of impact desired.
2. **Performance-Coordination** – Assists in the selection and scheduling of services in a one-stop or integrated, interagency service delivery system. In coordinating, partners, service providers, and other interested parties arrange for customers to receive specific services from different agencies. In the Performance-Coordination step, agencies determine their respective roles and schedule activities.
3. **Active-Cooperation** – Partners and service providers look for ways to support and complement one another's transition services. Active-Cooperation prevents duplication and saves an agency time and expense.
4. **Full Collaboration** – Begins with networking, coordination, and cooperation and then requires partner and service providers to share decisions, responsibilities, and trust. **Full-Collaboration requires partnerships/service providers to invest time and energy to come up with options and design strategies for carrying out a customer's individual service strategy plan.**

In assembling the Alabama WIA youth progressive collaboration model for the State, we have identified many valuable Faith-Based and community-based resources and service strategies that have been incorporated into our plan. The Jefferson County LWIB will certify four (4) physically located Career Centers in their WIA Youth Opportunity Grant Area. The Mobile LWIB certifies one (1) physically located Career Center. The Alabama Workforce Investment Area will have a minimum of nineteen (19) comprehensive Career Centers and a number of satellite Career Centers. The majority will be where partners are physically located and others will be electronically connected. Counties in this large LWIA will also be electronically connected to the one-stop system.

ALABAMA WORKFORCE INVESTMENT ACT
ADULT, DISLOCATED WORKER, AND YOUTH PROGRAMS
PY11 ACTUAL/PY12 NEGOTIATED PERFORMANCE GOALS

Adult Program				
Measure	PY 11 Actuals (thru 06/30/12)	PY11 Goal	PY12 GPRA Goals	Negotiated PY12 Goal
1 Entered Employment Rate	64.80%	74.50%	56.70%	67.00%
2 Employment Retention Rate	84.10%	83.00%	80.10%	84.50%
3 Average Six Months Earnings	\$11,923.00	\$9,800.00	\$14,450.00	\$12,000.00

Dislocated Worker Program				
Measure	PY 11 Actuals (thru 06/30/12)	PY11 Goal	PY12 GPRA Goals	Negotiated PY12 Goal
1 Entered Employment Rate	71.10%	80.50%	58.60%	75.00%
2 Employment Retention Rate	88.80%	91.00%	82.00%	91.00%
3 Average Six Months Earnings	\$15,354.00	\$13,500.00	\$18,346.00	\$15,632.00

Youth (14-21) Programs				
Measure	PY 11 Actuals (thru 06/30/12)	PY11 Goal	PY12 GPRA Goals	Negotiated PY12 Goal
1 Literacy and Numeracy Gains	59.90%	35.00%	40.80%	58.00%
2 Placement in Employment or Education	54.10%	57.00%	59.70%	56.00%
3 Attainment of a Degree or Certificate	48.40%	49.00%	59.60%	50.50%

BY-LAWS OF
THE ALABAMA WORKFORCE INVESTMENT BOARD

ARTICLE I

Authority

The Alabama Workforce Investment Board (AWIB) is established by the Governor of the State of Alabama as provided for in Section 111 of the Workforce Investment Act of 1998 (P.L. 105-220), hereinafter referred to as the "Act".

ARTICLE II

Purpose and Scope

The purpose of the Alabama Workforce Investment Board is to assist the Governor in the development and continuous improvement of a statewide system of activities as provided for in the Act in order to ensure a statewide workforce investment system including the development of linkages among workforce development programs.

ARTICLE III

Staffing and Funding

The Governor shall provide appropriate funding and staffing for the Alabama Workforce Investment Board as provided for under Section 128(a)(1), and Section 665.110 of the Regulations (20CFR Part 652, et al).

ARTICLE IV

Board Composition and Tenure

All members of the Alabama Workforce Investment Board serve at the pleasure of the Governor of the State of Alabama except for the representatives appointed by the presiding officer of each chamber of the State Legislature.

Voting membership shall be of such a mix and composition as provided in Section 111 of the Act. Appointments to the AWIB shall be made by the Governor. Nominations may be provided by State agencies, business

associations and organizations, entities of local government, local education agencies, other interested organizations, and the general population as provided in the Act.

Appointments to the Board remain in effect during the tenure of the Governor until the member resigns or the Governor withdraws the appointment or requests a resignation.

The Chairperson may declare a vacancy where any member misses three (3) consecutive Board meetings without good cause. Members who provide notification verbally or in writing shall be deemed to have good cause. The Chairperson shall consult with the Chief of the Workforce Development Division of ADECA and make a recommendation to the Governor before declaring a vacancy for non-attendance.

Alternates may be designated by a Board member to attend the meeting on his/her behalf. Alternates must be designated prior to the meeting. Alternates should be individuals who represent the same category as the appointed member and have policy making authority. Alternates may be designated on an annual basis or on a per meeting basis. The designation, in order to be effective, shall be submitted to the AWIB's Executive Secretary prior to a meeting.

As the need arises, the Governor or the Chairperson may appoint an ad hoc member who is needed for a special purpose and who shall be a non-voting member. Ad hoc members shall serve at the pleasure of the Governor or the Chairperson.

ARTICLE V

Quorum and Voting

Thirty percent (30%) of the membership shall constitute a quorum at Board or committee meetings. Board or committee action shall require a simple majority of those members present during a meeting at which a quorum is present. The Chairperson may determine the method of voting, except that any member may request individual polling. Secret balloting shall not be allowed.

All members appointed by the Governor under the provisions of the Act are entitled to one vote each. The Chairperson of the Alabama Workforce Investment Board shall refrain from voting except that, in case of a tie vote, the Chairperson shall cast the deciding ballot.

An AWIB member shall not cast a vote on any matters pertaining to the provision of services by any organization represented by that member or in any other circumstances that would result in financial benefit to that member. In such cases during a call for vote, it shall be the individual member's responsibility to ensure that an abstention is recorded in his/her name as part of the minutes. Each Board member will be asked to sign a Conflict of Interest Policy Statement stating his/her understanding that this policy is meant to supplement good judgment, and the Board member will respect its spirit as well as its wording.

The AWIB's Executive Secretary shall not have a vote.

ARTICLE VI

Board Officers

The Chairperson of the Alabama Workforce Investment Board shall be designated by the Governor and shall be a business member of the AWIB.

The Vice-Chairperson shall be appointed by the Chair and shall be a business member of the AWIB.

The Executive Secretary shall be the Division Chief of the Workforce Development Division of the Alabama Department of Economic and Community Affairs or his/her designee.

ARTICLE VII

Committees

The Chairperson, as deemed appropriate and/or as directed by the Governor, may appoint such standing and/or ad hoc committees as considered necessary to focus appropriate emphasis on the responsibilities of the Alabama Workforce Investment Board's areas of functional interest. At a minimum, there shall be an Executive Committee.

In addition to the regular AWIB members appointed, there shall also be appointed an AWIB staff member or Workforce Development Division staff member to facilitate carrying out committee assignments.

Any areas of interest outside the purview of standing committees, which need to be addressed by the AWIB, shall be assigned to an ad hoc committee appointed by the AWIB's Chairperson with the approval of the Executive Committee.

The Executive Committee membership shall be composed of the Board Chair, Board Vice-Chair, the Executive Secretary, two business members appointed by the Chair, and such other AWIB members deemed necessary by the Chair. Executive sessions shall be chaired by the Board's Chairperson or, in his/her absence, the Vice-Chairperson. Committees shall meet at the call of the respective committee Chairperson. Committee Chairpersons shall provide the AWIB's Chairperson with a brief, concise report of any and all committee meeting proceedings.

ARTICLE VIII

Alabama Workforce Investment Board Meetings

Alabama Workforce Investment Board meetings shall be at the call of the Governor, his designee or Chairperson. Announcements, including the date, time, and place of proposed meetings shall be made public seven (7) days prior to such meetings. Recording the proceedings of all AWIB meetings shall be the responsibility of the AWIB's Executive Secretary. Meetings of the AWIB shall be held at a minimum of two (2) times a year, except that an Executive Committee meeting may substitute for a full AWIB meeting if necessary.

All meetings of the Alabama Workforce Investment Board are subject to the Alabama Open Meetings Act (Act No. 2005-40) and are open to the public at all times.

ARTICLE IX

Executive Sessions

The Alabama Workforce Investment Board's Chairperson, as deemed necessary, shall call the Executive Committee into session. Such executive sessions may be held for the purpose of expediency in conducting AWIB business and shall carry the authority of the AWIB in lieu of the full AWIB. A review of the business conducted shall be presented at the next Board meeting.

ARTICLE X

Special Sessions

The Alabama Workforce Investment Board Chairperson shall be obliged to call special sessions at the request of a majority of AWIB members.

ARTICLE XI**Board Authority**

The Alabama Workforce Investment Board shall act in accordance with Section 111 of the Workforce Investment Act of 1998, and no official business shall be conducted by the AWIB except that a quorum is present. A quorum shall be thirty percent (30%) of the AWIB's membership.

ARTICLE XII**Presiding Officer**

The Alabama Workforce Investment Board's Chairperson shall preside over meetings of the AWIB and the Executive Committee. In case of the Chairperson's absence, the Vice-Chair shall conduct the business. If neither the Chair nor Vice-Chair can preside at the meeting, an alternate may be designated in writing prior to the meeting.

ARTICLE XIII**Records and Proceedings**

It shall be the responsibility of the Alabama Workforce Investment Board's Executive Secretary to see that all AWIB proceedings are recorded and maintained in a permanent file. Minutes of the most recent calendar year proceedings shall be readily available at all AWIB meetings. Committee reports shall be made a matter of permanent record and submitted by the Chairperson to the Executive Secretary accordingly.

ARTICLE XIV**Agenda**

It shall be the responsibility of the Alabama Workforce Investment Board's Executive Secretary, or his/her designee, to develop and distribute to members a meeting agenda in advance of any meetings. It shall be the responsibility of the individual members and/or committee Chairpersons, as appropriate; to submit agenda items to the Executive Secretary reasonably in advance of scheduled meetings. All agenda shall provide for the category of "other business."

ARTICLE XV

Board Member Expenses

Allowable expenses (directly associated with duties as Alabama Workforce Investment Board members) shall be reimbursed in the amount and in such procedural manner as fixed by State Law and procedures based on the State of Alabama's travel policy.

ARTICLE XVI

Amendments to Board Bylaws

These Bylaws may be amended in the course of regular or special meetings of the Alabama Workforce Investment Board provided that the proposed amendment or amendments shall have been distributed in writing to the AWIB members by the Executive Secretary at least seven (7) days prior to such meetings.

ARTICLE XVII

Board Protocol

The form and manner in which all Alabama Workforce Investment Board business is conducted shall be in accordance with recognized rules of procedure where not otherwise specified in these Bylaws. The Chairperson shall determine the degree of formality that will be exercised in Board meetings.

ARTICLE XVIII

Conflict of Authority

Nothing in these Bylaws shall be construed to be in conflict nor shall any action be taken under these Bylaws that may be considered in conflict with federal and state laws, their implementing regulations, directives, or subsequent amendments thereto.

The above-listed Bylaws of the Alabama Workforce Investment Board are hereby adopted by the AWIB in accordance with the provisions of the Workforce Investment Act of 1998 and submitted to the Governor of the State of Alabama for approval.

Jim Alford / 6/13/12
Chairperson Date

Steve Walkley / 6/13/12
Executive Secretary Date

The Articles comprising these Bylaws are hereby duly adopted on this the 13th day of June, 2012.

Robert Bentley
GOVERNOR
STATE OF ALABAMA

**Workforce Development Division
Procurement Procedures**

**Alabama Department of Economic
and
Community Affairs
401 Adams Avenue
Post Office Box 5690
Montgomery, Alabama 36103-5690**

April 2001

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PART I: INTRODUCTION

The Workforce Development Division (WDD) procurement procedures have been developed in accordance with the requirements of 20 CFR 667.200, 29 CFR Part 97, and Governor's Workforce Development Directive (GWDD) PY99-12, *Statewide WIA Procurement Procedures*. All procurement will be planned, solicited, and effected in such a manner that the resulting costs, will be in accordance with the allowable cost criteria stated at 20 CFR 667.200, 29 CFR Part 95.27 and 97.22.

These procedures are applicable to all Title I-B Workforce Investment Act (WIA) programs, with the exception of the Individual Training Accounts (ITAs) described in 20 CFR 663.410, to include the State's Workforce Investment Board. The procedures to follow for ITAs are described in GWDD PY99-16, *Certification of Eligible Training Providers*.

All procurement initiated by the WDD will be governed by and follow the requirements in these procurement standards and procedures. Initiation of procurement, for purposes of this document, is considered to be the award of a small purchase contract, the certification of initial and subsequent eligibility of service providers, or the issuance of an Invitation to Bid or a Request for Proposals.

PART II: GENERAL POLICY STATEMENT

This document provides procedures for the purchase of goods and services and the procurement of service providers. All procurement transactions of the WDD will be conducted in a manner, which provides, to the maximum extent possible, for free and open competition. The use of sole source procurement(s) will be minimized to the maximum extent possible. Definitions for terms found in these procedures can be found in Section III of the *Statewide WIA Procurement Procedures*. Policies and procedures governing procurement will ensure that all goods and services, including service providers, are obtained in an effective manner, which is consistent with the provisions of applicable Federal, State, Departmental, and local laws, rules, and regulations.

Core services must be provided through the One-Stop delivery system. Core services may be provided directly by the One-Stop operator or through contracts with service providers that are approved by the Local Board. The Local Board may only be a provider of core services when approved by the chief elected official and the Governor in accordance with the requirements of WIA Section 117(f)(2) and 20 CFR 661.310.

Intensive services must be provided through the One-Stop delivery system including specialized One-Stop Centers. Intensive services may be provided directly by the One-Stop operator or through contracts with service providers, which may include contracts with public, private for-profit and private non-profit service providers (including specialized service providers) that are approved by the Local Board. (WIA Sections 117(d)(2)(D) and 134(d)(3)(B)). The Local Board may only be a provider of intensive services when approved by the Chief elected official and the Governor in accordance with WIA Section 117(f)(2) and 20 CFR 661.310.

Training providers that are determined eligible to receive funding for WIA Title I funded programs shall be selected in accordance with the provisions contained in WIA Section 122. Except for the three conditions described in Section 134(d)(4)G(ii) of the Workforce Investment Act and 20 CFR 663.430(a), the Individual Training Account (ITA) is established for eligible adults and dislocated workers to finance training services. (Contracts for services may be used instead of ITAs when one of the following exceptions applies:

- (1) When the Services provided are on-the-job training (OJT) or customized training;
- (2) When the Local Board determines that there are an insufficient number of eligible providers in a local area to accomplish the purpose of a system of ITAs. The Local Plan must describe the process to be used in selecting the providers under a contract for services. This process must include a public comment period for interested providers of at least 30 days; and
- (3) When the Local Board determines that there is a training service program of demonstrated effectiveness offered in the area by a community-based organization (CBO) or another private organization to serve special participant populations that face multiple barriers to employment, as described at 20 CFR 663.430(b).

Providers of youth activities are not subject to this policy or the certification system. The WDD will identify eligible providers of youth activities by awarding grants or contracts on a competitive basis, based on the recommendation of the Youth Council and on the criteria contained in the State plan.

PART III: PROCUREMENT PLANNING

A. Identifying Need

The workforce investment system established under WIA emphasizes informed customer choice, system performance, and continuous improvement. The WDD's State Planning Section will perform a needs determination to ensure that the WDD's procurement process considers the requirements contained in GWDD PY99-07, *Priority of Services Under the Workforce Investment Act (WIA)* in the development of a service strategy. This determination will also consider the following:

- (1) Requirements relating to eligible service providers contained in 20 CFR 663.500;
- (2) Requirements contained in GWDD PY99-16, *Certification of Eligible Training Providers*;
- (3) Performance information submitted during the initial and subsequent certification process;
- (4) Monitoring reports on eligible providers completed by the State Program Integrity Section; and
- (5) Analysis of State/local labor market information, employment trends, etc.

B. Planning Methods

Utilizing the sources listed above, staff members determine demand occupations and the feasibility of providing training to meet the needs of the population and area to be served.

C. Procurement Schedule

When procuring goods or services, the WDD will ensure that sufficient time will be allowed for all phases of the procurement process. The following tentative yearly schedule has been developed:

- (1) December/January- Finalization of planning and development of Request for Proposals (RFP) guidelines.
- (2) February/March-Issue RFP.
- (3) March-Bidder's Conference.
- (4) April-Receive and Open RFPs.
- (5) April-Review, analyze, and rate proposals.
- (6) May-Contract Negotiations.
- (7) May/June- Prepare and execute contracts.

D. Full and Open Competition

1. In order to ensure that prices are reasonable all of the following methods will be utilized:
 - (a) Multi-proposal comparisons.
 - (b) Local labor market price comparison.
 - (c) Cost/price analysis.
2. In order to target open access and equality relating to information on the intent to release RFPs, the following methods will be used:
 - (a) Provider's List- A list containing the names and addresses of current and potential service providers will be maintained and periodically updated. Solicitations will be sent to everyone on this list.
 - (b) Advertising- To increase competition, the WDD's intent to release an RFP will be advertised in local newspapers of general/statewide circulation.
 - (c) Innovation- Innovation and quality in programs will be sought through the planning process.
 - (d) Competitive Negotiations- To maintain an independence in selection, the WDD staff will utilize competitive negotiation unless otherwise specified in these procedures.

PART IV: METHODS OF PROCUREMENT**A. Types of Procurement:**

In addition to the procedures listed above for the initial and subsequent certification of ITA service providers, the following methods of procurement will also be utilized:

(1) Small Purchase Procedures (\$7,500 or less)

The WDD utilizes the Alabama Department of Economic and Community Affairs' (ADECA) small purchase procedures and the *Statewide WIA Procurement Procedures* regarding small purchase procedures.

No procurement shall be made for the purpose of circumventing the provisions of this standard. For example, invoices shall not be split so that the smaller amounts do not apply to the more stringent requirements.

(2) Sealed Bids (formal advertising)- This method is used when highly defined specifications are used.

The WDD shall utilize the formal advertising procurement method for aggregate purchase of \$7,500 or more if, at a minimum, the following conditions are present:

- (a) A complete, adequate, and realistic specification or purchase description is available.
- (b) Two or more responsible suppliers are willing and able to compete effectively for the award.
- (c) The procurement lends itself to a firm fixed-price contract, and contractor selection based principally on price is appropriate.

When using formally advertised procurement, the WDD shall follow these procedures;

- (a) Solicit bids by an invitation to bid to known suppliers and by publicly advertising the invitation, allowing the sufficient time prior to the date of bid opening to permit adequate responses. The invitation for bids (including specifications and attachments) shall clearly define the items or services needed to enable bidders to respond properly.
- (b) All bids will be opened publicly at the time and place stated in the invitation to bid.
- (c) A written notice will be sent to the responsible bidder whose bid conforms to the invitation for bids and is the lowest in price. Reference will be made to the State Bid Law requirements beginning with Section 41-16-20 of the Code of Alabama 1975, as amended. The subrecipient shall consider factors such as discounts, transportation costs, maintenance, enhancement, life cycles, and other factor costs if the invitation for bids provides for these considerations. The subrecipient may use payment discounts to determine the low bid only if prior experience indicates that such discounts are generally taken.

The WDD may reject any or all bids for sound, documented business reasons in the best interest of the program.

(3) Competitive Proposals (more than \$7,500)

This method of procurement will be primarily utilized by the WDD to procure non-ITA service providers. The full and open competitive action of this document will be utilized in any competitive negotiation procurement.

Pursuant to the WIA's Implementing Regulations (20 CFR663.430), contracts for services may be used instead of ITAs only when one of the following three exceptions applies: 1) When the services provided are on-the-job (OJT) or customized training; 2) When the local board determines that there are an insufficient number of eligible providers in the local area to accomplish the purpose of a system of ITAs. The local plan must describe the process to be used in selecting the providers under a contract for services. This process must include a public comment period for interested providers of at least 30 days; 3) When the local board determines that there is a training services program of demonstrated effectiveness offered in the area by a community-based organization (CBO) or another private organization to serve special participant populations that face multiple barriers to employment, as described in the WIA Implementation Regulations at 20 CFR663.430(b). The local board must develop criteria to be used in determining demonstrated effectiveness, particularly as it applies to the special participant population to be served.

Training services, whether under ITAs or under contract, must be provided in a manner that maximizes informed consumer choice is selecting an eligible provider (20 CFR 663.440 (a)).

(4) Sole Source

This method of procurement includes solicitation of a proposal from only one source, the funding of an unsolicited proposal, or after solicitation of a number of sources, when competition is determined inadequate.

The WDD will minimize the use of sole source procurement. When sole source procurement is determined to be necessary, the Supervisor of the WDD's State Programs and Divisional Budget Management Section will submit a statement to the WDD Division Director or ADECA Director (as appropriate) for approval with the Subrecipient Agreement attached.

Procurement by noncompetitive proposals may be used only when the award of a contract is infeasible under small purchase procedures, sealed bids, or competitive proposals and one of the following circumstances apply:

- (a) The item or service is available only from a single source;
- (b) The public exigency or emergency for the required service, item, etc., will not permit a delay resulting from competitive solicitation;
- (c) The awarding agency authorizes noncompetitive proposals; or
- (d) After solicitation of a number of sources, competition is determined inadequate.

B. Unsolicited/Other Proposals

Occasionally the WDD receives proposals, which are not a result of the RFP process, i.e. non-solicited. The process for unsolicited proposals is as follows:

- (a) The proposal is reviewed for the applicable fund source, which would need to be used, if the proposal was funded.
- (b) If it is a local workforce investment area (LWIA) fund source (Title I-B, Adult, Youth, or Dislocated Worker), then the proposal is forwarded to the appropriate LWIA.
- (c) If it is a fund source available to the State Office, then the proposal may be reviewed if it is innovative and the proposer has established that there is a need for the program.
- (d) In either case, for items b. and c. above, the State Office should respond to the proposer regarding the disposition of the proposal.
- (e) If the proposal is retained at the State Office due to item c. above, and funding is available to fund the proposal, the procedures as detailed in C(1)(c) and C(2)(a) through (2)(g) in Section V would apply. (There are also requirements related to potential service providers and specific program performance) regarding the State List of Eligible Providers.)

C. Special Procurement

In regard to proposals made by the WDD to secure funding for providing services due to natural disasters, mass layoffs, etc., the following should be followed:

- (a) If time permits, the procedures contained in the above sections on the solicitation and selection of service providers apply with the stipulation to the proposer(s) selected that funding is contingent upon the U.S. Department of Labor's approval of the grant application which would be based upon the proposal(s) selected by the WDD for possible funding.
- (b) If it is an emergency situation, then the State may apply for funding through a grant application to the U.S. Department of Labor without having to go through the involved Request for Proposal process as outlined in Part V of these procedures. In this case, a current, past, or prospective service provider could be contacted and asked to provide a proposal to serve those affected by the emergency. Staff may contact proposers who were not selected for funding during a previous RFP process in order to determine if they still wish to be considered for funding. If so, they would be requested to submit budgets, etc. for estimated costs to provide the service(s). Depending on the magnitude of the services and the proposer's capabilities, one or more proposers may be selected to provide the services. The key here is the nature of the emergency situation and the need to get services to affected people in a timely manner. In any case, the proposal should be reviewed and negotiated prior to any agreement being approved.

PART V: SELECTION OF SERVICE PROVIDERS

A. Applicability of Coverage

Eligible providers of training services must meet the requirements of Section 122 (a)-(e) of the Workforce Investment Act (WIA) except for on-the-job training and customized training. To be eligible to provide training services (except as noted above), the provider shall be: 1) a postsecondary institution that is eligible to receive Federal funds under Title IV of the Higher Education Act of 1965 (20 U.S.C. 1070 et seq.) and provides a program that leads to an associate degree, baccalaureate degree, or certificate; 2) an entity that carries out programs under the Act of August 16, 1937 (commonly known as the National Apprenticeship Act (50 Stat. 664, Chapter 663; 29 U.S.C. 50 et seq.); 3) or another public or private provider of a program of training services. In accordance with Section 122 of WIA, the State has established procedures for these (above) providers to get their programs onto the "State List of Eligible Providers."

Section 123 of the WIA states that the local board for each area shall identify eligible providers of youth activities by awarding grants or contracts on a competitive basis, based upon the recommendations of the youth council and on criteria contained in the State Plan, to the providers to carry out the activities and shall conduct oversight with respect to the providers in the local area.

In accordance with Training and Employment Guidance Letter Number 9-00, dated January 23, 2001, and issued via Governor's Workforce Development Directive (GWDD) Number PY2000-01, Change 4, the WIA requirements for competitive selection of local youth activities affect local boards, youth councils, and potential service providers. The requirements are as follows:

- WIA Section 123 (29 U.S.C. 2843), requires that eligible providers of youth activities be identified by awarding grants or contracts on a competitive basis, based on recommendations from the youth council and the criteria contained in the State Plan;
- WIA Section 112(b)(18)(B)(29 U.S.C. 2822), requires that the State Plan include information identifying the criteria to be used by the local boards in awarding grants for youth activities, including the criteria that the Governor and the local boards will use to identify effective and ineffective youth activities and providers of those activities;
- WIA Section 117(d)(2)(B)(29 U.S.C. 2832), requires that local boards identify eligible providers of youth activities by awarding grants and contracts on a competitive basis; and
- Under WIA Section 117(h)((4)(B)(i)(29 U.S.C. 2832), one of the principal duties of the youth council is to recommend eligible providers of youth activities in the local area to be awarded grants or contracts on a competitive basis by the local board consistent with WIA Section 123 (29 U.S.C. 2843).

The Workforce Investment Act regulations describe the following exceptions to the youth provider selection requirements:

- 20 CFR 664.405 (a)(4), provides that the competitive selection requirements of WIA Section 123, do not apply to the program design framework component which includes intake, assessment and development of the individual service strategy, when these services are provided by the local grant recipient or fiscal agent.

- 20 CFR 664.610, provides that providers of summer employment activities must be selected by awarding a grant or contract on a competitive basis, unless the grant recipient or the fiscal agent administers this program element.

Under WIA Section 128(a)(29 U.S.C. 2853), the Governor of a State is authorized to reserve up to 15 percent of each amount of funds allocated for youth, adult and dislocated worker activities to carry out statewide workforce investment activities. The Governor may use the reserved funds to carry out required and allowable statewide workforce investment activities described in 20 CFR 665.200 and 665.210, respectively.

State reserve funds used for required or allowable youth activities, including those described in Section 129(c), at the State level are not subject to the competitive selection procedures at Section 123. Statewide funds used to provide additional assistance to local areas with high concentrations of eligible youth are likewise exempt. However, they are subject to any applicable State procurement rules. If portions of the 15 percent statewide funds are allocated by formula to all local areas that augment funds to conduct youth activities described in Section 129(c), those funds become local funds and the competitive selection procedures described in Section 123 are applicable.

B. Procurement Requirements

1. Service providers selected under Title I-B of the Act will be selected in accordance with the Common Rule "Uniform Administrative Requirements for Grants and Cooperative Agreements To State and Local Governments," which is codified at 29 CFR Part 97. The Common Rule contains the following procurement requirements:
 - (a) Awards will be made only to responsible contractors possessing the ability to perform successfully under the terms and conditions of the agreement;
 - (b) Records sufficient to document the detailed history of procurement;
 - (c) No awards will be made to contractors who have been debarred or suspended or otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549, "Debarment and Suspension."
 - (d) All procurement will be conducted in a manner providing full and open competition;
2. Per the WIA Implementing Regulations (20 CFR667.200 (a)(3), in addition to the requirements at 29 CFR 95.48 or 29 CFR 97.36(i) (as appropriate), all procurement contracts and other transaction between local boards and units of state or local governments must be conducted only on a cost reimbursement basis. No provision for profit is allowed. (WIA Section 184 (a)(3)(B)).

C. Solicitation Process

1. The Request for Proposal (RFP) solicitation process will be conducted in the following manner:
 - (a) **Approval of Procurement Plans: Meetings** are held with the Division Director to discuss which activities are to be included in the RFP. The ADECA Director and/or Division Director, as applicable, makes the final decision as to what activities are to be included.

- (b) **Development of Request for Proposal:** The RFP is subsequently developed to include the administrative requirements, appeal procedures, and the activities for which proposals are being sought.
 - (c) **Cost and Price Analysis:** A cost or price analysis is prepared for each procurement activity based upon the specifics of each RFP. The method and degree of analysis depends on the facts surrounding the particular procurement and pricing situation. At a minimum, an independent estimate will be made prior to receiving bids or proposals. A cost analysis is necessary when the offeror is required to submit the elements or the estimated cost, when adequate price competition is lacking, and for sole source procurement. A price is prepared for each activity by the State Programs and Divisional Budget Management Section, or the Alabama Workforce Investment Area for local programs prior to receipt of the RFPs. The reasonableness of a price may be established on the basis of a catalog or market price of a commercial product sold in substantial quantities to the general public or based on prices set by law or regulation.
 - (d) **Provider's List:** The WDD utilizes a preapproved list of potential service providers. The list is updated periodically by mailing out letters of interest to everyone already on the potential provider list.
 - (e) **Public Notices:** Public notices are published in selected newspapers throughout the State to inform potential proposers of the need to request an application.
 - (f) **Solicitation:** An estimate of the number of RFPs needed for mailing is determined and printing is secured through a purchase order if the quality to be mailed out so justifies. On the date specified in the RFP, the RFPs are mass-mailed to all those on the bidder's list. Anyone wishing to be mailed an application for consideration for the next time the list is updated may do so by letting their interest be known to the WDD State Planning Section.
 - (g) **Proposer's Conference:** A proposer's conference may be held and all interested proposers would have the opportunity to attend and ask questions, etc. The minutes of any such conference are typed and are mailed to everyone who had been provided a copy of the RFP.
 - (h) **Receipt of RFPs:** A final due date for receipt of proposals by the WDD is contained in the RFP. Proposals received during this period are date-stamped (to include the time received); logged in on the *WDD Proposal Log Sheet*, and assigned a proposal number. Anyone who hand-delivers a proposal(s) is given a receipt. Those received after the due date are so noted and are handled in accordance with the conditions detailed in the RFP. All proposers are officially notified of receipt of their proposals by the WDD.
2. The selection of service providers is accomplished in the following manner:
- (a) **Tier One Review:** Each proposal is reviewed by the WDD Review Team to determine if it meets the minimum threshold requirements listed in the RFP. To be considered, a proposal must meet all minimum threshold requirements. Proposals failing to meet any minimum threshold requirements will be rejected.
 - (b) **Tier Two Review:** Review members are selected from WDD staff by the Division Director to conduct the reviews. Proposals are reviewed in the following manner:

- (1) Each team is assigned proposals for specific activities. This enhances consistency as the same team is reviewing the same type of activity.
 - (2) Each team member is provided a copy of the proposal and a *Proposal Evaluation Instrument*.
 - (3) Each review instrument also has a copy of the price analysis; i.e., the estimated amount that each particular activity should cost in total. Each member reviews the proposal and completes the *Proposal Evaluation Instrument* and gives the documents to the team captain.
 - (4) The review team captain reviews each *Proposal Evaluation Instrument* for completeness and for completion of the ratings for each proposal. This document is attached to copies of the proposal.
 - (5) A staff member then reviews each *Proposal Rating Summary* and the *Proposal Review Instrument* to verify the computation of the score given to each proposal and the subsequent average score.
 - (6) Proposals are then given to the State Programs and Divisional Budget Management Section Supervisor for review and concurrence on the review instrument with the reviewer's evaluation of the proposal.
 - (7) Once all proposals are evaluated, basic information is summarized for each type of proposed activity. This summary lists proposal funding requested, name of proposer, tier one entry, tier two score, and tier three entry. The proposal review instrument contains an explanation of the information regarding tier one, two, and three.
- (c) **Tier Three Review (Final Evaluation):** The purpose of the final evaluation is to determine, for WDD, the optimal mix of program services to be provided, client groups to be targeted, geographic areas to be covered, and the performance goals and actual outcomes to be expected. This process takes into account activities funded with WIA funds by the State and all three local workforce investment areas, as well as the relative need for services in the various geographical areas of the state. Senior staff and the WDD Divisional Director accomplish the final evaluation.
- (d) **Section of Proposals:** The WDD Division Director makes the final decision as to which programs to accept for further negotiations. The final decisions are based on numerical ratings, available funds, geographic distribution and program need.
- (e) **Negotiation:** Those selected for further negotiations are also notified in order to set up a date for proposal negotiations. A Proposal Negotiation Schedule is prepared for each proposal to be negotiated. Procurement activities conducted by the WDD will not permit excess profit or excess income. Agreements with governmental entities will be on a cost reimbursement basis only. If profit or program income is included in the price, the WDD staff shall negotiate profit or program income as a separate element of the price for each contract in which there is no price competition and in all cases where cost analysis is performed. To establish a fair and reasonable profit or program income, consideration will be given to:

- (1) The complexity of the work to be performed;
- (2) The risk borne by the contractor;
- (3) The contractor's investment;
- (4) The amount of subcontracting;
- (5) The quality of the contractor's record of past performance;
- (6) Industry profit rates for the surrounding geographical area for similar work; and
- (7) Market conditions in the surrounding geographical area.

The WDD will allow each recipient and subrecipient to charge to the grant or subgrant only those contractor costs which are consistent with the allowable cost provisions at 20 CFR 667.200, 29 CFR Parts 95.27 and 97.22, including the guidelines issued by the Governor in the *Statewide WIA Fiscal Procedures Manual*.

After the negotiation process, if there are no problems, an agreement is developed and submitted to the ADECA Director for signature.

- (f) **Award:** After the WDD Division Director and/or ADECA Director, as appropriate, approves and signs the agreement and a copy, they are sent to the service provider for review and signature. The provider retains a copy and returns an original to the WDD. Once all signatures are obtained, the agreement is sent to the Workforce Programs Accounting Unit. Copies are maintained in the State Programs and Divisional Budget Management Section.
- (g) **Procurement Files:** All procurement related documents (copies of the RFP, WDD *Proposal Log Sheet*, all correspondence, each proposal, price analysis information, and its evaluation, etc.) are maintained in a separate file. A *History of Procurement* document prepared for each proposal selected for funding contains the following information:
 - Program Year
 - Agreement Number
 - Selection of Agreement Type
 - Name of Agency and Section Requiring the Services
 - The Name of the Initiator of the Request and Justification
 - Type of Procurement Process Used
 - Description of the Services Required
 - Proposal Average Score (except for sole source procurements)
 - Price Analysis
 - Cost Analysis (as needed)

The original copy of the *History of Procurement* is maintained in the agreement files. Copies are distributed to the procurement file, the Workforce Programs Accounting Unit, and the Subrecipient's agreement file.

PART VI: APPEAL OR PROTEST BY OFFEROR

An offeror for the delivery of services may appeal adverse consideration by the WDD to the Division Director. A letter intent to appeal must be received by the WDD Division Director within seven calendar days after the receipt of a notification of non-funding. At a minimum, this letter should contain the reason for appeal. Within 15 days of filing the initial appeal notification, the formal appeal must be filed with the WDD Division Director for formal review.

If the offeror is not satisfied with the results of the WDD Director's review, the offeror may request within ten (10) calendar days a review of the WDD's decision by the ADECA Director (or his/her designee). At a scheduled time for the review of the appeal, the offeror may present any additional information for consideration.

The ADECA Director will issue a final decision within three calendar days after the meeting is adjourned.

PART VII: CONTRACTOR RESPONSIBILITY

Prior to the awarding of any contract, the WDD reserves the right to determine, through pre-award survey, if a prospective offeror has the ability and capacity to perform the proposed work. This survey will determine the following:

- (1) Has the offeror filed the required certification stating that is not debarred or suspended from receiving federal funds?

- (2) Does the offeror have adequate personnel, facilities, and financing to successfully complete the contract?

- (3) Is the offeror capable in terms of skill, background, and experience to perform the required work?

- (4) Does the offeror have a record of integrity and business ethics?

- (5) Does the offeror have the management, accounting, and business systems necessary to perform the work required?

- (6) Does the offeror have a record of satisfactory performance in the delivery of similar programs?

- (7) Providers/proposed programs are on the State List of Eligible Providers?

A pre-award survey may normally be conducted on an offeror who is new to the WIA System.

PART VIII: CONTRACT TYPE

The WDD will utilize line item cost reimbursement contracts in procuring services from subrecipients. Any exceptions to this policy will be approved by the Division Director, or in some cases, by the ADECA Director.

PART IX: CONTRACT CLAUSES

Each recipient and subrecipient contract will clearly specify deliverables and the basis for payment and contain clauses that provide for:

- (1) Compliance with the WIA regulations (subrecipients only);
- (2) Compliance with the *Statewide WIA Fiscal Procedures Manual*;
- (3) For contracts other than small purchases, administrative, contractual, or legal remedies in instances where contractors violate or breach contract items which shall provide for such sanctions and penalties as may be appropriate;
- (4) Notice of WIA requirements pertaining to patent rights;
- (5) Notice of WIA requirements pertaining to copyrights and rights in data;
- (6) For all contracts in excess of \$10,000, termination clause for convenience by the awarding agency, including the manner by which the termination will be effected and the basis for settlement;
- (7) Access by the State, the recipient, the subrecipient, the Department of Labor, the Comptroller General of the United States, or any of their duly authorized representatives to any books, documents, papers, and records, (including computer records) of the contractor or subcontractor which are directly pertinent to the program, in order to conduct audits and examinations, and make excerpts, transcripts, and photocopies; this right also includes timely and reasonable access to contractor's and subcontractor's staff for the purpose of interviews and discussions related to such documents (vendor contracts/invoices).
- (8) Notice of awarding agency requirements and regulations pertaining to reporting;
- (9) Audit rights and requirements;
- (10) Process and authority for contract changes;
- (11) Payment conditions and delivery terms;

- (12) Provisions against assignment;
- (13) Assurances of nondiscrimination and equal opportunity found in 29 CFR 34.20;
- (14) A clear statement of work to be performed by the contractor;
- (15) A brief description of the services the subrecipient will provide to the WDD.

PART X: CODE OF CONDUCT

A. Definitions/Restrictions

- (1) This code of conduct sets forth standards governing the performance of members of the WDD who are engaged in the award and administration of contracts and purchases.

For purposes of this policy, "immediate family members" includes the spouse, son, daughter, son-in-law, daughter-in-law, brother, brother-in-law, sister, sister-in-law, aunt, uncle, niece, nephew, parent, stepparent, stepchild, grandparent, grandchild, mother-in-law, and father-in-law.

The Alabama Code of Ethics for Public Officials, Employees, etc., defines conflict of interest as the following:

A conflict on the part of a public official between his or her private interests and the official responsibilities inherent in an office of public trust. A conflict of interest involves any action, inaction, or decision by a public official or public employee in the discharge of his or her official duties which would materially affect his or her financial interest or those of his or her family members or any business with which the person is associated in a manner different from the manner it affects the other members of the class to which he or she belongs.

- (2) An employee of the WDD may not
 - (a) vote on a matter under consideration by the ADECA/WDD-
 - (1) regarding the provision of services by such member (or an entity that such member represents); or
 - (2) that would provide direct financial benefit to such member or the immediate family of such member; or
 - (b) engage in other activity determined by the Governor to constitute a conflict of interest as specified in the approved State WIA plan.
- (3) The WDD shall maintain a written code of standards of conduct governing the performance of its employees. The WDD shall ensure that no individual in a decision-making capacity shall engage in any activity, including voting on matters related to the provision of services or award if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when:
 - (a) the individual,
 - (b) any member of the individual's immediate family,
 - (c) the individual's business partner, or

- (d) 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 award.

B. Declaration of Possible Conflicts

An apparent conflict of interest carries the same weight of regulation as a real conflict. Care must be taken to identify potential apparent conflicts and to document them in minutes of the board meetings. WDD employees with a real or apparent conflict of interest must declare this conflict.

The *Declaration of Possible Conflicts Statement* will be completed everyone involved in the award and administration of contracts and purchases. Any staff person involved in the review and rating of proposals must complete the statement. Interested parties will maintain these statements on file and available for review.

Abstention from voting: No WDD staff will be involved in rating proposals if their participation could be perceived as an apparent conflict of interest or results in the member receiving a direct financial gain.

Abstention form participation: No WDD staff will participate in decisions about contracts with the organization from which the member or immediate family member may receive financial benefit. Participation includes lobbying, rating, scoring, or making recommendations on the procurement process.

Sanction: Violations of this Code shall be determined by the WDD Division Director or his/her designee, pursuant to the WDD grievance procedures. After the hearing, the Division Director or his/her designee, will prescribe appropriate disciplinary actions.

All violations by WDD staff will be subject to the ADECA Personnel Policy after a determination by the Division Director or his/her designee.

C. Confidentiality and Nondisclosure

Workforce Development Division staff must ensure:

- (1) The number and the names of bidders/proposers are not disclosed prior to the bid opening,
- (2) No unauthorized technical description or cost/price information about any bid/proposal is disclosed prior to the award.
- (3) No information about funding or the bid/proposal process is released until the information is available for all potential bidders/proposers.
- (4) No "inside" information is available to any bidder/proposer.
- (5) That information designated as proprietary or a trade secret is not disclosed even after the awards are made.

D. Fairness and Objectivity

- (1) Distribution of information about the bid/proposal process among bidders/proposers will be equal and fair.
- (2) Terms of the bid/RFP and evaluation process will be fair and impartial.

- (3) Bids/proposals will be kept secure and confidential.
- (4) Records will be maintained to document bids/proposals received and date and time of receipt.

E. Conduct of Offerors and Subgrantees

- (1) WDD staff is prohibited from receiving or soliciting kickbacks or gratuities from bidders/ proposers /contractors.
- (2) Proposers/bidders/contractors are prohibited from obtaining confidential information not available to all offerors.
- (3) Proposers/bidders/contractors are prohibited from improper communication with WDD staff to influence procurement decisions.
- (4) Proposers/bidders/contractors are prohibited from collusion and price fixing among other potential offerors.

Approved By:



Division Director, WDD

Date

Declaration of Possible Conflicts of Interest

Any Workforce Development Division staff involved in the award and administration of contracts and purchases must declare, on the record, any possible or perceived conflicts of interest.

I hereby declare that I do not have any possible or apparent conflicts of interest that could affect my ability or influence my decisions in the award and/or administration of contracts and purchases. Should this situation subsequently change at a later date, I will notify my supervisor.

Printed Name

Signature

Date

I hereby declare that I do/may have a possible or apparent conflict(s) of interest that could affect my ability or influence my decisions in the award and/or administration of contracts and purchases. Discuss possible conflict(s) of interest below:

Printed Name

Signature

Date

MIGRANT AND SEASONAL FARM WORKERS OUTREACH PLAN

A. Outreach Plan:

The transition of Alabama's employment and training system to a new system of efficient and universally accessible One-Stop Career Centers under the Workforce Investment Act directs our continued outreach activity to Migrant Seasonal Farmworkers (MSFW) and their families. The Alabama State Employment Service, as a Partner Agency in Alabama's One-Stop Career Center system, affirms that all available Wagner-Peyser Act services, such as job search assistance, testing, and referral services, will be made available to MSFWs equitably, and to the extent that is comparable to that which the Wagner-Peyser Act service provider delivers services to its other customer groups. ES Outreach will assist us in providing timely information to other Partner Agencies, and Workforce Development Boards, about special employment, training, economic, and educational needs of MSFWs and their families. The Outreach Workers' activity will interface with the WIA § 167 grantee activities to assure all resources and assistance available to MSFWs and their families is accessible.

1. Assessment of Need - Figures for acreage of crops harvested from the Alabama Department of Agriculture and Industries for CY 2011, the most recent data available, is as follows:

STATE ACREAGE FOR VEGETABLE CROPS HARVESTED, 2011

<u>CROP</u>	<u>ACREAGE</u>
Irish Potatoes	3,900
Sweet Potatoes	2,900
Tomatoes	900
Sweet Corn	1,500
Watermelons	2,400

Overall, the total acreage of the above vegetable crops harvested has decreased each year, over the last few years, due to serious drought conditions in the northern and southern growing region.

2. From the agricultural job openings received in PY 2011 which were directly farm related, there were placements. The number of Migrant and Seasonal Farmworkers (MSFWs) in Alabama estimated by calendar quarter are:

Quarter ending	09/30/11	100
Quarter ending	12/30/02	25
Quarter ending	03/31/11	25
Quarter ending	06/30/11	100

This is almost the same as the previous quarterly estimates. No significant increase in MSFWs is expected in the State.

During PY 2011, two (2) MSFWs filed applications for work through the Alabama State Employment Service. It is estimated that ten (10) MSFWs will file applications for work through the ASES during PY 2011.

Information from WIA/MSFW GRANTEE, Alabama Livestock and Crop Reporting Service, Extension Service and other knowledgeable sources have been used in assessing MSFW needs.

Outreach services to MSFWs will comply with Federal Regulations at 20 CFR 653.107 to contact those workers traditionally not reached by the usual local office intake activities. The Monitor/Advocate Annual Report contains no recommendations for improving the MSFW services program.

3. Assessment of Available Resources - Special outreach funds have not been earmarked for PY 2011. A cooperative agreement has been continued with WIA/MSFW (167) Grantee to assist in outreach employment and training.

Due to the small number of MSFW in the state, 0.50 of one equivalent staff position will be assigned State Monitor Advocate outreach activities.

Other staff will be assigned as needed. The continuing agreement with WIA/MSFW Grantee for non-ES staff will produce approximately 100 MSFW outreach contacts and ES staff will make another 850 contacts during PY 2011.

4. Proposed Outreach Activities - Each local office will identify MSFW service needs and contact individuals and applicant groups to offer and provide services to those not reached by usual local office intake activities. Pre-seasonal surveys will be conducted by local office staff with leads provided by the State Office to determine anticipated MSFW population in local office areas on a month-to-month basis. Intensive effort will be made to contact all MSFWs whose usual residence is in the local office area and those that migrate into the area that do not contact local offices, branch offices or itinerant points for service. MSFWs will be informed of their rights to full ES services and invited to the local ES office, branch office or itinerant point for completion of work applications in accordance with ES/MSFW regulations. Services including job

referral, job development, testing, as well as referral to other service agencies will be provided. Appropriate media publicity will be directed to MSFWs, informing them of their rights under various Federal and State laws, as well as directives of service agencies in the community. Handouts will be given to each person contacted advising them of this information.

Complainants will be assisted with filing complaints and resolution will be attempted or those complaints will be referred to appropriate agencies. A vigorous program for MSFWs in nonagricultural jobs will be attempted. Referral to training will be increased through cooperation with the State WIA/MSFW Grantee.

Bilingual regular and outreach staff will be assigned to offices where substantial proportions of MSFWs are primarily fluent and/or literate in Spanish, but not in English. Recruitment of staff from persons with MSFW backgrounds will be conducted specifically among home based Alabama migrants.

This plan has been reviewed and commented on by the State MSFW Monitor Advocate. The WIA/MSFW Grantee will receive a copy of this plan for comment. The State Monitor Advocate has reviewed the Affirmative Action section of the State Plan.

B. Compliance Statement:

The Alabama State Employment Service will comply fully with provisions of 20 CFR, Part 653, Subpart B, governing service to MSFWs by conducting formal and on-the-job training, and the regulations at 20 CFR, part 658, Subpart E for all new employees and any other employees where gaps of policy and procedure knowledge are determined.

Equity of services will be provided to MSFWs in referral to jobs, referral to supportive services, reportable service provided, and job development contacts. A vigorous program to provide services to MSFWs, at least qualitatively equivalent and quantitatively proportionate to services provided to non-MSFWs will continue in the provision of services in the One-Stop Career Centers. Each office will continue to offer to MSFWs, as well as non-MSFWs, the full range of Employment Service benefits and protections.

Services will include, where appropriate, testing, job development, job and training referrals. Complete bilingual job information will be available when necessary. Each office will be sensitive to and considerate of applicant preferences, needs and skills, using accepted interviewing techniques.

Services to MSFWs and non-MSFWs will be provided in all Job Service offices, including branch offices and itinerant points. MSFW application quality assurances will continue. Staff will properly identify MSFWs in accordance with 20 CFR 653.103 and the ETA Forms Preparation Handbook. Monitoring of MSFW services will continue. On-site reviews will be conducted in three (3) local offices. Desk reviews of all local office data including SAMS will be conducted monthly. The monitoring review format furnished by ETA will be used in conducting reviews. Local offices will be provided a copy of the results of the on-site reviews. Instructions will be issued over the ES Division Director's signature for a prompt reply to recommendations. Area Supervisors are required to make an on-site follow-up within thirty (30) days to insure that recommendations in the on-site review are being implemented. Local Office Managers, or a designee, will review all MSFW applications for completeness, accuracy, and service.

Due to the limited number of Migrant and Seasonal Farmworkers in the State and because of the experienced staff in the local offices in these areas, the Monitor Advocate will dedicate fifty percent of his time working with the MSFW Program.

Under the provisions of the One-Stop Career Center implementation grant, the Alabama State Employment Service is undertaking a collaborative effort with the Partner Agencies, established under the Workforce Investment Act, to maximize the utilization of diminishing resources to achieve high standards of customer service and satisfaction among Migrant & Seasonal Farm workers. This process will be undertaken at all levels of the ASES to insure integration of these services into the One-Stop Career Center Systems developed in Alabama.

C. ES Services Provided to Agricultural Employers:

1. Data Analysis (PY 2011)
 - a. Previous Year's History

	Agricultural Orders	Agricultural Openings
Received	213	1386

Our state initiated twenty-Five (22) H2A agricultural clearance orders during the previous year. No H2A clearance orders were accepted or cleared from other states.

b. Plan for Upcoming Year (PY 2012)

	Agricultural Orders	Agricultural Openings
Received	250	1,900

2. Narrative Descriptions

In addition to outreach services described elsewhere in this package, we will continue an active employer relations program which is designed to serve non-agricultural and agricultural employers alike. During those periods of peak need, we will focus the delivery of our services on those agricultural employers who have the greatest need. The bulk of agricultural operations in Alabama is not labor intensive, and as a result, the operations depend on family members, year-round workers, and machines. In many instances, those operations which are labor intensive depend on seasonal help from locals. Based on past experience and knowledge of the labor market area, we have identified those areas which have traditionally used MSFWs. Because of the network of local offices (base, branch, and itinerant), our contacts in the community, and awareness of local labor market conditions, we have a system in place to identify employers who use, or are likely to use MSFWs. The basic outreach program and an intensified employer relations campaign in areas of need forms the basis for employer/worker linkage. In addition, local office staff in intensive farm labor areas network with appropriate community agencies in an attempt to ensure that the full range of needed services are delivered to farm workers and employers.

As appropriate, state and local office staff will continue to participate in conference and informal group meetings to explain to employers the clearance system, H2A Program, and other rural manpower services available. We will continue, through our employer contacts and media program, to advise the public of our role in serving employers and applicants during our transition to a provider of employment and career services under the Workforce Investment Act.

**State of Alabama
Workforce Investment Act
Integrated Workforce Plan Public Comments**

Consistent with WIA Section 111(g) – and, where appropriate, 20 CFR 641.325 (g) – to obtain input into the development of the Integrated Workforce Plan and to give opportunity for comment by representatives of local elected officials, local workforce investment boards, businesses, labor organizations, other primary stakeholders, and the general public.

A comprehensive draft of the Alabama Integrated Workforce Plan was provided on the ADECA website requesting public comment on August 11, 2012. A contact name and email was provided for feedback correspondence. Additionally, the draft was e-mailed to State Workforce Investment Board members on August 14, 2012, requesting feedback prior to being presented for approval consideration at the August 22, 2012 State Workforce Investment Board meeting. The following are a list of the feedback received, as of August 30, 2012.

1. Thanks for the opportunity to view the draft of the Five Year Plan. Attachment 5, the Career Center map, needs to be updated to show Chambers County as a Satellite. At the request of SUSCC, and at no additional cost to the partners, Valley Career Center changed to 5 days per week effective August 13, 2012.
2. Ladies and Gentlemen, I want to make a strong plea to include in the plan a change in the makeup of the local WIBS. The 65 county WIB should be divided into at least 3 WIBS that more closely align with the spirit of the law. Frankly, a 65 county "Local" WIB (out of 67 counties) makes absolutely no sense. How is that local?

The way I read the law is that the State WIA Board can recommend to the Governor the structure of the WIBs. If the Governor agrees that the additional WIBs should be formed and with ADECA staff helping each of them just as they do the current 65 county WIB, then we at least get it more localized and hopefully more affective. Please understand I am not slamming the ADECA staff that currently assists the WIBs, I am suggesting the staff assist two additional WIBs. Perhaps the 65 counties can be divided into 3 local WIBs. Not trying to make it harder, but to make it more productive.

These are simply my thoughts, but thoughts I feel strongly about.

3. The WIB is a state wide board that handles a lot of different streams of money. The expertise at ADECA represents years of experience and would not be easily replicated two more times. If we had changes, I would recommend one WIB and 10 WIAs represented by the 10 regional councils, provided that they return to ADECA's aegis. I would reorganize the Career centers to be responsible to these

councils or at least to ADECA. Their chain of command needs to be simplified so that they report to, and are accountable to, one organization rather than three.

ADECA will need more staff, regardless of what we decide (or not decide).

As mentioned before, their expertise is priceless. We need enough staff to have some younger staff learning what they know. Federal money will always be coming to Alabama and we need to have people who know how to handle it.

4. Well stated my friend and I agree and underscore that the ADECA staff are invaluable and I believe can take us in any direction that is agreed on. It is worth the discussion and whatever direction we go, even if it does not change, I will support whole heartedly.

Thanks to all who are serving on this Board.

5. I agree with XXXX that whatever we decide as a board with regard to any substantive reorganization (or not); that I will fully support that decision. This will be my last email on the subject until we meet.

I recognize the maturity that the Regional Workforce Councils have attained under DPE's administration and by no means want them to cease functioning in that capacity. We, as a WIB are directed to be industry and data driven.

The Regional Councils have achieved this and it is my hope that somehow, we can leverage what the councils have attained without duplication. The Councils largely operate within the confines of state monies and the WIB/WIA handle federal money streams. But the interested parties have a lot of work in common. My last email was not clear on this and I apologize for filling up your in boxes.

6. One of the barriers we face is community recognition. The Career Center should be highly regarded in the community as the primary starting point for resume posting & job search, job listings, career planning, and individual training in the area. The lack of marketing tools and funds makes this a difficult task. I believe that we could partner with other government agencies (ADO, AIDT, ATN) and employer associations (trade groups, etc.) to broaden the knowledge about our services. As an example, if we could market our On-The-Job Training program to new and expanding business in the early stage of industry recruitment, I believe we could increase our OJT program.

One service component that faces difficult obstacles is the ex-offender population. There are incentives in place such as Work Opportunity Tax Credit (WOTC) that offer incentives to employers or Federal Bonding Program that assists in some occupations. New initiatives are needed to promote acceptance of ex-offenders by employers.

I hope these 2 suggestions will be considered and promoted.



**STATE
OF
ALABAMA**

Jacob
INDUSTRIAL RELATIONS BUILDING

**649 MONROE STREET
MONTGOMERY, ALABAMA 36130**

**DEPARTMENT OF INDUSTRIAL
RELATIONS**

January 31, 1986

EMPLOYMENT SERVICE MEMORANDUM NO. 1684

SUBJECT: Service to Handicapped Persons

It is the policy of this agency to provide special service to handicapped applicants who need such service. To do this, it is necessary that one (1) person in each local office be designated as a specialist to work with handicapped applicants who need special services and to serve as liaison to and resource person for community and other agencies.

To further clarify our role and responsibilities in providing services to handicapped applicants, it is the policy of the Alabama State Employment Service:

- A. To provide such services to handicapped applicants as are necessary to promote for them equal opportunity for employment at equal wages in competition with other workers.
- B. To determine the occupational qualifications of handicapped applicants by obtaining complete information concerning work experience, training, and personal characteristics, including employment capacities, and working conditions to be avoided.
- C. To obtain only such information about disabilities as is significant for counseling and placement purposes.
- D. To provide service without requiring a medical report, but to seek the assistance of medical sources in appraising the physical capacities of handicapped applicants when necessary to provide effective service.
- E. To refer handicapped applicants to jobs suited to their physical and mental capacities and which will not aggravate their disabilities or endanger others.
- F. To participate in educational programs with employers, employer groups, labor unions, and the community to promote and develop employment opportunities for handicapped workers.
- G. To coordinate its activities in behalf of the handicapped with those of other groups and agencies serving the handicapped.

(OVER)

So that we can update our list of handicapped specialists, please furnish us by February 14, 1986, the name and classification of the person so designated in your office. In the future, please notify this office immediately when there is a change in the person assigned this role.


William R. Heatherly
Director



Robert Bentley
Governor

STATE OF ALABAMA
DEPARTMENT OF INDUSTRIAL RELATIONS



G. Thomas Surtees
Director

August 1, 2012

To: Robert Brantley, Director
Employment Service

From: Travis Crabtree, Monitor Advocate
Department of Industrial Relations

Subject: Wagner-Peyser Agricultural Outreach Plan, PY 2012

The Wagner-Peyser Agricultural Outreach Plan for PY 2012 has been reviewed and approved by the State MSFW Monitor Advocate. The WIA/MSFW Grantee will receive a copy of this plan for comment. The State Monitor Advocate has reviewed the Affirmative Action section of the State Plan.

**MEMORANDUM OF UNDERSTANDING
ALABAMA WORKFORCE INVESTMENT AREA'S
CAREER CENTER PARTNERS
May 24, 2012**

Introduction

The purpose of this Memorandum of Understanding (MOU) is to define the roles and responsibilities of the Alabama Career Center partner agencies for the provision and improvement of employment and training services provided to Alabama citizens residing within the sixty-five county Alabama Workforce Investment Area (AWIA). This MOU is between the Alabama Local Workforce Investment Board (ALWIB) and the Career Center partners. It is a requirement of the Workforce Investment Act of 1998. This MOU establishes guidelines for the Career Center operator consortium and Career Center partners in creating and maintaining cooperative working relationships. The LWIB has designated a consortium comprised of the Alabama Department of Economic and Community Affairs (ADECA), Alabama Department of Industrial Relations (DIR), Alabama Department of Rehabilitation Services (DRS), and Alabama Department of Postsecondary Education as the designated Career Center operator.

Strategic Vision and Goals

The vision we share for Alabama's Career Centers is an integrated system, which provides high quality, seamless and customer responsive workforce development services to all Alabama citizens. These services are designed to connect the unemployed citizen and dislocated worker to a job, to prepare the underemployed citizen for a new job, and to introduce youth to employment. The goals of the Career Center operator and the Career Center partners are: 1) assist individuals in obtaining employment, 2) eliminate duplication of services, 3) reduce administrative costs, 4) enhance participation and performance of customers served through the system, and 5) improve job seeker and employer customer satisfaction. Achievement of these goals will allow Alabama to connect agencies and service providers into a workforce development system that prepares individuals for high skill, high demand, and high wage occupations in support of Alabama's economic development efforts. A strong workforce development system is economically beneficial to both the job seeker and employers and results in Alabama becoming even more competitive in the global market.

ALABAMA'S CAREER CENTER PARTNERS' PROGRAMS AND ACTIVITIES:

The following are the agencies that form the comprehensive Alabama Career Center System, along with the various services and funding resources that each brings to the operation:

Alabama Department of Economic and Community Affairs (ADECA):

Employment and Training Services-Workforce Development Division:

ADECA's Workforce Development Division (WDD) serves as the Administrative entity for all Workforce Investment Act (WIA) Title I Adult, Youth, and Dislocated Worker funds for the State. These funds assist Adults, Youth and Dislocated Workers with education,

training/retraining, and employment services to assist them to either successfully enter or reenter the workforce.

State Level Services/Activities:

Under the Workforce Investment Act, the Workforce Development Division's State WIA Office provides grant administration to include required grant reporting to the United States Department of Labor (USDOL), issues statewide policies as applicable, provides oversight and monitoring of the WIA program, and provides Rapid Response Services for dislocated workers due to mass layoffs and/or plant closures.

The WIA State Office also administers the incumbent worker training program and other statewide programs allowed under the WIA for statewide activities. The allocation of the annual WIA Formula Funds to the local workforce investment areas is also conducted by the State WIA Office. The State WIA Office administers discretionary grants awarded to ADECA as a result of the development of grant applications by the State WIA Office.

Alabama Workforce Investment Area Services/Activities:

The Division provides staffing for the delivery of WIA Title I activities in the Alabama Career Center system via contracts for staff with various entities as well as programmatic oversight for the delivery of WIA services. Services and activities provided include the funding of Individual Training Accounts (Scholarships) to Adults, Youth, and Adult Dislocated Workers to provide training in occupations that are identified as High Demand, High Growth, and High Wage and support the economic development efforts of the State. Additionally, an extensive On-the-Job Training program is operated by the Division and marketed by the Career Centers to reimburse employers for the extraordinary costs of training WIA eligible workers. Employers agree to hire first and train these workers on-the-job for immediate job openings. Competitively procured Youth Providers provide an array of services to low income Youth with additional barriers to employment, such as High School Drop-out, Pregnant/Parenting Teens, Offenders, or Youth who are deficient in basic literacy skills (reading and/or math).

Employment and Training Services Community Services Block Grant: ADECA's Community and Economic Development Division in cooperation with Alabama's twenty-one Community Action Agencies carry out a variety of services under 42 U.S.C.S. 9901 et.seq. (Community Services Block Grant Act) to assist low-income individuals and families to achieve self-sufficiency (no longer eligible for governmental assistance). These services include activities that will enable families and individuals:

- A. to remove obstacles and solve problems which block the achievement of self-sufficiency;
- B. to secure and retain meaningful employment;
- C. to attain an adequate education;
- D. to make better use of available income;
- E. to obtain and maintain adequate housing and suitable living environment;
- F. to obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs;
- G. to achieve greater participation in the affairs of the communities involved;

In accordance with the Community Services Block Grant Act, Alabama's twenty-one Community Action Agencies assist in meeting the needs of whole family structures as well as addressing the needs of an individual. Services to individuals and families that are WIA related include:

- Customer/client evaluations and assessments;
- Information and referral based on client needs for education, employment or other assistance services (some services and assistance provided in house);
- Job readiness and skills counseling (not all agencies);
- Limited skill development, computers, day care and others (not all agencies);
- Job placement and development with local employers (not all agencies);
- Employability skills orientation and classes (not all agencies);
- Programs for youth and family development (not all agencies);
- Day Care and Head Start services (not all agencies);
- After school and summer programs for youth (not all agencies);
- Transportation (not all agencies);
- Emergency and special needs; and
- Client/customer case management, follow-up/tracking and results management.

Alabama Department of Industrial Relations:

The Department of Industrial Relations includes several mandated partners in WIA. The Employment Service (Wagner-Peyser) is the primary delivery system for labor exchange core services to job seekers including reemployment services for Unemployment Compensation (UC) claimants in the Career Center system. Information about Unemployment Compensation and the process to self-file claims by telephone or internet is accessible to the Career Center customers. Telephones, internet computer, and staff assistance are available at each Center for the filing of Unemployment Claims.

Employment Service staff located in the Career Centers also deliver Veterans Employment and Training Program services to eligible veterans. Veterans' services are augmented by Local Veteran's Employment Representatives (LVER) and Disabled Veteran's Outreach Program (DVOP) staff located in select Career Centers serving large veteran populations.

Trade Readjustment Act/Trade Assistance Act training programs are designed to assist the dislocated workers who lose their jobs due to foreign imports. These programs are closely coordinated with WIA funded activities.

The Labor Market Information Division has been designated by the Governor as the entity responsible for managing the Employment Statistics System for the state of Alabama.

Department of Rehabilitation Services:

The mission of the Department of Rehabilitation Services (ADRS) is to enable Alabama's children and adults with disabilities to achieve their maximum potential. ADRS is comprised of

state and federal programs that provide a continuum of services from birth through life for Alabamians with disabilities. Operationally, ADRS programs function within three divisions: Alabama's Early Intervention System (AEIS), which coordinates services statewide for infants and toddlers with disabilities and developmental delays from birth to age three. Children's Rehabilitation Services (CRS) that provides services to children with special health-care needs from birth to age 21, and Vocational Rehabilitation Services (VRS) that provides rehabilitation, education, and employment-related services to adolescents and adults with disabilities.

VR Services are designed to empower individuals with disabilities to maximize their employment, economic self-sufficiency, independence, inclusion and integration into society. Services to eligible individuals with disabilities are delivered through an Individualized Plan for Employment and may include, but are not limited to:

- X Vocational evaluation and counseling;
- X Job training;
- X Medical and psychiatric treatment;
- X Assistive technology/equipment;
- X Rehabilitation Teaching / Orientation and Mobility training for blind individuals;
- X Job placement;
- X Post-employment assistance; and
- X Employment and disability services for businesses.

VRS utilizes a statewide network of partner state agencies, community rehabilitation programs, local school systems, postsecondary institutions, and consumer organizations to achieve its goals. VRS has embraced the vision of the Career Center system in Alabama and is committed to be a full and active partner in the system in order to increase the employment of individuals with disabilities in Alabama.

Department of Human Resources:

The Department of Human Resources (DHR) administers an array of human services programs that assist thousands of individuals and families. Major programs administered by DHR include the Food Assistance Program, the Child Support Enforcement Program, Family Assistance Programs (Financial Assistance, JOBS and Kinship), Child Care Subsidy Program, Family Services to protect children and strengthen families, and Adult Services for elderly, disabled, or abused adults. Services provided by DHR, as part of the Alabama Career Center System, will be those provided to recipients of Family Assistance (FA) through the JOBS Program and will primarily be those that enable FA recipients to find and retain employment.

JOBS Services for eligible individuals will include, but are not limited to:

- Child care payment/reimbursement;
- JOBS participation-related expenses;
- Transportation expenses;
- Work-related expenses;
- Community Employment Program (CEMP) expenses;

- GED course supplies and testing expenses;
- Short-term Employment Aid (S.E.A.);
- Family Coaches/Mentoring programs;
- Domestic Violence Assessment, Intervention, and Liaison Services (SAIL); and
- Job Readiness classes.

Department of Postsecondary Education:

The Department of Postsecondary Education (DPE), through public two-year colleges, provide assessment, counseling, basic education, and job training services for youth and adults served through the Workforce Investment Act (WIA). For employers, ACT Work Keys job profiling and assessment services and customized training programs are available through two-year colleges.

Career/Technical educational programs are administered by the DPE and are funded through state and federal legislation, including the Carl D. Perkins Career and Education Act of 2006. Although the Workforce Investment Act stipulates that institutional recipients of Perkins' funds are mandatory partners in carrying out the Act, it is noted that Perkins' funds are used by a college for overall improvement of career/technical education. Perkins funds are allocated to the college- within the parameters of the legislation - to address various CTE related needs identified by college staff and the local career/technical education advisory group from business and industry.

Also within the DPE, the Adult Education Division provides opportunities for adult learners to improve skills in reading, writing, mathematics, and communications. Diagnostic testing identifies individual needs and as a result, an individualized education plan is designed to help learners reach their educational goals. For many learners, the goal is to earn the General Educational Development (GED) Diploma, generally considered to be equivalent to a high school diploma.

Instruction methods are tailored to meet the needs of the learners. Methodologies range from one-on-one tutoring to group instruction and normally feature computer-based training. Multimedia approaches are being increasingly utilized to aid in individual development. Interactive group instruction and peer tutoring are frequently employed.

Adult education classes can provide the academic instruction that many people in Alabama need to secure the required credential so they can obtain and maintain employment. According to the 2000 Census, 25% of Alabamians 18 years old and older do not have a high school credential or its equivalent. Most adult education students read at the seventh grade level or lower. Studies have shown that the lack of basic literacy skills is the single most persistent barrier to obtaining employment, whether the group studies welfare recipients, the chronically unemployed, or others. Adult Education classes provide the means by which they can get the basic education they need to succeed, and in doing so, improve their self esteem and productivity significantly.

Source of funding is both state and federal.

Adult education classes will be available through all Alabama Career Center locations whenever possible and may be accessed by referral from any of the participating partner agencies based on the identified need(s) of the client. Other adult education classes may be in the community and could be more convenient for the individual to attend. Information regarding the location(s) and schedule of all adult education classes will be available in the one-stop Career Centers.

The Adult education program also offers the following classes that could be of benefit to people who visit the Career Centers: job readiness classes for welfare participants, English as a Second Language (ESL) classes, English literacy/civics classes, adult education classes in all of the major correctional institutions, family literacy classes, and adult education classes for special populations.

Alabama Department of Senior Services:

The Alabama Department of Senior Services (ADSS) is designated as the state entity on aging and as such, is the lead agency relative to all aging issues on behalf of older Alabamians. ADSS proactively carries out a range of functions related to advocacy, planning, coordination, interagency linkages, monitoring, and evaluation designed to lead to the development of comprehensive, coordinated, community-based systems throughout the State. Through thirteen regional Area Agencies on Aging, ADSS provides services supported by the Older Americans Act, Title XIX of the Social Security Act, and other federally supported grants.

In response to a critical need in the field of aging, older worker employment, ADSS directs the Title V Senior Community Service Employment Program (SCSEP). This program provides part-time community service work-based training assignments for persons with low incomes who are age 55 and older while promoting transition to unsubsidized employment. ADSS will continue to collaborate with the Alabama Career Centers to place SCSEP participants in Career Center training positions, where appropriate. Also, ineligible SCSEP applicants are referred to the nearest Career Center.

SCSEP is administered through a grant from the U.S. Department of Labor (USDOL) funded through Title V of the Older Americans Act of 1965. For the program year ending June 30, 2011, Alabama was approved for 838 authorized slots (training positions), with a total budget of approximately \$6 million dollars. ADSS uses sub-grantees such as Councils of Local Government and Area Agencies on Aging to administer SCSEP locally. These service providers collaborate with ADSS and national grantees for equitable distribution of the senior worker slots within the planning and service areas of all 67 counties in Alabama. Easter Seals and Senior Service America, Inc. are the two national grantees operating SCSEP in the state.

Under Title III of the Older Americans Act, ADSS provides for such services as nutrition, transportation, information and referral, outreach, legal assistance, recreation, in-home supportive services, and long-term care ombudsman services for Alabamians age 60 years and over. ADSS administers the Title XIX Medicaid Waiver home and community-based services program, which is designed to serve the Medicaid-eligible client who requires nursing care or is at risk of nursing home placement.

ADSS also administers other grants to educate and counsel older individuals on Medicare, Social Security benefits and other public benefits. By providing these services, ADSS seeks to make older Alabamians and their advocates better health care consumers.

Job Corps:

Two Job Corps Centers are located in the Alabama Workforce Investment Area, one in Gadsden and one in Montgomery. Job Corps is a federally funded job- training program for disadvantaged youth, ages 16-24, in need of education and training in a variety of marketable skills, and job placement assistance to graduates. The Montgomery and Gadsden Job Corps Centers agree to offer core services to their clients according to the provisions of the Workforce Investment Act. Job Corps centers offer a broad array of training services to low-income youth within their service area. Services are offered to commuter clients as well as offering residential facilities for youth outside the commuting area. NOTE: The Job Corps Centers will be included in the negotiation of the locally developed Resource Sharing Agreement at their specific locations (Gadsden/Montgomery).

Employment and Training Activities –The Department of Housing and Urban Development (HUD):

No mandatory partners have been identified in this category.

Native American Programs funded by WIA:

There are currently two Native American grantees funded under the authority of the Workforce Investment Act, section 166, Indian and Native American Programs (INA) in the 65 county Alabama Workforce Investment Area. These INA grantees are represented on the Alabama WIA Local Board by a representative of the Intertribal Council of Alabama. The Poarch Band of Creek Indians is a federally recognized tribe, and serves 4 counties with the largest Indian population located in Mobile County. The tribe is located in Atmore, Alabama. The Inter-Tribal Council of Alabama, located in Millbrook, Alabama is a non-profit organization consisting of representatives from the State Recognized Tribes, serving the Indians and Native Americans located in the other 63 counties of the State. The Intertribal Council also serves the Poarch Creek Indians when that Tribe is low on funds. The largest populations of Indian and Native Americans served by ITC of Alabama are located in Lawrence, Madison, Jackson, Jefferson, Washington, Morgan, Escambia, Baldwin, DeKalb, and Montgomery counties (with the other counties supporting populations of a high range of 957 to a low of 18).

A summary of employment and training program services available to Indians and Native Americans through the section 166 program and the Alabama Career Centers include classroom training, job search assistance, job referrals, and job placement assistance, work experience and support services (i.e., books, meals, transportation, child care, stipends, tools, and uniforms). Recognizing that there are limited funds available through the WIA section 166 program, the AWIA is committed to working with the INA employment and training programs to provide a full array of services via the Alabama Career Center System.

The Inter-Tribal Council of Alabama and the Poarch Creek Band of Indians will continue to partner with the Career Center partners in the state of Alabama to seek basic and vocational training for their tribal members and with the Career Center Employment Security Office staff for job referral services.

Telamon Corporation funded by WIA:

The Telamon Corporation is the National Farmworker Jobs Program (NFJP) operator that delivers services to the migrant and seasonal farmworkers throughout the State of Alabama. Section 167 of the Workforce Investment Act offers an array of services to the migrant and seasonal farmworkers and their families that more broadly addresses the needs that exist for those who perform seasonal agricultural labor, and suffer its debilitating effects on their lives. For this reason, operators are able to offer assistance to eligible individuals who remain in agriculture as well as those who choose to pursue more stable employment. As such, the provision of intensive services is more expensive and the operators provide other services, classified as *Related Assistance* that meets emergency needs or improves one's chances of surviving the seasonal agricultural employment environment.

A summary of program services encompass the following activities to assist in meeting the needs of farmworker families as well as addressing the needs of an individual farmworker:

- Customer eligibility determination and assessments;
- Information and referral based on customer needs for education, employment, or other assistance services;
- Job readiness and skills counseling;
- Remedial education instruction;
- English language program;
- Job development and job placement;
- Work experience activities;
- On-the-Job training;
- Worker Safety training;
- Child Care;
- Housing/relocation assistance;
- Transportation;
- Emergency and special needs supportive services;
- Customer case management; and
- Follow-up services.

Currently, there are three field offices located in Dothan, Oneonta, and Mobile and the State office is located in Millbrook for a statewide delivery of program services. As a Career Center Partner, the Telamon field office located in Mobile is in the Alabama Career Center through provisions outlined in cost sharing agreements. Telamon programs are rooted in the communities served. Through grant support and cooperative agreements, the program coordinates with the Career Centers partners and various local partners to ensure quality service delivery.

NOTE: Career Center partners are responsible for informing each other when or if the availability of a service may be affected by a funding shortfall.

Services to be provided through the Alabama Career Center System:

A consortium of agencies has been designated by the AWIA local board to be the Alabama Career Center Operator and the primary provider of services in the Career Centers. Currently, there are twenty-four comprehensive Career Centers strategically located in the sixty-five county area. The Career Center operator in coordination with the local board determines locations of Career Centers. In addition to walk-up service, internet based technology will provide customers self-help capability to access information about required Career Center partners' services, thus providing access to some of the required core services at the Career Center off-site 24/7. The Career Center partners will provide cross training, cross awareness training, and co-location of staff as appropriate. A network of affiliated sites (nineteen as of March, 2012) to include thirteen full-time Satellite Centers and six less than full time Itinerant points of service provide two or more of the programs, services, and activities of the Career Center partners. These sites will provide information on the availability of services not available in the local area that are available through comprehensive Centers.

The operating system for the Career Center System is Alabama JobLink (AJL), an internet based, customer-driven, service delivery system. AJL is available to all one-stop partners for registration, eligibility determination, service tracking and outcome reporting.

Career Center partners will be primarily responsible for providing those core services, which they are authorized to deliver and for which they are funded. The applicable core services for each Career Center partner are identified in Section 134(d)(2) of the WIA. DIR will provide basic Labor Exchange Services and other Core Services with Wagner-Peyser funds. ADECA will provide core, intensive, and training services using WIA funds. It is expected that all Alabama Career Center operator staff and Career Center partner staff will be knowledgeable about all services provided at the Career Center and at affiliated sites. This will be achieved by cross training or cross awareness training of all partner agency staff. Career Center partners will be responsible for providing technical assistance and training to the local Career Center staff as well as to other Career Center partner staff not located in the Career Center on referral processes and services related specifically to the respective Career Center partner. A customer pathway for obtaining core services from the Career Center partners is developed locally.

Career Center partners retain eligibility determination for their respective services whether co-located or connected through another method. Costs for core, intensive, and training services for customers who are determined to be best served by and eligible for a particular Career Center partner's services or programs is borne by the Career Center partner that is authorized to deliver the service and for which they are funded. If eligible, some customers receive non-duplicated services from multiple partners.

Additionally, pamphlets and other informational materials about Career Center partners' programs are available to customers in every comprehensive Career Center and affiliated sites.

Career Center partners are responsible for providing up-to-date materials about their programs and services.

DIR will provide Labor Market Information for job seekers and employers, to include employment statistics, occupational and industrial projections data, career information, and wage data in the Career Centers as well as through Alabama JobLink and the Department of Industrial Relations website. All Career Center partners and the public will have access to the information either hard-copy or electronically. Career Center partners requiring customized Labor Market Information and reports should contact the LMI Division of DIR.

Referral Process

The Alabama Career Center Operator, primarily DIR and ADECA staff, will complete initial assessments with customers. Staff will, in consultation with the customer, determine which one of the partners is most appropriate to provide the core, intensive, and training services that best meet the needs of the customer. If it is determined that a customer's need can be better served by another Career Center partner a referral will be made to the appropriate Career Center partner. Referrals for supportive service needs are made utilizing Career Center locally developed supportive service referral listings, and/or computer assisted listings where available. Customers will be able to learn about services provided by Career Center partners by utilizing social media to include AJL, Face Book, One-Stop Career Centers, and the recently announced American Job Center, or visiting partner agency websites.

Alabama Career Center System Performance Criteria

It is agreed that the Alabama Career Center system partners will strive to achieve the following standard of quality service for its customers, employees, and partners:

All customers will receive:

- Prompt and courteous customer service; and
- Appropriate services, education and training that will help them to reach their employment goals.

All partners will:

- Deliver high quality services through the Alabama Career Center System; and
- Survey customers as they receive services to determine whether or not the services rendered met their needs and to determine the level of customer satisfaction.

Cost Allocation

The Alabama Career Center System partners will follow cost allocation plans as approved by their agency. The costs of unique services provided by a Career Center partner that are not generally available to all customers in the Career Centers will be borne by that respective partner. In general, costs relating to this MOU will be allocated in compliance with the Office of

Management and Budget Circulars, as appropriate, and in accordance with approved cost allocation plans. Multiple funding streams may fund programs and services that are delivered by Career Center partners. These may include Family Assistance, Food Assistance Employment and Training, WIA, Wagner-Peyser, Vocational Rehabilitation, Veterans, TRA/TAA, Adult Ed, and State funds. These funds will provide core, intensive, and training services as provided in the appropriate enabling legislation.

Career Center partners will control their own resources, and remain autonomous while working with other Partner Agencies to provide a continuum of services through the Career Centers in accordance with 20 C.F.R. part 662. Each partner will perform the functions and provide the services as mandated by State and Federal statute. These partners will continue to maintain their own individual program delivery, personnel, accounting, and other management systems. Each Career Center partner will pay for its own fixed and variable costs as direct charges.

Conflict Resolution and Grievance Procedures

Employee grievances and complaints related to terms and conditions of employment will be handled according to applicable Career Center partner agency procedures (i.e., the employing agency's procedures). Customer grievances and complaints about any WIA Title I-funded services will be handled according to WIA grievance and complaint procedures, including discrimination complaint procedures. The partner agency will handle grievances and complaints related to the programs or services by that agency. Employees, customers, and other interested persons will be notified of grievance and complaint procedures through postings (written and electronic), other written notice and, as necessary, verbally. Notice and information about WIA and other partner agency grievances and complaint procedures will be made available in alternative formats to persons with disabilities. Every possible effort will be made to combine and coordinate notices, policies and procedures where not prohibited by law or regulation.

Partner agencies and the Alabama Career Center Operator will designate a person to be responsible for coordinating Career Center grievance and complaint activities. This person will serve as the Career Center contact for information, referral and assistance regarding filing and processing grievances and complaints.

Duration and Modification of Plan

At any time, any Career Center partner may request an amendment to the MOU in writing to the WDD/AWIA. However, the Career Center partners must agree upon the amendments before presenting them to the Alabama Local Workforce Investment Board (ALWIB). All requests will be presented to the LWIB for final approval. The Memorandum of Understanding will be in effect upon approval by the AWIA Local Board and will remain in effect until any of the Career Centers partners requests a revision. If a Career Center partner does not sign the MOU, the Chair of the LWIB will notify the Governor. If the impasse cannot be resolved between the partners through negotiation or mediation, the Governor will notify the Secretary of Labor and the national office of the partner who has not signed the MOU. The Governor can remove required Career Center partners who do not sign the MOU from the Board. Administration and oversight of this MOU will be the responsibility of the LWIB.

Summary

The Alabama Career Center Operators have established a service delivery pathway that provides customers access to training services based on customer need, eligibility, and funding availability. Before customers can access training, Career Center staff must provide core services, which include job search, initial assessment, eligibility, and supportive services. However, if the customer is unable to obtain employment through core services and he or she meets the eligibility requirements, then he or she can receive intensive services, such as comprehensive and specialized assessment, individualized employment planning, individual or group counseling and career planning, or case management services. If the customer remains unemployed or underemployed after receiving intensive services, then the customer may be eligible to receive training funds to increase his/her skills so that he or she can obtain employment in an occupation in demand. Local pathways must address how customers can access the variety of services provided by all required partners and other resources in the community which will support and enhance the customers' attachment to the workforce.

Training in a work first environment, such as Work Experience and Try-Out Employment is available to customers who are unable to obtain employment after receiving core and intensive services. Those customers who lack the necessary skills to obtain initial employment or to move from low wages to better wages and who are determined eligible for training funds will be provided a list of eligible training providers who provide training in high-demand, high-wage occupations. Customers will choose from this list. Our goal in providing training services to customers is to enable them to connect to the workforce, to increase earnings, increase job retention, and reduce welfare dependency. It is our goal to increase employment, job retention, and earnings of customers. This may require an increased occupational skill attainment.

An "Umbrella" Memorandum of Understanding (MOU), being more general in nature, works best to set direction with enough flexibility so each Career Center can develop a Cost Allocation Agreement with each required partner per the Workforce Investment Act and other locally participating agencies. Using the directions set in the ALWIB MOU, local Career Center partners will develop the unique aspects of the service pathways and referral processes for all customers, job seekers and employers alike. Shared costs for specific service delivery are to be negotiated at the local level and approved by the participating agencies.

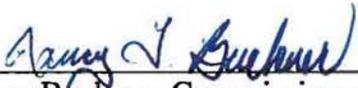
Attached to this MOU is a set of Matrices (3) providing, in detail, the CORE, INTENSIVE, and TRAINING SERVICES provided by each of the Career Center partner agencies in the Alabama Workforce Investment Area. This set of Matrices provides the foundation for the local Career Center partner Agencies for use in establishing their local agreements in terms of the services to be made available from each Partner. Based on local staffing, dedicated space, customer needs, and the availability of funding from each partner agency, each local Career Center will develop their Cost Allocation Agreement to include the sharing of costs of the center, as well as the sharing in the delivery of services to all customers at that location.

Included, as an Attachment to this MOU, is a listing of the various partner agency local offices and/or organizations providing services pertinent to the delivery of workforce investment

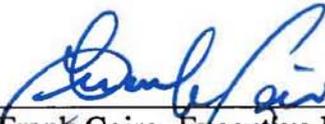
activities, to include agencies providing supportive services that may be needed by Career Center customers.

This Memorandum of Understanding has been developed with the full cooperation and input of all Career Center partner agencies, or their representative, in the Alabama Workforce Investment Area, and remains in effect until modified by one or more of the partners. Additional partners may be added to this MOU as identified, and their services integrated into the Alabama Career Center System.

**SIGNATURE PAGE
FOR
MEMORANDUM OF UNDERSTANDING
ALABAMA WORKFORCE INVESTMENT AREA'S
CAREER CENTER PARTNERS**



Nancy Buckner, Commissioner
Department of Human Resources



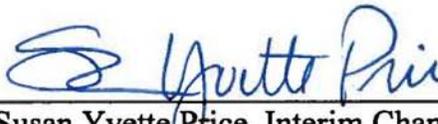
Frank Coiro, Executive Director
Job Corps (Montgomery)



G. Thomas Surtees, Director
Department of Industrial Relations



Cary Boswell, Commissioner
Department of Rehabilitation Services



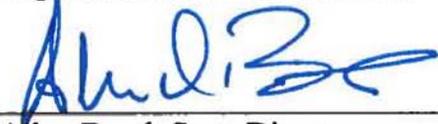
Susan Yvette Price, Interim Chancellor
Postsecondary Education



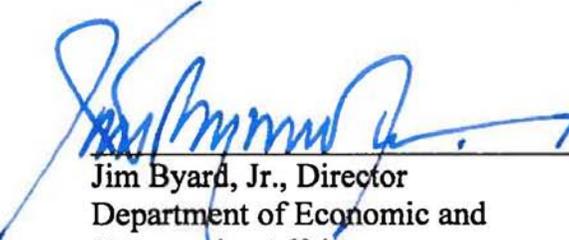
Neal Morrison, Commissioner
Department of Senior Services



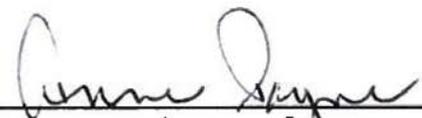
Alabama Intertribal Council-WIA



Allen Boyd, State Director
Telamon Corporation



Jim Byard, Jr., Director
Department of Economic and
Community Affairs



Approved
Anne Payne, Board Chair
Alabama Workforce Investment Area (AWIA) Local Board

SERVICES	CORE SERVICES														
	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
Eligibility Determination	X	X	X	X		X		X	X	X	X	X	X	X	X
Outreach and Recruitment	X		X	X		X	X	X	X	X		X	X		X
Initial Assessment*	X		X	X		X	X	X	X	X	X	X	X	X	X
Job Search and Placement Activities	X		X	X		X		X	X	X	X	X	X	X	
Employment & Labor Market Information	X		X	X	X	X		X	X	X	X	X	X		
Job Vacancy Listing	X		X	X		X		X	X	X	X	X	X		
Information on Job Skills	X		X	X	X	X		X	X	X	X	X	X	X	
Information on Local Demand Occupations	X		X	X	X	X		X	X	X	X	X	X	X	
Performance and Program Cost Information			X			X				X	X	X		X	
Information on Local Performance Measures	X					X				X	X	X		X	
Provision of Supportive Services				X		X		X	X		X	X	X	X	X
Establish Eligibility for Financial Assistance										X	X	X	X	X	X
Follow-up Service Including Counseling	X		X	X		X		X	X	X	X	X	X		

* Includes assessment of supportive services needs such as childcare and transportation.

- | | |
|--|---|
| A. Department of Industrial Relations (DIR)/Employment Service | I. Department of Senior Services/Title V |
| B. DIR/Unemployment Service | J. ADECA/Workforce Development Division (WDD)(WIA) |
| C. DIR/Veterans | K. ADECA/Community Service Block Grants |
| D. DIR/TAA/TRA | L. Telamon Corporation (National Farmworker Jobs Program) |
| E. DIR/Labor Market Information | M. Dept. of Postsecondary Education/Two-Year Colleges |
| F. Job Corps (Montgomery/Gadsden) | N. Department of Human Resources |
| G. Department of Postsecondary Education/Adult Education | O. Native American Programs |
| H. Department of Rehabilitation Services | |

INTENSIVE SERVICES**(May 2012)**

SERVICES	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
Comprehensive and Specialized Assessment	X		X X			X		X X X X X X X							
Development of an Individualized Employability Plan			X X			X		X X X X X X X						X	X
Group Counseling				X		X		X X X X					X		
Individual Counseling and Career Planning	X		X X			X		X X X X X X X							
Case Management			X X			X		X X X X X X X							
Work Experience							X	X X X X X X X						X	X
Short-term Prevocational Services								X X X X X X X							

- A. Department of Industrial Relations (DIR)/Employment Service**
- B. DIR/Unemployment Compensation**
- C. DIR/Veterans**
- D. DIR/TAA/TRA**
- E. DIR/Labor Market Information**
- F. Job Corps (Montgomery/Gadsden)**
- G. Department of Postsecondary Education/Adult Education**
- H. Department of Rehabilitation Services**
- I. Department of Senior Services/Title V/Older Americans Act**
- J. ADECA/Workforce Development Division (WDD)(WIA)**
- K. ADECA/Community Service Block Grants**
- L. Telamon Corporation (National Farmworker Jobs Program)**
- M. Department of Postsecondary Education/Two-Year Colleges**
- N. Department of Human Resources**
- O. Native American Programs**

SERVICES	TRAINING SERVICES														
	(May 2012)														
	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
Occupational Training				X		X		X	X	X		X	X	X	
On-the-Job Training				X		X		X		X		X	X		
Programs Combining Workplace Training W/Related Training				X		X		X	X	X			X	X	
Private Sector Training Programs								X		X			X	X	
Skills Upgrading and Retraining				X		X		X	X	X		X	X	X	
Entrepreneurial Training				X		X		X		X		X	X	X	
Job Readiness Training				X		X		X	X	X		X	X	X	
Adult Education				X		X	X	X	X			X	X	X	
Customized Training						X		X				X	X	X	
Preparation for Employment Placement/Community Employment Placement															X

A. Department of Industrial Relations (DIR)/Employment Service
B. DIR/Unemployment Compensation
C. DIR/Veterans
D. DIR/TAA/TRA
E. DIR/Labor Market Information
F. Job Corps (Montgomery/Gadsden)
G. Department of Postsecondary Education/Adult Education
H. Department of Rehabilitation Services

I. Department of Senior Services/Title V/Older Americans Act
J. ADECA/Workforce Development Division (WDD) (WIA)
K. ADECA/Community Service Block Grants
L. Telamon Corporation (National Farmworker Jobs Program)
M. Dept. of Postsecondary Education/Two-Year Colleges
N. Department of Human Resources
O. Native American Programs

Confidentiality Requirements for Wage and Education Records

The state follows confidentiality requirements for wage and education records as required by the Family Educational Rights and Privacy Act of 1974 (FERPA), as amended, WIA, and applicable Departmental regulations. WIA Sections 136(f)(2), (f)(3), 122, 185(a)(4)(B) 20 USC 1232g 20 CFR 666.150 20 CFR part 603

Alabama follows confidentiality requirements when requesting and calculating participant wage records. There is no disclosure of individual wages or any unwarranted invasion of personal privacy. The State is in a signed WRIS “Data Sharing Agreement” which addresses confidentiality issues. This Agreement includes provisions as to the accessibility of WRIS data and its limited use. In addition to the Agreement, Alabama instituted a PACIA Physical Security Policy at the onset of participating in WRIS.

Key to Acronyms

1. ADECA Alabama Department of Economic and Community Affairs
2. ADOL Alabama Department of Labor (formerly Department of Industrial Relations)
3. ACCS Alabama Career Center System
4. AITC Alabama International Trade Center
5. AJL America's/Alabama's JobLink
6. ASVET Assistant Secretary, Veterans Employment and Training
7. ATN Alabama Technology Network
8. AWIA Alabama Workforce Investment Area
9. CFR Code of Federal Regulations
10. DHR Department of Human Resources
11. DIR Department of Industrial Relations
12. DRS Department of Rehabilitation Services
13. DVOP Disabled Veterans Outreach Program
14. GOWD Governor's Office of Workforce Development
15. IELS Inter-Agency Electronic Linkage System
16. LMI Labor Market Information
17. LVER Local Veterans Employment Representative
18. LWIA Local Workforce Investment Area
19. LWIB Local Workforce Investment Board
20. MBOC Minority Business Opportunity Centers
21. MSFW Migrant Seasonal Farm Workers
22. OJT On-the-Job Training
23. PY Program Year
24. SBDC Small Business Development Centers
25. SWIB State Workforce Investment Board
26. TAA Trade Adjustment Assistance
27. USDOL United States Department of Labor
28. WARN Worker Adjustment and Retraining Notification
29. WDD Workforce Development Division
30. WIA Workforce Investment Act