



INDIANA
DEPARTMENT OF
WORKFORCE
DEVELOPMENT

WIOA ANNUAL PERFORMANCE REPORT NARRATIVE

Program Year 2018 (July 1, 2018—June 30, 2019)

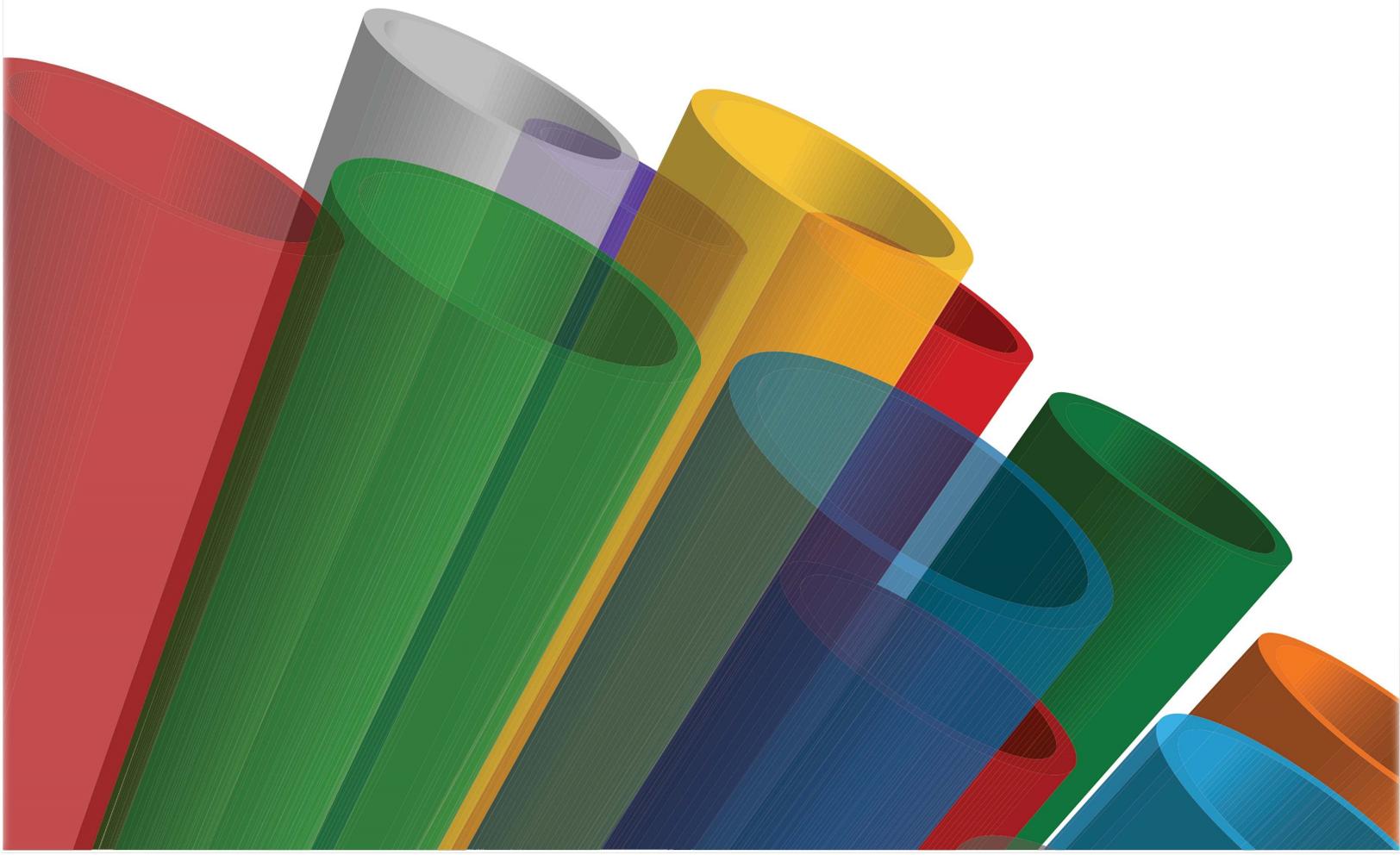


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Introduction

The following WIOA Annual Performance Report Narrative outlines the programs and initiatives of the Indiana Department of Workforce Development (DWD) that support Hoosier students, workers and jobseekers in attaining valuable skills and securing gainful employment.

DWD is preparing the Hoosier workforce for the high-demand jobs of today and the future by providing greater access to career assistance and skills development opportunities at local WorkOne Career Centers. DWD also develops statewide initiatives designed to enhance training and education programs that align with Hoosier employers' demand for a skilled workforce.

This report takes a closer look at critical DWD programs and initiatives in Program Year 2018 (PY18).

Section 1. Required Content

1.1 : *Waivers – Detail each waiver the state had in place for at least one program year.*

DWD utilized the following waivers in PY18:

1. **Youth Funding Expenditures:** Waive the requirement that states and local areas expend 75 percent of all Governor's reserve and local formula youth funds on OSY and lower the target rate for Governor's reserve and local youth funds to 50 percent.
2. **State Board Membership Requirements:** Waiver to substitute the WIOA State Board membership requirements with the requirements promulgated in Indiana Code 4-3-27-3, which created the Governor's Workforce Cabinet.

Both waivers may be found in Appendix A.

1.1(a): *Waiver on Youth Funding Expenditures*

Only Indiana Workforce Development Board (WDB) Region 3 and Region 6 utilized the Youth Funding Expenditures waiver in PY18. Like most Indiana WDBs, these regions experienced WIOA youth funding reductions in recent years. The waiver enabled them to maximize resources towards the successful Jobs for America's

Graduates (JAG) program. Region 3 operated 15 JAG programs and Region 6 operated 10 programs during the program year.

The waiver aided in the continued growth of Indiana's JAG program that serves over 7,000 at-risk youth annually through in-class instruction, mentoring and follow-up services. In PY18, the program had a 96% graduation rate, 90% positive outcomes (students who were employed, enrolled in post-secondary education or in the military) and more than \$35M in scholarships to pursue their post-secondary education goals.

1.1(b): Waiver on WIOA State Board Membership Requirements

During the 2018 Legislative Session, the Indiana General Assembly created the Governor's Workforce Cabinet (Cabinet) and designated it with the responsibilities of the state workforce board and the authority to direct state agencies to address our workforce needs. Indiana succeeded in bringing our departments of education, workforce development, and economic development together with employers and our postsecondary training institutions with the authority to drive real implementation across our workforce system.

Progress toward achieving the goals and performance outcomes in ETA's letter of approval and set out in the waiver request.

In Indiana's requested waiver, an aligned new vision for workforce development driven by the Governor was highlighted. At the October 2019 Cabinet meeting, the following Mission, Vision, Goals, and Guiding Principles were approved addressing first goal outlined in the waiver request:

Mission: The mission of the Governor's Workforce Cabinet is to address current and future education and employment needs of both individuals and employers, strengthen Indiana's economy by integrating and aligning state and federal resources, and ensure a talent-driven education and workforce system.

Vision: The vision of the Governor's Workforce Cabinet is to create a talent system that provides all Hoosiers equitable opportunities for lifelong learning and increased personal economic mobility, as well as provides employers the talent to grow and diversify their workforce.

Goals: Every Hoosier will be aware of career opportunities that exist, have equal access to quality credentials and skills necessary for those opportunities, and employers will have access to the talent necessary for them to continue to grow and locate in Indiana.

- Increase the attainment of quality credentials beyond a high school diploma so that at least 60% of Hoosiers have a quality credential by 2025.

- Increase engagement between employers and the talent development system so skills gaps are being identified and addressed in a more responsive way.

Guiding Principles:

The Governor's Workforce Cabinet is committed to:

- Ensuring quality pathways for all Hoosiers that provide opportunities for career advancement, personal prosperity, and well-being.
- Partnering with Indiana employers and education and training providers to close skill gaps and meet emerging talent needs.
- Strengthening Indiana's economy by aligning programs and funding to meet current and future workforce needs.

This allows for the vision discussed in the original waiver driven by the Governor with input from employers across the state and gives a continual reference point to drive the work the Cabinet is leading.

In the requested waiver Indiana discussed the ability to take a thoughtful approach across state agencies to align services for all individuals. During the Cabinet's evaluation of workforce programs, a strategic transition and partnership allowed the Hoosier Initiative for Re-Entry (HIRE) program to move to Indiana Department of Corrections. The program currently focuses on providing Hoosiers with full time, benefited positions, earning livable wages. Since the transition, more offenders have connected with opportunities prior to release and wages have increased. The Cabinet's ability to evaluate collaboration and alignment continues to be necessary. As stated in the waiver, we must have a workforce system that fosters stronger collaboration among local governments, local workforce boards, various state agencies, and employers all across Indiana.

In 2019, the authority granted by the Carl D. Perkins Act for career and technical education was transitioned to the Cabinet as well as the team members under Perkins. This provided an opportunity to be innovative in the delivery of career and technical education to meet student needs.

How the activities carried out under the approved waiver have directly or indirectly affected state and local area performance outcomes.

The Cabinet continues the focus on accomplishment, not activity. The Cabinet works to utilize the system and tools available and align those to best reach individuals.

The Cabinet, throughout this waiver period, works to identify the existing roadblocks facing Hoosiers seeking meaningful training and employment. In identifying some of those roadblocks and discussing with state and local partners, new strategies will be

outlined in the State Plan. Short term and long term goals are identified in order for the Cabinet to monitor success for individuals utilizing the workforce system. Additionally, ongoing data and inter-agency knowledge of services develop.

One of the goals outlined in the waiver was to increase accountability at the state, local, and service-provider levels. The Cabinet in collaboration with the Department of Workforce Development set high expectations for our state and local partners to perform. Even during an astonishing low unemployment season, where the system itself does not interact with as many customers, there was a call for higher measures. This drew attention to the mission of the Cabinet and a sense of necessary vigor to meet the goals. Local boards are a major partner and benefit from the connectivity to the state government and the Governor's office and the opportunity to access resources that may be available through a variety of state agencies. Operational transition of the duties of the state workforce board from existing under one agency continue to develop with clear responsibilities established. Outcomes that result from aligning these systems are further included in this report and will be part of the State Workforce Plan. The outcome of the waiver will be a statewide achievement of better communication and direction for the WIOA-established workforce system. The creation of the Cabinet generated renewed and excited engagement of local leaders that strive to operate at the highest level of performance for the individuals they reach. The continued work of implementing and monitoring the State Workforce Plan strategies will be part of the Cabinet's priorities.

1.2 : Employer Performance Indicators - Identify two approaches chosen for the Effectiveness in Serving Employers performance indicator pilot.

DWD deployed the following two approaches:

- **Repeat Business Customers** (Approach 2) – Addresses efforts to provide quality engagement and services to employers and sectors and establish productive relationships with employers and sectors over extended periods of time; and
- **Employer Penetration Rate** (Approach 3) – addresses efforts to provide quality engagement and services to all employers and sectors within a State and local economy.

In PY18, DWD expanded its Workforce Operations Team to include a group of Regional Business Managers to best support employers' workforce needs. The agency also introduced an Employer Portal that assists Hoosier employers in finding, training and retaining skilled employees. The portal provides employers with solutions and resources to strengthen their workforce and seamlessly interfaces with Indiana Career Connect, the state's premier labor exchange system.

1.3 : Brief Descriptions

1.3(a): Current or planned evaluation and research projects, including methodologies;

DWD continued its State Performance Metrics project (www.in.gov/dwd/RPM.htm) that was built to complement and supplement Federal reporting measures. The primary purpose of the state metrics is to analyze what percent of the state's unemployed population is actively engaged with the state's workforce system. DWD recently deployed new customer check-in technology that enables the agency to track clients' progress from the moment they first step into their local one-stop center through the culmination of their workforce services. The ultimate goal of the project is to identify and recognize successful practices at the regional level. As a result, inter-region collaboration will be encouraged through the sharing of such practices across the entire statewide workforce network.

DWD also developed a Federal Quarterly Performance Measures dashboard in PY18 that enables staff and workforce partners to quickly analyze years' worth of Local Area Reports in one location in lieu of searching through hundreds of PDF copies of reports supplied by DOL. This can also be viewed on the DWD Performance Portal at www.in.gov/dwd/RPM.htm.

Additionally, DWD utilizes WIOA and non-WIOA data to measure the effectiveness of its programs in serving the needs of Hoosier workers and employers. DWD continues to publish an annual Workforce Programs Report (www.in.gov/dwd/WPR.htm) that tracks expenditures, participation and outcomes for all agency programs. The Report is designed to enable legislators and administrators to analyze all of Indiana's workforce programs based on outcomes that are closely aligned to WIOA performance indicators.

DWD also commissioned the Indiana Business Research Center (IBRC) at Indiana University to conduct a longitudinal study of outcomes for WP, WIOA and TAA clients since 2012. The report is available and found in Appendix B.

1.3(b): efforts to coordinate the development of such projects with WIOA core programs, other state agencies and local boards;

The Workforce Programs Report is a collaborative effort with other state agencies, including the Department of Education and Commission for Higher Education, among several others.

The State Performance Metrics are gathered and negotiated in collaboration with Indiana's 12 Regional WDBs.

The longitudinal data study was done in conjunction with DWD's partners at IBRC.

1.3(c): a list of completed evaluation and related reports and links to where they were made accessible to the public electronically;

- Workforce Programs Report: www.in.gov/dwd/WPR.htm
- State Performance Metrics: www.in.gov/dwd/RPM.htm
- Longitudinal WIOA Data Study: Appendix B

1.3(d): State efforts to provide data, survey responses, and timely site visits for Federal evaluations; and

DWD provides ongoing data and support to DOL, including and corresponding to its two site visits in August and September of 2019 (PY18-Q1).

1.3(e): Any continuous improvement strategies utilizing results from studies and evidence-based practices evaluated.

While DWD is currently establishing baselines for Federal performance metrics, the agency continues to develop internal and stakeholder/partner metrics to measure efficacy of workforce programs across the state. The aforementioned metrics and reports listed in Section 1.3(a) will be utilized as measures for continuous improvement.

1.4: Customer Satisfaction - Describe the state's approach.

DWD strives to provide all customers with excellent customer service through multiple outlets. Customers may connect with a customer service representative in person at their local one-stop center or by mail, email, chat or phone.

In PY18, DWD surveyed approximately 9,600 clients whom participated in WorkOne services of which the majority were WIOA and/or WP services. The survey found that 99% of all clients were at least somewhat satisfied with their customer experience and over 98% were very or extremely satisfied.

Additionally, DWD surveyed nearly 1,100 employers in PY18. The survey found that nearly 99% of all clients were at least somewhat satisfied with their customer experience and over 93% were very or extremely satisfied.

A summary of both survey results may be found in Appendix C.

Section 2. Recommended Content

2.1 : Strategic Vision & Goals – Progress toward achieving the state's strategic vision and goals as outlined in the State Plan.

Indiana strives to provide job seekers with the specific skills needed by employers in order to encourage success and workforce growth. Key components of this work include an integrated case management and labor exchange system. It is the foundation of workforce activities and is used by all WorkOne offices, one-stop operators, and state merit staff. DWD also collects data from this case management system in order to identify the training programs for clients' desired career or educational paths.

The agency continues to enhance its efforts to identify the skills job seekers need in order to be successful and find jobs. DWD collaborates with workforce partners and educational institutions to design and administer programs around the job skills currently in demand. This process empowers job seekers to design specific career paths to land the jobs they desire.

The following DWD and workforce partner PY18 programs are collectively meeting the needs of the Hoosier workforce and employers:

- **Office of Work-based Learning and Apprenticeships (OWBLA):** Located within DWD and part of Governor Holcomb's NextLevel Agenda, OWBLA serves to develop and implement a framework of work-based learning pathways for both youth and adult populations. The office concentrates on three objectives:
 1. Coordinate efforts and partner with the U.S. Department of Labor to expand registered apprenticeships;
 2. Develop flexible and scalable programs that focus on the state's key economic sectors and regional high-wage, high-demand jobs; and
 3. Build public-private partnerships to increase business and industry engagement with education systems.

The following entities have been awarded a 2019 U.S. DOL State Apprenticeship Expansion Grant:

- Hamilton Heights School Corporation/Indiana Construction Roundtable Foundation (Building & Construction) - \$100,000
- Ivy Tech Community College/Hoosier Hills Career Center (Building & Construction, IT & Business Services, Advanced Manufacturing) - \$171,500
- Indiana Plan for Equal Employment, Inc. (Building & Construction) -

\$106,000

- Perry Central Community School Corporation (Advanced Manufacturing, Health & Life Sciences) - \$151,000
- Region 10 Workforce Board, Inc. (Advanced Manufacturing, Health & Life Sciences, Transportation & Logistics) - \$171,500.00
- Trilogy Health Services, LLC (Health & Life Sciences) - \$200,000.00

Learn more at <http://www.inwbl.com/>

- **Next Level Jobs:** The Indiana Workforce Ready Grant program and the Employer Training Grant program are part of Governor Eric Holcomb's Next Level Indiana agenda to continue the positive momentum of our state. DWD, in coordination with the Commission for Higher Education (CHE), are working to take the state's workforce to the next level with a focus on high priority industries and the high-demand jobs driving Indiana's 21st century economy forward.
 1. Workforce Ready Grant program - covers tuition costs for students who enroll in a high-value certificate program from Ivy Tech Community College or Vincennes University. Eligible certificate programs are associated with high-demand, high-wage jobs within the following industries: Advanced Manufacturing, Building & Construction, Health & Life Sciences, IT & Business Services and Transportation & Logistics.
 2. Employer Training Grant program - reimburses employers in high-demand business sectors up to \$2,500 for each new employee that is trained, hired and retained for 6 months. There is a \$25,000 cap for each employer and covered training must be associated with high-demand, high-wage jobs that require more than a high school diploma, but less than an associate degree.

Learn more at <https://www.nextleveljobs.org/>

- **Governor's Work Ethic Certificate (GWEC):** The development and adoption of the community and employer-recognized Governor's GWEC is critical to providing a pipeline of skilled high school graduates for today's workforce. The employability skills recognized in the GWEC have been vetted by Hoosier employers, community based organizations and post-secondary education institutions and are designed to encourage students to meet the benchmarks that will assist them in their college or career goals.

The program is structured to connect employers to their local school district through a College and Career Readiness Advisory Council,

comprised of local educators and employers, establishing a fundamental, collaborative partnership for this program and continued alignment between the business community and our education system.

PROGRAM GOALS:

- Connect employers to their local school district through a College and Career Readiness Advisory Council designed to create a collaborative partnership that benefits the community.
- Provide students with an understanding of necessary employability skills for today’s in-demand jobs and allow them an opportunity to demonstrate these skills while in high school.
- Provide employers with potential workers who understand the values and importance of responsibility and perseverance in the workplace.

2.2: Sector Strategies – Progress made in implementing sector strategies and career pathways.

Indiana is addressing both the skills gap and other workforce challenges through Sector Partnerships which connect employers to skilled workers. DWD’s strategy is to connect employers to skilled workers, educational institutions, community leaders and organizations within a critical industry. The goal is to encourage economic growth and workforce pipelines from training institutions to employers.

DWD in collaboration with various stakeholders have created a common framework and stage development for sector partnerships conversations and implementation. Partnerships are classified into three stages: Exploring (beginning), Emerging (intermediate), and Operational (fully active). Of the 27 current partnerships in PY18, five were in the exploring stage, five are emerging and 17 were operational.

INDIANA SECTOR PARTNERSHIPS IN PY18

Region	Stage	Sector Partnership Name	Region	Stage	Sector Partnership Name
1	Operational	Imagine Retail	6	Operational	Jay-Blackford Manufacturing Council
1	Operational	Northwest Indiana Healthcare Consortium	6	Operational	Manufacturing Matters
1	Operational	Northwest Indiana Manufacturing Consortium	8	Exploring	ROI Advanced Manufacturing
1	Operational	Steel Consortium	8	Emerging	ROI Defense
2	Emerging	Advanced Manufacturing Partnership (R2 AMP)	8	Emerging	ROI Life Sciences
2	Emerging	Elkhart Advanced Manufacturing Partnership	9	Operational	EcO Advanced Manufacturing Network
2	Operational	IT Sector Partnership	9	Operational	EcO Healthcare Network
2	Operational	Orthoworx	9	Emerging	EcO IT Network
3	Operational	Adams-Wells Manufacturing Alliance	9	Exploring	Southeast Indiana Trucking & Logistics
3	Operational	Gateway Coalition	10	Operational	Metro Manufacturing Alliance
3	Operational	Grant's Got Talent	10	Exploring	Region 10 Transportation and Logistics
3	Operational	Noble Co. Manufacturing & Education Alliance	10	Exploring	Region 10 Construction
4	Operational	Skill Up Alliance	11	Operational	Tri-State Manufacturers' Alliance
5	Exploring	Boone County Advanced Manufacturing			

Learn more at <https://www.in.gov/dwd/sectorpartnerships.htm>

2.2 : Out-of-School Youth

Indiana has a waiver to decrease the minimum out-of-school youth expenditures from 75% to 50%. See waiver section on first page.

2.3 : Performance Accountability System

2:4(a): Performance measures/indicators

DWD currently follows the six primary indicators of performance described under section 116(b)(2)(A) of WIOA. The agency provided the Local Area Tool created by U.S. DOL-ETA with pre-populated local WDB data as a basis for the local area negotiations. DWD proposed the local performance goals for each region be the same as the State's performance goals. Each region accepted the proposal and agreed to the state performance goals for each of the six primary indicators of performance for WIOA Adult, Dislocated Worker, Youth; Wagner-Peyser and TAA.

Indiana exceeded its PY18 negotiated goals for each of the key performance indicators in Adult, Dislocated Worker, Youth and Wagner-Peyser. These results are evidence of the ongoing efforts of DWD to provide Hoosiers with top-quality workforce training and placement services. While these goals stand as a barometer for the effectiveness of DWD's WIOA service provision, the agency also sees opportunities for further growth among all WIOA programs.

2:4(b): Common Exit

DWD's common exit policy for Indiana includes WIOA Adult, Dislocated Worker, Youth; Wagner-Peyser, and TAA. No ETA partner programs are included in common exits. Official DWD common exits guidance may be viewed in Appendix D.

2:4(c): Data Validation

Indiana has used the Workforce Integrated Performance System (WIPS) edits to improve data quality both as submitted to DOL and as collected by our case management system. This process includes:

1. The sample for the PY18/PY19 annual reports will come from the PIRL data layout and will be valid only at the state level. The SIRS file submitted to WIPS for period ending 6/30/2019 will be filtered. Each region will be sampled by program, if there are more than 10 records in the program, so that there will be 10 Adult, 10

Dislocated Worker, and 10 Youth records selected to review the 24 data elements listed in Attachment I of TEGL 7-18. Since TEGL 7-18 was released on Dec. 19, 2018, DWD will review and validate data elements with dates after the release of the guidance. DWD and the regions will be held harmless of any failures of data elements with dates prior to 12/19/18 which is the release of TEGL 7-18.

Since Table 7A of TEGL 10-16 change 1 was posted on WorkforceGPS on 8/30/2019 any service that has changed exit definitions (extending or not extending an exit) will not cause the data element to fail.

Data validation reviews will be conducted on-line by the validator(s).

When errors, missing data, or anomalies and out-of-range values are identified the data validator will contact a regional representative to discuss the procedure for making a correction or to better document why the value may be accurate.

In addition to case reviews, each quarterly WIPS submission of the SIRS file will be validated by reviewing the errors resulting from the submission. If necessary, the validator will contact the regional representative and request the contact to correct the data.

2. Data validation training will be conducted by the project manager prior to the electronic review of the records.
3. Monitoring protocols consistent with 2 CFR 200.328 will be taken to ensure that program staff are following the written data validation procedures and will take appropriate corrective action if those procedures are not being followed.
4. The data validation procedure follows TEGL 7-18 and will be used to complete data element validation based on the PIRL data set used to create the WIOA quarterly reports for periods ending March 31, June 30, September 30 and December 31 of each program year.
5. Documentation of missing and erroneous data that has been identified during the review process is kept in a secure folder on our network. This includes email communications between regional staff and our state validators.
6. An assessment of the effectiveness of our data validation process will be completed annually at the conclusion of our electronic review of records in our case management system. Revisions to our process will be made and included in the process manual prior to the next electronic review cycle.

The following are three examples of the process followed for identifying and correcting errors in Indiana's data:

1. The data validation sampling had credentials that were not being recorded. After

an analysis of client records sampled, it was clear credentials would likely have been earned prior to converting to the current case management system. Reviewing the archived data led to the discovery that over 1,000 credentials that had not been included in the data conversion.

2. This discovery prompted work with the data conversion team to have the omitted credentials added to the client records in Indiana Career Connect.
3. Upon review of the PIRL file, records were identified where a diploma was recorded/earned without training service in ICC for those clients. The regions were contacted and asked to review the client records to determine if a training service should have been converted from our previous system to ICC. If they did receive training, and they had appropriate documentation, the training service was added along with a detailed case note.

This effort significantly increased credential performance.

DWD also identified WIPS errors on school status and requested the regions to review their records and enter the correct school status for their clients. DWD no longer has school status errors in our WIPS submission.

2.5: Negotiated Performance Levels for Local Areas for Core Programs

WIOA Adult

Key Performance Indicator	PY18	PY19
Employment Rate – 2nd Quarter after Exit	76%	77%
Employment Rate – 4th Quarter after Exit	73%	74%
Median Earnings – 2nd Quarter after Exit	\$5,600	\$5,600
Credential Attainment	50%	52%
Measurable Skill Gains	Baseline	Baseline
Effectiveness in Serving Employers	Baseline	Baseline

WIOA Dislocated Worker

Key Performance Indicator	PY18	PY19
Employment Rate – 2nd Quarter after Exit	76%	76%
Employment Rate – 4th Quarter after Exit	74%	75%
Median Earnings – 2nd Quarter after Exit	\$6,700	\$7,000
Credential Attainment	47%	48%
Measurable Skill Gains	Baseline	Baseline
Effectiveness in Serving Employers	Baseline	Baseline

WIOA Youth

Key Performance Indicator	PY18	PY19
Employment Rate – 2 nd Quarter after Exit	73%	74%
Employment Rate – 4 th Quarter after Exit	71%	71%
Median Earnings – 2 nd Quarter after Exit	Baseline	Baseline
Credential Attainment	59%	62%
Measurable Skill Gains	Baseline	Baseline
Effectiveness in Serving Employers	Baseline	Baseline

Wagner-Peyser

Key Performance Indicator	PY18	PY19
Employment Rate – 2 nd Quarter after Exit	68%	68%
Employment Rate – 4 th Quarter after Exit	65%	66%
Median Earnings – 2 nd Quarter after Exit	\$5,000	\$5,250
Credential Attainment	n/a	n/a
Measurable Skill Gains	n/a	n/a
Effectiveness in Serving Employers	n/a	n/a

2.6: Activities Provided by State Funds:

2.6(a): Activities provided with WIOA funds reserved by the governor:

In PY18, DWD utilized the Governor’s discretionary funds to:

- meet employer demands for a pool of highly skilled workers;
- increase the number of adult low to mid-range incumbent workers and dislocated workers who will receive occupational skill training;
- increase the competitiveness of business and industry; and
- provide flexible funds for incumbent worker training initiatives, including DWD competency-based training

2.6(b): Rapid response activities and layoff aversion:

DWD commences Rapid Response activities once a layoff is confirmed. Services provided include onsite utilization of technology solutions which provide career cross walks, onsite orientations for unemployment insurance and employment services, assessments, labor management committees and job search workshops. Labor market information and skills assessments are also available to those seeking information on new careers, trends, and average wages for the area. On-the-job training opportunities are encouraged to return the dislocated workers to meaningful employment as soon as possible.

Rapid Response activities are coordinated through state staff, WIOA partner staff and local elected officials. DWD also utilizes a network of business consultants, partially funded through Rapid Response funds, to gather intelligence on current business trends, local economic conditions and any opportunity for layoff aversion available.

In PY18, Indiana experienced three notable Rapid Response events:

Company Name	Workers Served
JD Norman Industries	50
Matthews International Corporation	47
Silberline	33

These 130 Rapid Response customers were among a total of 962 individuals receiving Rapid Response services in PY18. This includes 358 individuals who attended TAA Rapid Response Orientations and 643 individuals who attended Rapid Response Workshops.

2.7: National Dislocated Worker Grants:

DWD received an NHE Opioid Response Dislocated Worker Grant (DW-3351-Disaster-IN-NHE 4-18). The purpose of this grant is to provide eligible participants with disaster-relief employment in positions addressing the crisis, such as community

health workers, recovery coaches, and peer navigators, to help individuals travel the path to recovery. It will also assist eligible individuals directly impacted by the crisis with reintegration into the workforce, providing them opportunities for work-based training and placement in high-wage, in-demand occupations.

During PY18, DWD began planning, developing community awareness, establishing relationships with potential partners, building staff awareness and capacity and creating a department management team. DWD anticipates enrollment and services under the grant will begin and scale up during PY19-Q3.

2.8: State Technical Assistance Needs:

Indiana did not have any outstanding technical assistance needs in PY18.

2.9: Promising practices, lessons learned, and success stories focusing on at-risk and priority populations

Indiana's priority of service is in compliance with WIOA Title I Section 134(c)(3)(E), which requires that priority of service be given to "recipients of public assistance, other low income individuals, and individuals who are basic skills deficient for receipt of career services...and training services". Furthermore, "priority must be given regardless of funding levels". Section 194(1) of WIOA also requires that services be provided to those who can benefit from "and who are most in need of such opportunities." Priority of service is determined at the time of eligibility approval for WIOA services and does not change during the period of participation. Priority does not apply to the dislocated worker population. Veterans and eligible spouses continue to receive priority of service in all DOL-funded training programs, so long as they meet each program's eligibility criteria.

Local areas track priority of service in the state's case management system and must give priority of service to participants that fall into one of the following categories:

1. Recipients of public assistance
2. Low income individuals:
 - An individual or member of a family that is receiving or has received in the past six months, assistance through SNAP, TANF, supplemental security income, or a state or local income-based public assistance program; or
 - Is in a family with a total family income that does not exceed the higher of
 - i. The poverty line or
 - ii. 70% of the lower living standard income level or
 - Is a homeless individual or

- Is an individual with a disability whose own income meets the income requirements above, but who is a member of family whose income does not meet this requirement

3. Individuals who are basic skills deficient include those who:

- Lack a high school diploma or equiv. and is not enrolled in secondary education; or
- Score 8.9 or below on the TABE; or
- Are enrolled in Title II adult education; or
- Have poor English language skills; or
- The case manager makes observations of deficient functioning and records those observations as justification in a case note.

2.10: Challenges Workforce System Faces

Indiana's workforce challenges mirror those faced by our Midwest neighbors as well as many states nationwide during this time of full or near-full employment. Greatest among these is meeting employer demand for talent – especially within middle-skill, middle-wage fields.

Indiana's workforce faces a skills gap as more than half of its incumbent workforce has a high school diploma or less without any further formal education, or industry-recognized credential, certification or training.

The State has undertaken several initiatives in PY18 to skill up the incumbent workforce. This includes:

- Expansion of Next Level Jobs;
- Expansion of Sector Partnerships;
- Creation the Office of Work-based Learning and Apprenticeships;
- Creation of Governor's Work Ethic Certificate.

2.11: Strategies/policies relating to PFP contracting Performance Accountability System

DWD did not have any reported expenses from its regional workforce development boards for Pay-for-Performance in PY18.

Appendix A
Approved Waivers During PY18



JUN 07 2018

The Honorable Eric J. Holcomb
Governor of Indiana
State House, Second Floor
Indianapolis, Indiana 46204

Dear Governor Holcomb:

Thank you for your request of a waiver of statutory and regulatory provisions of the Workforce Innovation and Opportunity Act (WIOA), submitted on March 23, 2018 (copy enclosed). This letter provides the U.S. Department of Labor (Department), Employment and Training Administration's (ETA) official response to the State's request, and memorializes that Indiana will meet the outcomes and implement the measures identified to ensure accountability agreed to by Indiana and ETA. This action is taken under the Secretary's authority to waive certain requirements of WIOA Title I, Subtitles A, B, and E, and sections 8-10 of the Wagner-Peyser Act in WIOA section 189(i).

Requested Waiver: Indiana is requesting a waiver of the State Workforce Development Board (SWDB) membership requirements at WIOA Sec. 101(b)(1) and (c) and the corresponding regulations at 20 CFR 679.110(b)-(c).

The State of Indiana is requesting a waiver to substitute the WIOA State Board membership requirements with the requirements promulgated in Indiana Senate Enrolled Act 50, which created the Governor's Workforce Cabinet. The State affirms that this waiver will streamline board size, increase coordination between employers and state government, and improve board accountability. ETA reviewed the State's waiver request and plan and has determined that the requirements requested to be waived impede the ability of Indiana to implement its plan to improve the workforce development system. Therefore, ETA approves this waiver for Program Years 2018 through 2020 (July 1, 2018 through June 30, 2020).

Due to WIOA's emphasis on alignment and coordination among multiple programs to improve effectiveness of services, ETA encourages the Governor's Workforce Cabinet to continue to actively engage in WIOA implementation with State Board membership groups that are no longer represented.

The ETA Chicago Regional Office is available for further discussion and to provide technical assistance to the State to support achieving its goals. Should you have questions or wish to explore additional flexibility, feel free to contact the State's Federal Project Officer, Steven Scott, at (312) 596-5439 or scott.steven@dol.gov.

Sincerely,



Rosemary Lahasky
Deputy Assistant Secretary

Enclosure

cc:

Daniel O. Lopez, Deputy Chief of Staff, Office of Governor Eric J. Holcomb
Christine Quinn, Chicago Regional Administrator, Employment and Training Administration
Steven Scott, Federal Project Officer, Employment and Training Administration



STATE OF INDIANA
OFFICE OF THE GOVERNOR
State House, Second Floor
Indianapolis, Indiana 46204

Eric J. Holcomb
Governor

March 23, 2018

The Honorable R. Alexander Acosta, Secretary of Labor
United States Department of Labor
200 Constitution Ave. NW
Washington, DC 20210

Dear Secretary Acosta,

I write to respectfully request that Indiana be granted approval of a waiver on the membership of the state workforce development board under the Workforce Innovation and Opportunity Act.

As outlined in TEGL WIOA NO. 27-14, the U.S. Department of Labor encourages governors to take a broad and strategic view when appointing members of the state board. I have worked closely with state employers, legislators, state agencies, and other key stakeholders to determine a structure for the state workforce development board that would most benefit Hoosiers. Never before has Indiana succeeded in bringing our departments of education, workforce development, and economic development together with employers and our postsecondary training institutions with the authority to drive real implementation across our workforce system. This is what we need to align our state and federal workforce systems and more holistically meet the needs of those seeking training and employment opportunities.

During the 2018 Legislative Session, the Indiana General Assembly created the Governor's Workforce Cabinet and designated it with the responsibilities of the state workforce board and the authority to direct state agencies to address our workforce needs. Additionally, this streamlined cabinet will be chaired by one of my most senior staffers who will report directly to me. The attached waiver request outlines the structure I believe will best serve Hoosiers, and your immediate approval, even as you assess our request, will enable our team to continue ongoing work.

If you have any questions or would like to discuss this further, please contact me or the chair of the Governor's Workforce Cabinet, Danny Lopez, at dalopez@gov.in.gov. We appreciate your consideration of this request and look forward to a quick and positive response.

Sincerely,

Eric J. Holcomb
Governor

WAIVER REQUEST STATE OF INDIANA

Waiver of State Workforce Board Membership

1. Statutory and/or Regulatory Requirements the State would like to Waive:

State Workforce Development Board Membership and Establishment

Workforce Innovation and Opportunity Act (WIOA) Title I Subsection A Chapter 1 Section 101 (b)(1) – State workforce development boards: requirement to appoint specific members to the board described in section 101(b). The membership of the new Governor’s Workforce Cabinet may be found in Appendix 1.

This waiver will grant Indiana the flexibility to better align our state and federal workforce systems as follows:

- A true vision for workforce development driven by the Governor with input from employers across the state;
- Implementation of thoughtful strategies across state agencies;
- Better collaboration between state government and employers;
- Better collaboration between state leaders and local partners; and
- Better incentives for local partners and providers to get more Hoosiers into training and work.

Background

Indiana has for more than a decade made significant and crucial investments in our economic climate and positioned itself as one of the premier states in America in which to start and grow businesses. Governor Holcomb’s Administration is strengthening the foundation built by Governors Mike Pence and Mitch Daniels; low taxes, responsive government, responsible fiscal stewardship, a regulatory environment guided by common sense, and major commitments to our roadways, airways, and waterways. These qualities have made Indiana a model for the nation. Coupled with continual improvements in our K-12 system and our world-class network of nationally-acclaimed colleges and universities, Indiana is building a pipeline for sustainable success.

Our economy continues to evolve, however, and while our reliance on manufacturing remains an important competitive advantage, it simultaneously embodies our most pressing challenge. Manufacturing jobs increasingly demand higher and higher competencies, and coupled with the blossoming of our technology, biolifesciences, and aerospace defense industries, Indiana’s economy is straining a labor force that increasingly lacks the skills needed to remain competitive in the 21st century.

According to the Lumina Foundation, only 41.9 percent of working-age people in Indiana have attained a high-value certificate or degree. More than 700,000 Hoosiers have begun but not completed postsecondary programs and another 400,000 lack any high school diploma or equivalency at all. Employers repeatedly point to growing demand, and education and training programs not only must operate with the same sense of urgency but must truly be in sync with the current and future workforce needs of their individual regions.

It is for precisely that reason that Governor Holcomb designed, and the Indiana General Assembly overwhelmingly codified, the new approach for which we seek this waiver. Never before has Indiana succeeded in bringing our departments of education, workforce development, and economic development together with employers and our postsecondary training institutions with the authority to drive real implementation. Moving from a 46-member state workforce board to a 21-member, employer-driven cabinet reporting directly to the Governor enables us to do just that. This way, we can ensure collaboration across State agencies while preserving the tenets of local control and employer guidance central to the spirit of the Workforce Innovation and Opportunity Act.

We must have a workforce system that fosters stronger collaboration among local governments, local workforce boards, various state agencies, and employers all across Indiana. Our model must facilitate the right incentives and corresponding support structures that give local workforce leaders the tools they need to move more Hoosiers toward employment. Conversely, it must challenge local employers, schools, and postsecondary institutions to engage and be responsible to support their own communities. In short, this must be an all-hands-on-deck approach, and the state must have the organizational structure in place to effectively guide implementation.

Our approach to the delivery and synchronization of our workforce preparation systems must evolve. With one of the nation's lowest unemployment rates and a labor participation rate above the national average, we must implement a model that not only seeks to perfect our traditional workforce development programs but aligns those programs with resources and strategies that truly cut across the missions of so many State agencies. Moving more people into meaningful training and high-wage jobs will require us to look well beyond the Department of Workforce Development for support in areas like transportation, childcare, affordable housing, and substance abuse.

The gaps these Hoosiers face are set against the backdrop of increased need by employers. Job creators in Indiana continue to clamor for more workers across skill levels, and the number of unfilled jobs is approaching 100,000. Underemployment rather than unemployment remains a critical concern for both families and employers, and these workforce challenges are truly a threat to the incredible socioeconomic gains we have made for years.

We must have the structure in place that allows us to more collaboratively and strategically use state and federal resources from across agencies in Governor Holcomb's Administration to tackle this multi-faceted challenge.

2. Actions the State has undertaken to Remove State or Local Barriers:

There are no longer any state or local statutory or regulatory barriers to implementing the proposed waiver.

The Indiana General Assembly passed and Governor Holcomb signed Senate Enrolled Act 50. The bill creates the Governor's Workforce Cabinet to comply with the federal requirements for a state board under WIOA.

3. State Strategic Goal(s) and Department of Labor Priorities Supported by the Waiver:

The goal of the waiver is to allow flexibility in the membership requirements of the state workforce development board under WIOA Sec. 101(b).

We have worked closely with state employers, legislators, state agencies, and other key stakeholders to create a structure for the state workforce development board that would most benefit Hoosiers. This flexibility is critical to better aligning our state and federal workforce systems, provide greater opportunity to more vulnerable and displaced Hoosiers, and meet employer workforce demands as our economy continues to evolve.

The Governor's Workforce Cabinet will be focused on accomplishment, not activity. Many of these objectives speak directly to the policy priorities laid out by the United States Department of Labor.

Goal: Setting a single vision for workforce policy

Bringing the cabinet under the Governor's Office and appointing one of the Governor's senior leaders as Chairman ensures real synergy among state agencies charged with implementing our workforce programs. Indiana has struggled to bring the many departments that serve working-age Hoosiers together under an action-oriented mission, as previous attempts have resulted largely in recommendations and reports. With the weight of the Governor's office behind it, the cabinet will direct each agency to work toward a unified set of goals for workforce policy, using existing data and ongoing assessment to determine and act upon changes can be immediately operationalized.

Goal: Identifying wrap-around solutions to break silos across resources

One of the challenges local workforce boards face is the inability to deliver outside-the-box solutions for their most vulnerable populations in the face of decreasing federal funding streams. The structure of the Governor's Workforce Cabinet allows employers and workforce leaders to identify potential new resources for local boards, incentive new outcomes and more meaningful metrics, and foster region-wide collaborations to better serve prospective employees grappling with substance abuse addiction, housing issues, and more.

Goal: Increase accountability at the state, local, and service-provider levels

The Governor's Workforce Cabinet will assess and align the state and federal resources for workforce training in a holistic way, and allow state agencies and education and training providers to move away from a compliance mindset to an action-oriented one. Currently, the state workforce board serves primarily as an advisory committee for WIOA programs and services. The Governor's Workforce Cabinet, rather, has been tasked with identifying existing state and local roadblocks facing Hoosiers seeking meaningful training and employment, designing policy to address them, and ensuring solutions are operationalized at the agency level.

4. Projected Programmatic Outcomes Resulting from Implementation of the Waiver:

The new state workforce board structure provides better support for true employer engagement. The composition of the Governor's Workforce Cabinet provides an opportunity to hear from and provide solutions to employers in Indiana's key sectors. The new cabinet also allows for a better

The waiver request will be published for a period of three weeks on the public websites maintained by the Indiana Department of Workforce Development, allowing for public comment on its content and impact.

A copy of the waiver will be available for public inspection at the Indiana Department of Workforce Development offices and electronic copies of the waiver will be sent via e-mail to local boards and one-stop operators.

APPENDIX 1: Governor's Workforce Cabinet Membership

The membership of the newly-established Governor's Workforce Cabinet established consists of at least the following twenty (21) members:

- (1) A chairperson appointed by the Governor.
- (2) The secretary of career connections and talent.
- (3) The commissioner of the department of workforce development.
- (4) The president of the Indiana Economic Development Corporation.
- (5) The commissioner of the Indiana commission for higher education.
- (6) The superintendent of public instruction.
- (7) The president of Ivy Tech Community College.
- (8) The president of Vincennes University.
- (9) A member appointed by the governor who is an apprenticeship coordinator of a joint labor-management apprenticeship program approved by the United States Department of Labor, Employment and Training Administration, Office of Apprenticeship.
- (10) A member representing high school career and technical education directors appointed by the governor in consultation with the Indiana Association of Career and Technical Education Districts.
- (11) A member representing manufacturing appointed by the governor in consultation with the Indiana Manufacturers Association.
- (12) A member representing a minority business enterprise appointed by the governor.
- (13) A member representing a women's business enterprise appointed by the governor.
- (14) A member representing a veteran owned business appointed by the governor.
- (15) A member representing the nonunion and construction trades appointed by the governor in consultation with the Associated Builders and Contractors, Inc., and the Indiana Builders Association.
- (16) A business owner appointed by the governor in consultation with the Indiana Chamber of Commerce.
- (17) A small business owner appointed by the governor in consultation with the National Federation of Independent Businesses.
- (18) A member of a community-based organization appointed by the governor.
- (19) Three (3) at-large business owners appointed by the governor, one (1) of whom is a business owner who employs less than fifty (50) employees.
- 20) Any additional members designated and appointed by the governor.
- (b) The members appointed under subsection (a)(11) through (a)(19) must be geographically diverse.

connection among employers, local workforce boards, state agencies whose constituent populations overlap with those served by WIOA, and statewide education and training providers. Duties of the cabinet include but are not limited to:

- Perform the duties as set forth in WIOA;
- Advise the governor on the coordination of federal, state, and local education and training programs and the allocation of state and federal funds in Indiana to promote effective services, service delivery, and innovative programs;
- Work with local workforce development boards;
- Design for implementation a comprehensive career navigation and coaching system;
- Conduct a complete review, analysis, and evaluation of workforce funding; and
- Direct the appropriate state agencies to implement changes to the delivery of workforce programs and make recommendations to the Governor and legislature.

5. Individuals, Groups or Populations benefiting from the Waiver:

Local Boards will benefit from greater connectivity to state government and the Governor's office, defined goals and clarity of mission, and the opportunity to access resources that may be available through a variety of state agencies.

Individuals will benefit from state and federal resources more strategically and cohesively dedicated to moving them into meaningful training and quality jobs. Individuals will have the support they need to move into sustainable employment.

6. How the State plans to monitor waiver implementation, including collection of waiver outcome information:

The outcome of the waiver will be a statewide achievement of better communication and direction for the WIOA-established workforce system.

One of the functions of the Governor's Workforce Cabinet is to review, monitor, and recommend changes to the state's workforce system. As such, there will continually be an eye toward how Hoosiers are impacted by the policy decisions of the cabinet and the programs implemented at both a state and local level. Outcomes that result from aligning these systems will be included in the state's annual WIOA report.

7. Assurance of State posting of the request for public comment and notification to affected local workforce development boards:

This waiver request will not have a direct impact on the local workforce development boards. We will provide a letter to all local workforce boards notifying them of the state board membership changes, and the chair of the Governor's Workforce Cabinet will meet with all local executive directors. The membership of the Governor's Workforce Cabinet will be included in the updated state plan, which will be resubmitted for public comment.



AUG 01 2018

The Honorable Eric J. Holcomb
Governor of Indiana
State House, Second Floor
Indianapolis, Indiana 46204

Dear Governor Holcomb:

Thank you for your waiver request of certain statutory and regulatory provisions of the Workforce Innovation and Opportunity Act (WIOA), and the accompanying plan to improve the statewide workforce development system, submitted as part of your WIOA State Plan modification on May 9, 2018 (copy enclosed). This letter provides the Employment and Training Administration's (ETA) official response to the State's request, and memorializes that Indiana will meet the outcomes and implement the measures identified in its plan to ensure accountability agreed to by Indiana and ETA. This action is taken under the Secretary's authority to waive certain requirements of WIOA Title I, Subtitles A, B, and E, and sections 8 – 10 of the Wagner-Peyser Act in WIOA section 189(i).

Requested Waivers: Waivers associated with the requirement at WIOA Section 129(a)(4)(A) and 20 CFR 681.410 that states and local areas expend 75 percent of all Governor's reserve and local formula youth funds on out-of-school youth (OSY).

The State's request to waive the requirement that states and local areas expend 75 percent of all Governor's reserve and local formula youth funds on OSY is approved. ETA reviewed the State's waiver request and plan and has determined that the requirements requested to be waived impede the ability of Indiana to implement its plan to improve the workforce development system. Therefore, ETA approves the requested waivers for Program Years (PYs) 2018 and 2019 (July 1, 2018 through June 30, 2020). Indiana may lower the target rate for Governor's reserve and local youth funds to 50 percent.

ETA is also available for further discussion and to provide technical assistance to the State to support achieving its goals. The Department of Labor proposed additional flexibility in its Fiscal Year 2019 Budget to give governors more decision-making authority to meet the workforce needs of their states. If you have questions or wish to explore additional flexibility, feel free to contact my office at (202) 693-2772.

Sincerely,



Rosemary Lahasky
Acting Assistant Secretary

Enclosure

cc:

Frederick Payne, Commissioner, Indiana Department of Workforce Development
Christine Quinn, Chicago Regional Administrator, Employment and Training Administration
Steven Scott, Federal Project Officer, Employment and Training Administration

Indiana

The State of Indiana is requesting a waiver from Section 129(a)(4)(A) and 20 CFR 681.410 which require not less than 75 percent of funds allotted to states under Section 127(b)(1)(c), reserved under Section 128(a), and available for statewide activities under subsection (b), and not less than 75 percent of funds available to local areas under subsection (c), shall be used to provide youth workforce investment activities for OSY.

Indiana is requesting the following waivers to this statutory and regulatory provision:

1. A waiver of the requirement to expend 75 percent of funding on the OSY population. Indiana is requesting that this percentage be lowered to 50 percent.
2. A waiver of the requirement that local funding meet the 75 percent minimum expenditure requirement. Indiana requests that this percentage be lowered to 50 percent to align with the statewide target (see 1 above).
3. A waiver of the requirement to expend 75 percent of Statewide Activities funding on the OSY population. It is requested to reduce this percentage to 50 percent to allow flexibility of funding special projects that meet the vision and mission of the state.

Background

Indiana's high school graduation rate has been trending at 89 percent for over four years, however, most recently, seeing a decrease to 87 percent for the Class of 2017. According to 2015 data from the Indiana State Department of Health, youth who graduate high school are more likely to be employed, tend to earn higher incomes, and tend to enjoy better health than those who do not earn a high school diploma.

According to the 2018 Indiana Kids Count Data Book, 54 percent of Indiana employers do not believe students are adequately prepared for the workforce, and 47 percent left jobs unfilled in the past year due to underqualified applicants. Employers cite critical thinking, responsibility, self-discipline, communication and teamwork as the most crucial employability skills in today's job market.

Indiana currently has a 600 to one student to school counselor ratio, and each year, counselors are being asked to administer additional job duties that do not allow them the opportunity to counsel students on life after high school. To combat these issues and increase the state's graduation rate, the Indiana General Assembly committed state funds in the 2014 and 2016biennium budgets to dropout prevention funding, which allowed the Indiana Department of Workforce Development to double its high-quality dropout prevention program. However, this funding is not guaranteed in future years to sustain and expand program activities, but can be coupled with formula funds to create a robust dropout prevention and re-engagement program designed to assist Indiana's most at-risk youth.

This waiver is consistent with our Governor's vision to cultivate a strong and diverse economy and develop a 21st Century skilled and ready workforce. Specific to these broad goals, the Governor is working to align workforce and education programs with goals of student matriculation into college or credential programs or skills to go directly into a quality job, create

career pathways for high school students that prepare them for post-secondary options such as apprenticeships and work-based learning experiences, and connect the Department of Education to in-demand industry employer partners.

The above waiver requests will result in increased partnership and collaboration between the Department of Workforce Development, its Workforce Development Boards, local school districts, parents, families and communities, post-secondary institutions, public and private organizations and local employers to support our Hoosier youth and build a strong talent pipeline.

Waiver Goals and Outcomes

Goal: Increase services to at-risk youth in our local schools and communities, despite their educational status.

Expected Outcome: Approval of this waiver request will allow the state and local areas to focus funds and services on engaging at-risk, in-school youth to persist in their educational goals. It is much more cost-effective to keep youth enrolled in school and engaged in a career pathway, which in the long run, can secure quality jobs in in-demand careers.

48 percent of Indiana students are considered low-income in schools, accessing free and reduced price lunches. The requested waiver will allow Indiana's Department of Workforce Development to engage local schools in a collaborative process designed to connect these low-income youth to community resources and high quality educational and career exploration opportunities.

Goal: Increase support and funding for high quality dropout prevention programming.

Expected Outcome: Recent data for scalable dropout prevention programs demonstrate graduation rates at 95 percent or above, with placement into full-time employment and/or post-secondary education rates at 89 percent. These outcomes are noteworthy, as students engaged in existing dropout prevention programs are considered "at-risk" and frequently face multiple barriers, including those who are pregnant and/or parenting, low academic performance, lacking in maturity or motivation, special education certified or has a physical or emotional disabilities, repeated grades in high school, limited English proficiency, are currently or have previously been connected to foster care or the juvenile justice system, and those with family environments not conducive to educational or career goals, including single parent households and households with chronically unemployed parents or uneducated parents.

Goal: Supporting students in school through successful graduation and transition into post-secondary education and employment.

Expected Outcome: A critical component of a youth's success is the connectivity and continuity of high-quality dropout prevention programs that both address high school graduation and transition into further education and/or employment. One of the hallmarks the Workforce Innovation and Opportunity Act is the crucial follow-up service. Providing continued follow-up services and supports for at-risk youth who graduate high school as they transition will only increase performance metrics related to employment rate, credential attainment and median earnings, as they work to increase persistence and retention.

Approval of this waiver will provide greater opportunity for youth to complete high school and continue on a pathway toward multiple career and educational opportunities, including

apprenticeship programs, short-term certificates, associate's or bachelor's degrees, and sustainable employment.

Goal: Improved flexibility of state, local and statewide activities funding to best meet the needs of our citizens and businesses.

Expected Outcome: Approval of this waiver will allow for innovative strategies to address barriers facing at-risk youth on an individualized basis and encourage innovative strategies to address student retention, engagement, transition and successful outcomes. This waiver will also improve the ability of the Workforce Development Boards to develop strategies to align with the workforce and economic needs of their local areas and to design these programs to meet the needs of their youth.

Alignment with Department Policy Priorities

The WIOA encourages strong partnerships to leverage resources and increase opportunities for youth. In the past year, Indiana has appointed a Secretary of career connections and talent and established the Governor's Education to Career Pathway Cabinet, with heads of Indiana's Department of Workforce Development, Department of Education and Commission for Higher Education. Their focus will be to better connect all agencies in an effort to assist youth, including at-risk youth, in leveraging resources and aligning successful program models that lead to student persistence, retention and completion.

Individuals Impacted by the Waiver Request

Indiana's at-risk young adult population, American Job Centers (AJC) and subcontracted service provider staff, employers, parents and school counselors will benefit from the waiver, if approved.

Monitoring Progress and Implementation

Annual WIOA on-site programmatic reviews will include an evaluation of how local waivers are being utilized to ensure programmatic goals and outcomes are being met.

DWD's Youth Initiatives team conducts monthly case management system "desktop" monitoring as it creates programmatic reports reviewing funding streams, enrollments, services and follow-up data. Additionally, the Youth Initiatives team conducts quarterly meetings with local Workforce Development Board Youth Directors to review reports and programmatic progress. Following approval of the waiver, if granted, DWD's Youth Initiatives team will conduct local on-site reviews to discuss in-school and out-of-school youth programs and expenditure plans with each service area. These strategies ensure that the goals described above, as well as those outlined in the existing state and local WIOA plans, are consistent with objectives of the WIOA, and federal and state regulations.

Notice to Local Boards and Public Comment

In preparation for the State Plan amendments, DWD requested feedback/input from Regional partners regarding waivers. Feedback/input was gathered by email request in December of 2017 and again during a face to face meeting with all Regional Executive Directors in January 2018. All parties were notified that any waiver request would be submitted via the State Plan

amendment process and this process would allow for further feedback from the Regional partners as well as the general public during the public comment period.

The draft state plan was posted on the core partners' websites and notice was sent out broadly that the plan was open for public comment. Four meetings (three physical and one call in) were held throughout the state, coordinated by the core partners, to take live public comment. The State Board created a WIOA Implementation taskforce on July 23, 2015. The taskforce was made up of the core partners, employers, education and training providers and other stakeholders. One of the duties of the taskforce was to oversee the development, implementation, and modification of the State plan.

Appendix B
The Workforce Innovation and
Opportunity Act Longitudinal
Analysis – IBRC

The Workforce Innovation and Opportunity Act Analysis

March 31, 2019
Prepared for
The Indiana Department of Workforce Development
By
Indiana Business Research Center,
Kelley School of Business, Indiana University

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Key Findings

The report includes three main parts: cohort descriptive analysis, service descriptive analysis, and longitudinal fixed effects regression analysis. Here are the key findings:

Cohort descriptive analysis: in this analysis, we analyzed the retention rates of the WIOA participants and their characteristics change from 2012 to 2017.

- Retention rate decreased significantly after participating for a year. Second year retention was about 20%, third year retention was less than 5%, and was even lower after the third year. In total, 14% participants skipped a year or more after attending the program.
- Participants between 25 and 34 years old accounted for the highest proportion in all the participants, followed by 35-54 years old, below 25 years old, and above 55 years old. Starting from Cohort 2015 experienced interesting characteristics, such as a lower rate of participants were single parents and/or identified as low-income.

Service descriptive analysis: in this analysis, we analyzed the WIOA participants' characteristics by those whom attended services offered. We broadly categorized them into five different categories.

- Job-ready service was the most popular service taken throughout the program years. Following that, occupation skills and work based services were popular across the years.
- Self-directed service had the lowest average number of days participation (1 day) while work-based had the highest average number of days participation (65 days).
- Work based service had the highest participation from lower age group, age below 35. Self-directed service is most popular for the older cohort, age 45 and above.

Longitudinal analysis: in this section, (1) we utilized fixed effects models to examine the causal relationship between program participation and wage growth. (2) we performed multiple regressions to investigate how the amount of service participations influenced post-training wage.

- On average, program participation improved participants' average annual wage by about 10%. Non-white, Hispanic, low-income, and/or participants with high school degree or lower had higher wage growth. But participants with basic literacy skills had a lower wage gain compared with others.
- One extra day or one more time participating in the job-ready short-term service did not show a significant influence on average post-training wage. Being male and/or enrolling in college was associated with higher average post-training wage, but being low-income and/or holding only high school degree or below had lower average post-training wage.

Introduction

The Indiana Business Research Center (hereafter IBRC) in collaboration with the Indiana Department of Workforce Development (DWD), conducted in-depth analysis for the Workforce Innovation and Opportunity Act (hereafter WIOA) program. In this report, we present our findings on the WIOA participants from 2012 to 2017. In the broad spectrum, we strive to gauge which characteristics or cohort had experienced the most benefit from the program.

The overarching research question we strive to answer is, what types of characteristics or cohort thrive in the WIOA program, with the emphasis on wage growth. The major evaluation questions include:

- What were participants' demographics and professional characteristics change over time?
- What were participants' service participation over time?
- Did participating in the WIOA program influence participants' average wage growth?
- How did the amount of a training service affect participants' average wage after the training?

WIOA Participants' Characteristics

Cohort Descriptive Analysis

In all the WIOA cohorts between 2012 and 2017, most participants stayed in the program for only one year (Table 1). About 20% stayed in the second year, less than 5% stay for the third year, and even fewer in subsequent years.

The demographics across cohorts are mostly consistent with some exceptions.

- **Age:** the age distribution among different cohorts were very stable. On average, about 25% were 25-34 years old, and around 20% were 35-44 years old and 45-54 years old, respectively. Participants who were below 25 years old or above 55 only accounted for 16%, respectively (Figure 1 **Error! Reference source not found.**).
- **Gender:** In all cohort years, about half identified as female and half male. There were not much variations in the gender distribution among different cohorts (Figure 2).
- **Race/ethnicity:** A majority of the participants were white, ranging from 69% in Cohort 2015 and 79% in Cohort 2012. The second largest race category is African American, which accounted for 20% of all the participants. (Figure 3)
- **Disability:** On average, 10% had disabilities across all years. (Figure 4)
- **Homelessness:** About 4% were homeless across all cohort years except Cohort 2012 which had 2.1%. (Figure 5)
- **Single parents:** Single parents accounted for a third of participants in Cohorts 2012 through 2014. The percentage dropped to 25% in Cohort 2015, and continued to decrease for Cohort 2016 (22%) and Cohort 2017 (19%). (Figure 6)
- **Education:** In each cohort, about half of the participants had a high school or equivalent degree, followed by some college/vocational/technical education category (24%). About 12% completed an associate's degree, 8% had a bachelor's degree and above, and 8% had no formal education. (Figure 7)

- **Basic Skills:** Percentage of people having basic skills varied widely across cohort years. While Cohort 2012 to Cohort 2014 had on average 92% participants with above basic skills, Cohort 2015 had the lowest percentage with 47% having above basic skills. Cohort 2016 and Cohort 2017 had 62% and 84% of participants with above basic skills, respectively.¹ (Figure 8)
- **Income:** Most participants (80%) were identified as low-income. Since 2015, the percentage of low-income participants were on the rise (increased from 72% to 81%). (Figure 9)
- **Region:** A significant portion of one-year participants came from Region 4 (Benton, Carroll, Cass, Clinton, Fountain, Howard, Miami, Montgomery, Tippecanoe, Tipton, Warren, and White counties), accounting for 23%. The next largest cohort came from Region 12, around 12%. (Figure 10 & Figure 11)
- **Veterans:** 9-12% of participants were veterans with the lowest percentage in Cohort 2017. (Figure 12)
- **Offenders:** The percentage of offenders or ex-offenders were on the rise, starting at 6% for Cohort 2012 and rising to 20% for Cohort 2017. (Figure 13)

Service Descriptive Analysis

The WIOA participants attended over 40 services offered between 2012 and 2017. Based on the content of services and the length and distribution of services, we categorized them into ‘broader categories’ consisting of five major categories—Job Ready Short Term, Job Ready Long Term², Occupation Skill, Self-Directed and Work Based categories.

- **Yearly participation rate:** Some of the notable findings include Work Based and Occupation Skills training participation stays relatively constant throughout the WIOA program years, both averaging at 17%. The majority of the participants in the first year of the WIOA composed 27% from Job Ready Short Term. Self-Directed program took the most participation in 2015, at 69%. (Figure 14)
- **Attendance:** On average, Job Ready Short Term participants participated for 2 days, Job Ready Long Term for 25 days, Occupation Skills for 61 days, Self-Directed for 1 day, Work Based for 68 days. (Table 2)
- **Salary:** The highest earners were Job Ready Long-Term participants. However, interpret with caution for these values since the sample size is rather small (n=215) compared to other categories. The second largest wage came from Self-Directed program. The estimate is sound because of the older age group in the training compared to other training programs. One notable finding is that in 2015, self-directed participants’ average is much higher than other service participants. (Figure 15)
- **Age:** Work Based and Occupation Skills trainings are especially popular in younger age group, below 25 and 25 to 34, whereas Self-Directed training is most popular for the older cohort, age above 55.

¹ A participant (A) who is a youth, that the individual has English reading, writing, or computing skills at or below the 8th grade level on a generally accepted standardized test; or (B) who is a youth or adult, that the individual is unable to compute or solve problems, or read, write, or speak English, at a level necessary to function on the job, in the individual’s family, or in society.

² We divided the “job-ready service” category into job-ready short-term and job-ready long-term for statistical analysis purposes, because these two types had very large variation in the average days of service participation, standard deviation, and the distribution.

In total, 26% is from age group 25-34, 20% for both age group 35-44 and 45-54, 19% from below 25, and 13% from 55 and above. (Figure 16)

- **Gender:** Gender stays fairly constant, 50-50%, for all trainings except Work Based, where male is the majority, around 66%. (Figure 17)
- **Race/ethnicity:** For all trainings, white race dominates participation on average 77% throughout the years. African American comes second, at 20%. The highest proportion of participants who were white (89%) were in work-based service, followed by self-directed (81%), job-ready (79%), and occupation skill (69%) and job-ready long-term (68%). (Figure 18)
- **Basic skills:** Job Ready Long Term participants had the highest percentage of participants with only basic literacy skills at 67%, followed by Self-Directed, at 57%. The lowest rate came from Work Based, at 10%, followed by Occupation Skills participants, at 21%. (Figure 19)
- **Low-income:** In terms of low-income specification, work-based services had the highest proportion of low-income participants (87%), followed by occupation skills (84%), and job-ready (80%). Self-Directed training had the lowest proportion of participants who were from low-income family, at 62%. (Figure 20)

Longitudinal Analysis

Research question 1

Did the WIOA programs influence participants' average wage growth over time?

Sample

Given the large variation in years of participation, in this report, we only focused on participants who completed the program in any one year between 2012 and 2017. They were the majority (78% or n=74,756) of all the participants (n=96,133), and would produce more robust results in the modelling. (Table 3)

Methods

To examine the effects of program participation on wage growth over time, we used longitudinal fixed effects models. Fixed effects models are commonly used in mitigating self-selection bias to infer causal relationships. For this purpose, individual fixed effects are used in our models to subdue all between-person variable to gauge the program's mean effect on wage within person over time. In other words, we compared the average wage in years before the program participation to the average wage of the same participants in years after the training.

In Model 1, we added individual fixed effects to control for time-invariant characteristics (e.g., race, gender, innate ability, etc.). We also controlled for program year³ fixed effect that captured any systematic influence of economic condition that was different each year but common to all participants. Additionally, lagged training variables are included to capture any lagged training effects on participants' wage growth.

From Model 2 to Model 15 fixed effects models, we added interactions between training participation in a year and each demographic variable (race, gender, low-income, basic skills, limited English literacy⁴,

³ Program year refers to the term starting in July and ending in the following June. For example, program year 2012 = July 2012-June 2013.

⁴ Limited English, reading or speaking skills.

education level, veteran, Hispanic, offender, homeless, single parent, long-term unemployed⁵, eligible immigrant, and farmworker), respectively, to examine how participants with different demographics had varied wage growth from the training programs. Detailed results are provided in the appendix section.

Findings

Model 1 findings

- In the program year of training, average wage declined by 11%. Enrolling in higher education significantly lowered annual wage by 13% in the training program year. The numbers indicated that while an individual is either enrolled in higher education or participating in a program in a given year, wage can decrease temporarily due to reduced working hours in the year.
- On average, in the first year after the training, program participation did not show a significant wage increase. However, in the second year, training increased average annual wage by 10% compared to their own average annual wage before the training.

One caveat is that training is operated based on program year. However, the annual wage is aggregated based on calendar year, which is most commonly used. This could explain the lagged two year effects of program training.

Model 2 to Model 15 findings

- Non-white people had 6% higher wage gain than white in first year after the training, and 3% higher than white in the second year after the training.
- Hispanics had 4% higher wage compared to non-Hispanics in the first year after the training.
- Overall, low-income participants had 18% higher wage growth than others in the first year and 5% higher than others in the second year after the training.
- Overall, participants with basic literacy skills had 9% lower wage growth in the first year after the training, and had 3% lower wage growth in the second year than others after the training.
- In the first year after the training, participants who had some college/technical/vocational/ associate degrees had 3% lower wage growth than those with high school degree or lower. College degree or above participants had 11% lower wage growth than those with high school degree or lower.
- For gender, long term unemployed, limited English skills, homeless, offender, veteran, single parents, immigrants, farmworkers, there was no significant difference between them in training and cumulative training effect on wage growth.

Research question 2

How did the amount of a training service in a program year affect people's wage after the training, while holding all the other factors constant?

Sample

To examine how the amount of training influence participants' wage, it is important to compare participants with their peers in the same program year in the same service. Thus, we focused on program year 2012 participants in the job-ready short-term service category. The reasons are the following. First, among the five service categories, the job-ready short-term service accounted for 93% of all the participants. Second, given

⁵ A participant who has been unemployed for 27 or more consecutive weeks.

the large number of controlling variables in this study, a large sample size would provide more rigorous regression results. Third, in order to attribute the training effect to the job-ready short-term service participation, this study further removed participants who also attended other services simultaneously. We created the average wage between 2010 and 2012 as pre-training average wage and that between 2013 and 2015 as post-training average wage for each individual.

Methods

In Model 16 and 17, we performed multiple regression analysis to examine how the total number of days/times in job-ready short-term service in 2012 program year are associated with post-training wage, while holding the pre-training wage and personal demographics constant (e.g., age, gender, race, education level, low-income status). To further detect the effect of the amount of service participation on post-training wage, in Model 18 and 19, we categorized the days/times attended of the job-ready short-term service into four categories⁶.

Findings

- While holding participants' demographics and pre-training wage constant, one extra day or time in the job-ready short-term service did not show a significant influence on post-training wage, even after further dividing service days/times into categorical variables.
- The average post-training wage for male was 17% higher than that of female participants.
- Participants at age below 25 had 8% to 19% higher average annual post-training wage than those who were at age 45 or older.
- The average post-training wage for participants who had some college/vocational/associate degree was 10% higher than those with high school degree or below; The average post-training wage for participants who had a college and above degree was 23% higher than those with high school degree or below.
- The average post-training wage for low-income participants were 7% lower than others.
- The average post-training wage for participants who enrolled in higher education in 2012 were 15% higher than those who did not enrolled in college that year.

⁶ Four categories are: one day=1, two days=2, three days=3, four days and more=4

Appendix

Tables and Figures

Table 1: Cohort Retention and Participation

		Year						Others	
		2012	2013	2014	2015	2016	2017		
Cohort	2012	Participation year	<u>1st year</u>	<u>2nd year</u>	<u>3rd year</u>	<u>4th year</u>	<u>5th year</u>	<u>6th year</u>	<u>Skipped 1+ year</u>
		# Participants	28,023	5,926	879	238	44	11	1706
		Retention rate		21%	3%	1%	0%	0%	6%
	2013	Participation year		<u>1st year</u>	<u>2nd year</u>	<u>3rd year</u>	<u>4th year</u>	<u>5th year</u>	<u>Skipped 1+ year</u>
		# Participants		17,186	3,692	606	98	21	883
		Retention rate			21%	4%	1%	0%	5%
	2014	Participation year			<u>1st year</u>	<u>2nd year</u>	<u>3rd year</u>	<u>4th year</u>	<u>Skipped 1+ year</u>
		# Participants			17,842	4,243	498	98	384
		Retention rate				24%	3%	1%	2%
	2015	Participation year				<u>1st year</u>	<u>2nd year</u>	<u>3rd year</u>	<u>Skipped 1+ year</u>
		# Participants				15,728	2,812	312	206
		Retention rate					18%	2%	1%
	2016	Participation year					<u>1st year</u>	<u>2nd year</u>	<u>Skipped 1+ year</u>
		# Participants					7,785	1,525	0
		Retention rate						20%	0%
	2017	Participation year						<u>1st year</u>	<u>Skipped 1+ year</u>
		# Participants						8,096	0
		Retention rate							0%

Table 2: Service Attendance by Days

Broad Category	Measurement	Year						Total
		2012	2013	2014	2015	2016	2017	
Job Ready	Mean Days	2	2	2	2	2	3	2
	Standard Deviation	6	8	5	4	4	12	7
	Frequency	14,204	9,294	8,478	9,412	4,988	6,405	52,781
Job Ready Long Term	Mean Days	26	.	.	1	26	47	43
	Standard Deviation	43	.	.	0	30	56	53
	Frequency	3	0	0	1	33	178	215
Occupation Skills	Mean Days	73	69	57	55	55	57	61
	Standard Deviation	74	66	54	54	56	53	60
	Frequency	827	1,028	1,112	910	638	1,122	5,637
Self-Directed	Mean Days	1	1	1	1	1	1	1
	Standard Deviation	0	0	0	1	1	0	1
	Frequency	332	447	205	4,301	932	22	6,239
Work Based	Mean Days	63	48	62	98	58	81	65
	Standard Deviation	46	42	48	60	62	49	54
	Frequency	71	165	148	82	152	111	729
Total	Mean Days	6	9	9	6	8	13	8
	Standard Deviation	25	30	27	21	26	33	26
	Frequency	15,437	10,934	9,943	14,706	6,743	7,838	65,601

Table 3: Years of Participation

Years of Participation	Frequency	Percentage
1	74756	77.8%
2	18233	19.0%
3	2587	2.7%
4	480	0.5%
5	66	0.1%
6	11	0.0%
Total	96133	100%

Figure 1: Cohort Participation - Age

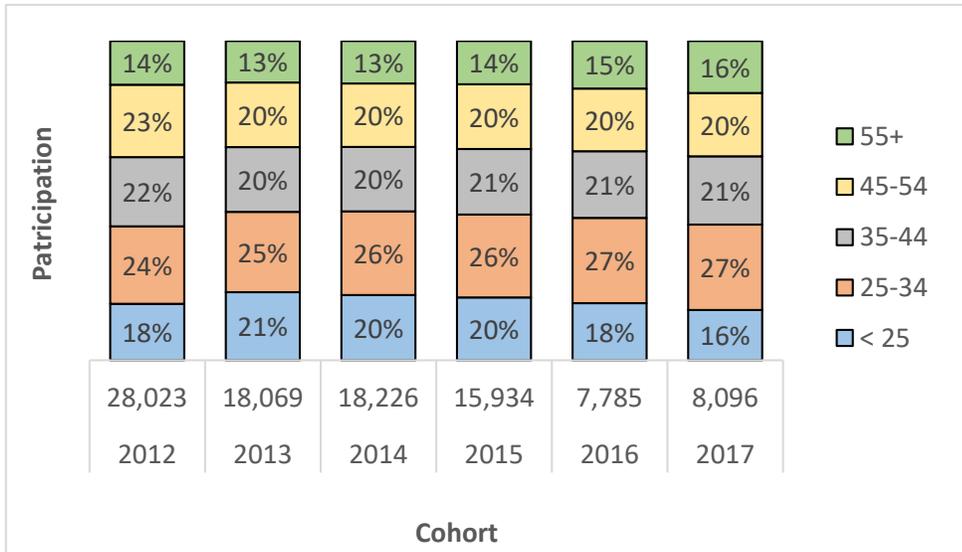


Figure 2: Cohort Participation - Gender

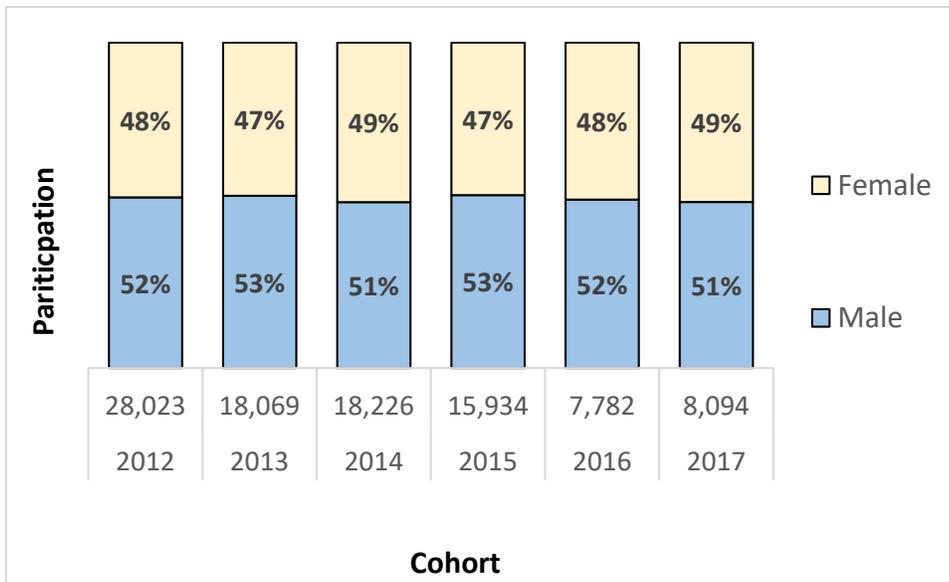


Figure 3: Cohort Participation - Race

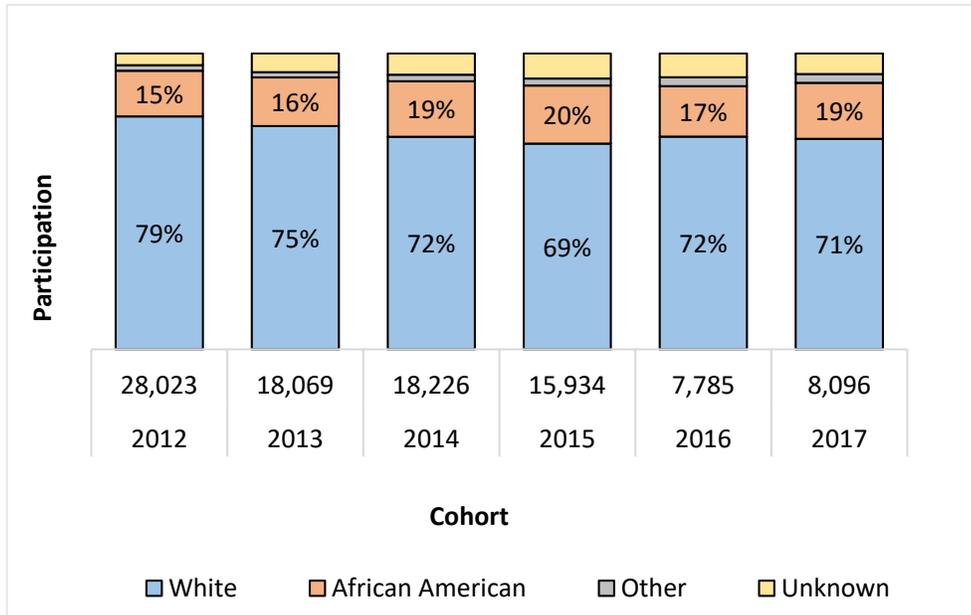


Figure 4: Cohort Participation - Disability

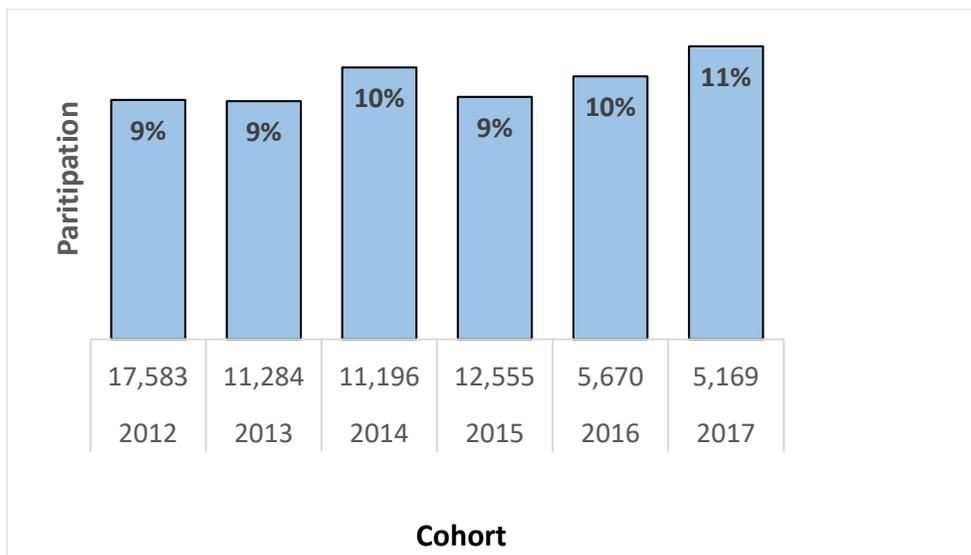


Figure 5: Cohort Participation - Experiencing Homelessness

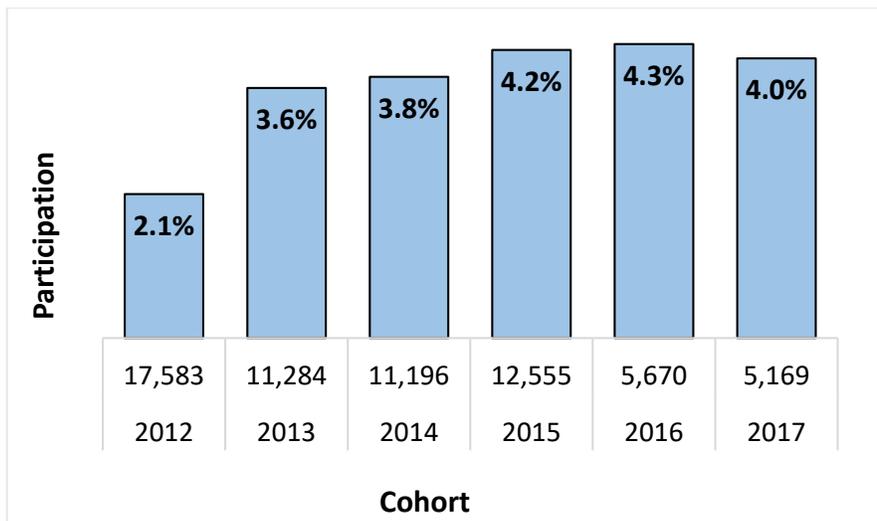


Figure 6: Cohort Participation - Single Parent

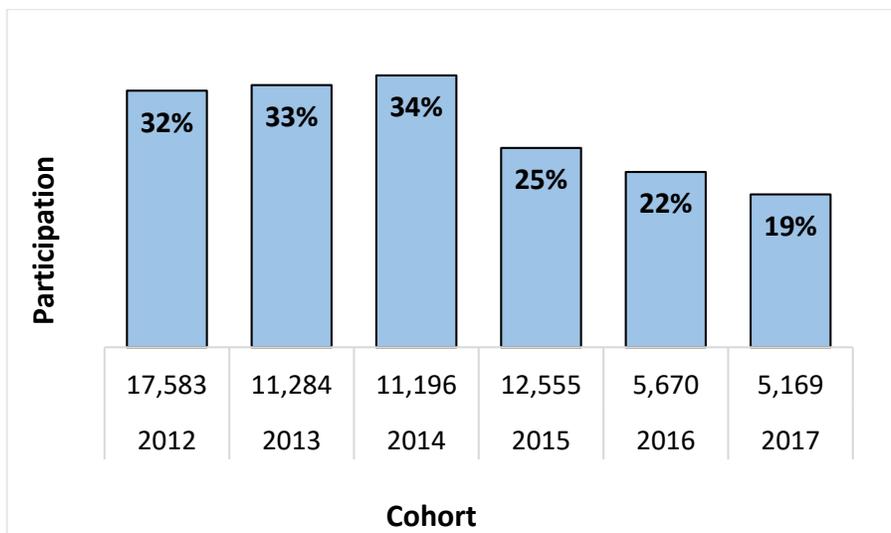


Figure 7: Cohort Participation - Education

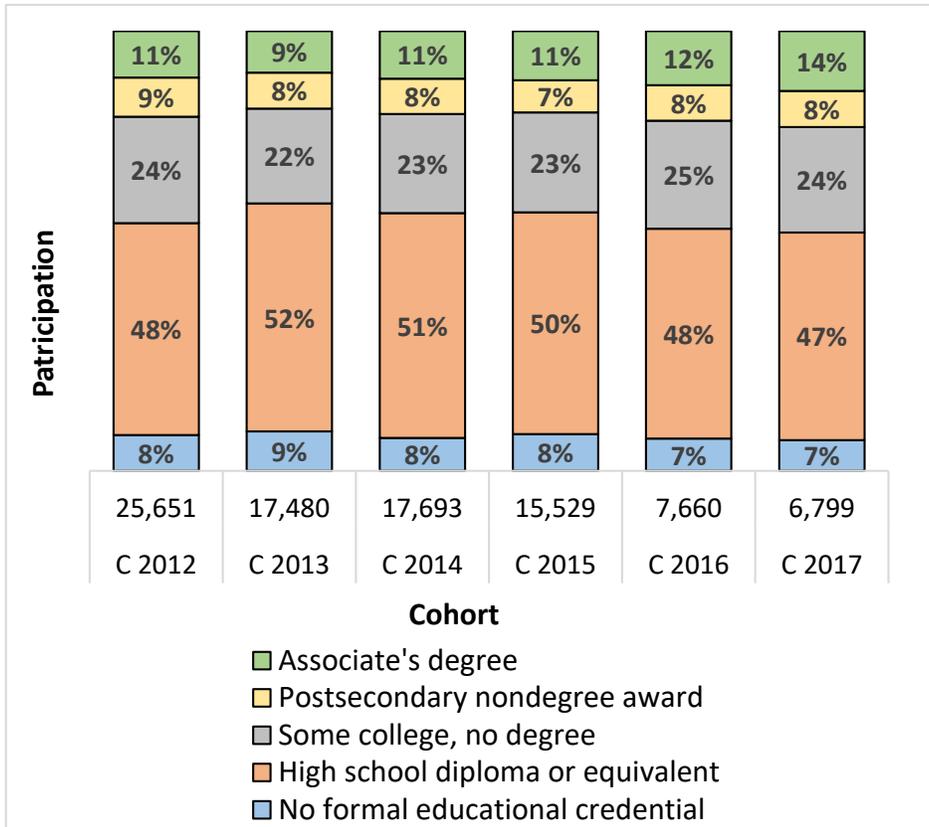


Figure 8: Cohort Participation - Basic Skills

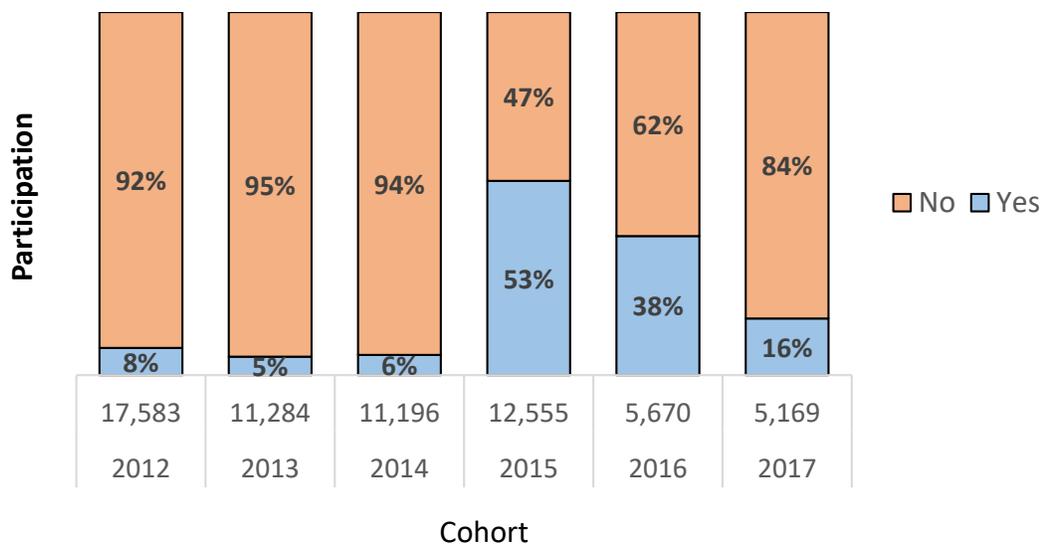


Figure 9: Cohort Participation - Low Income

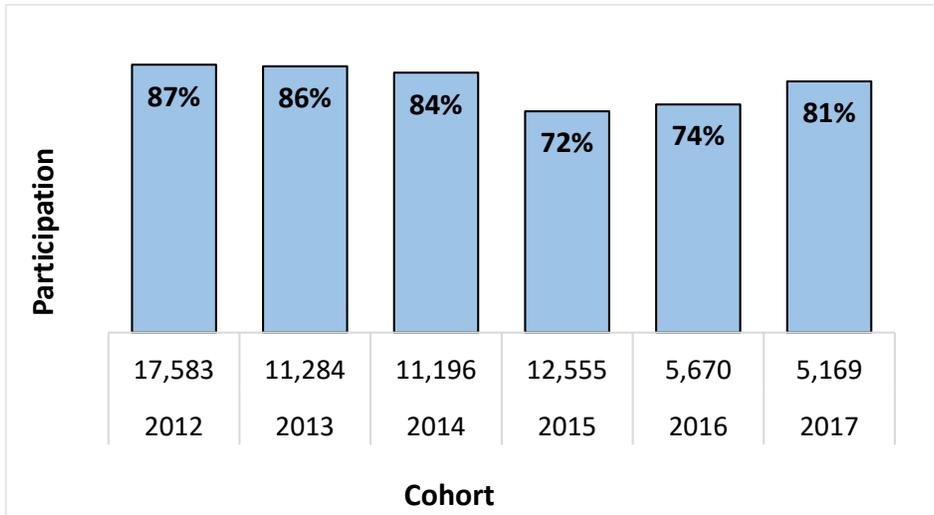


Figure 10: Cohort Participation Rate by EGR for All Cohorts

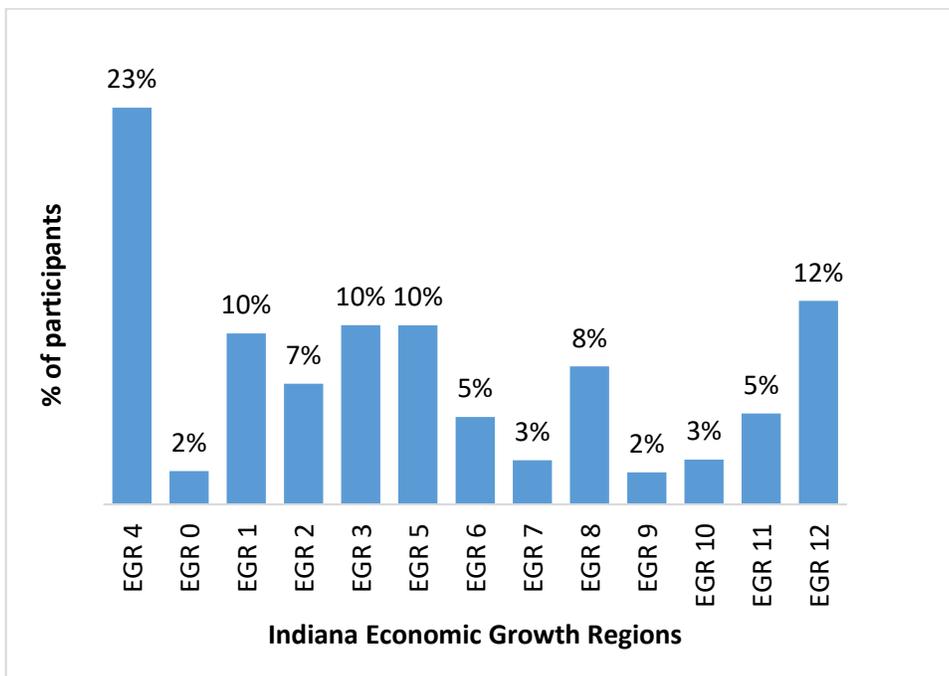


Figure 11: Cohort Participation by Economic Growth Region

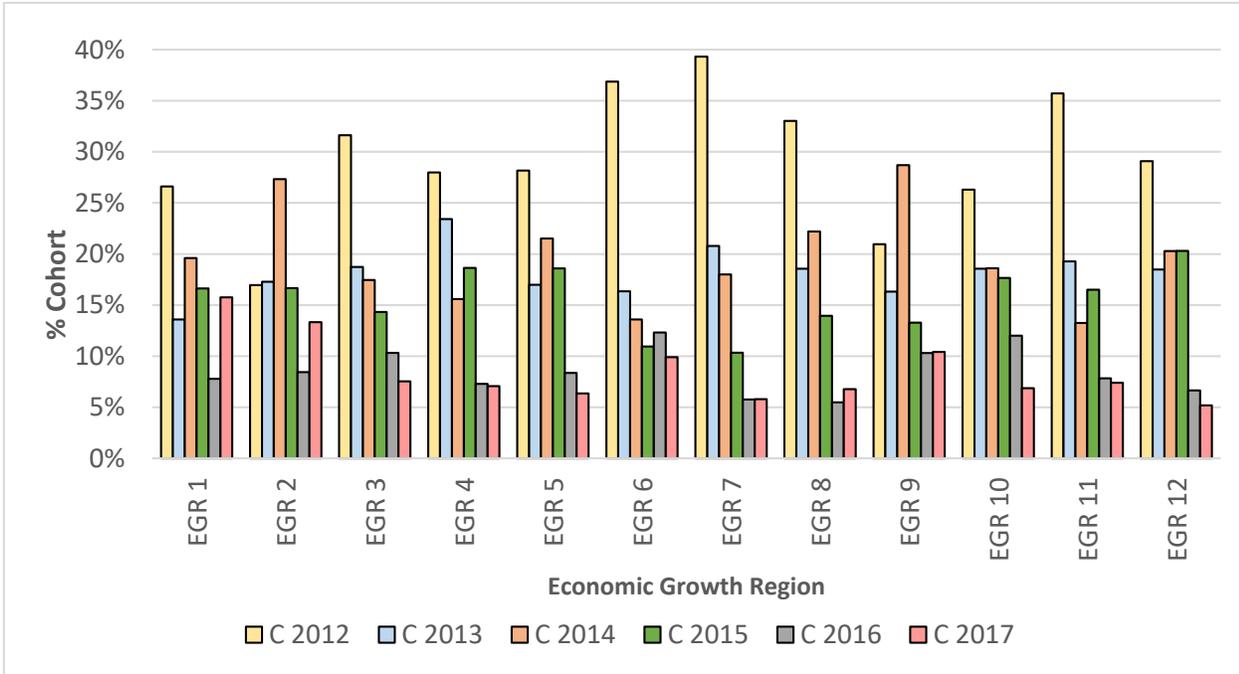


Figure 12: Cohort Participation - Veterans

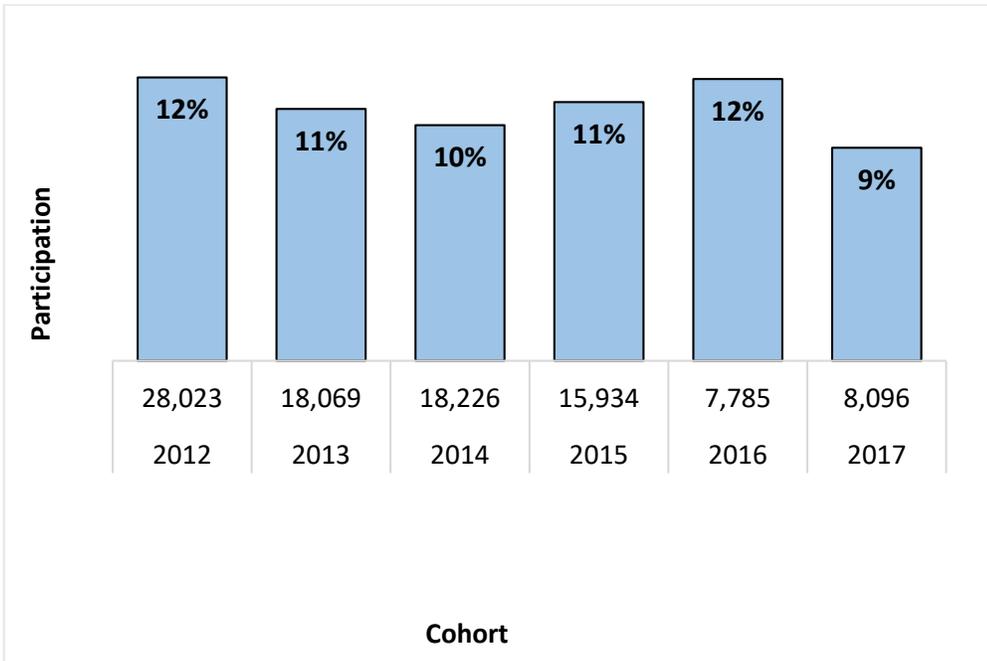


Figure 13: Cohort Participation - Offenders

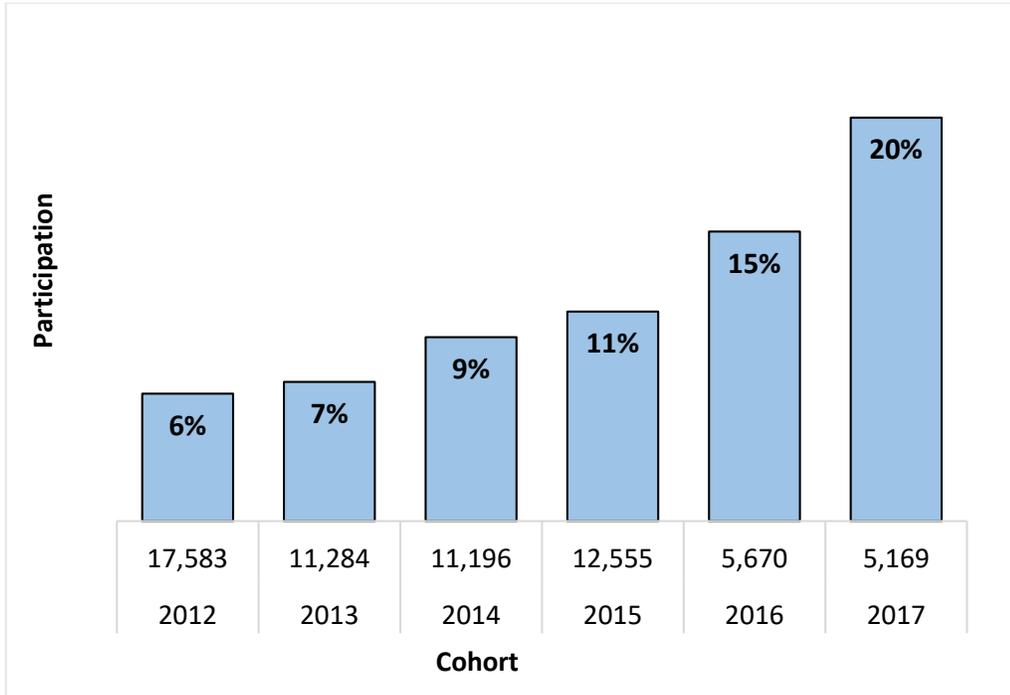


Figure 14: Broad Category – Participant Rate

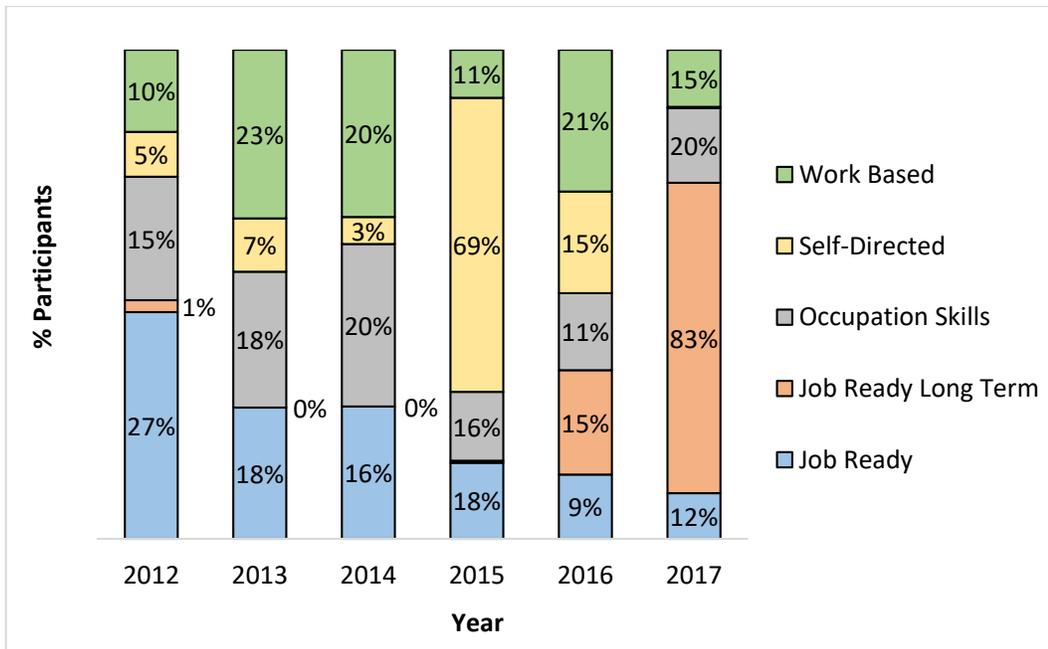


Figure 15: Broad Category Average Annual Salary

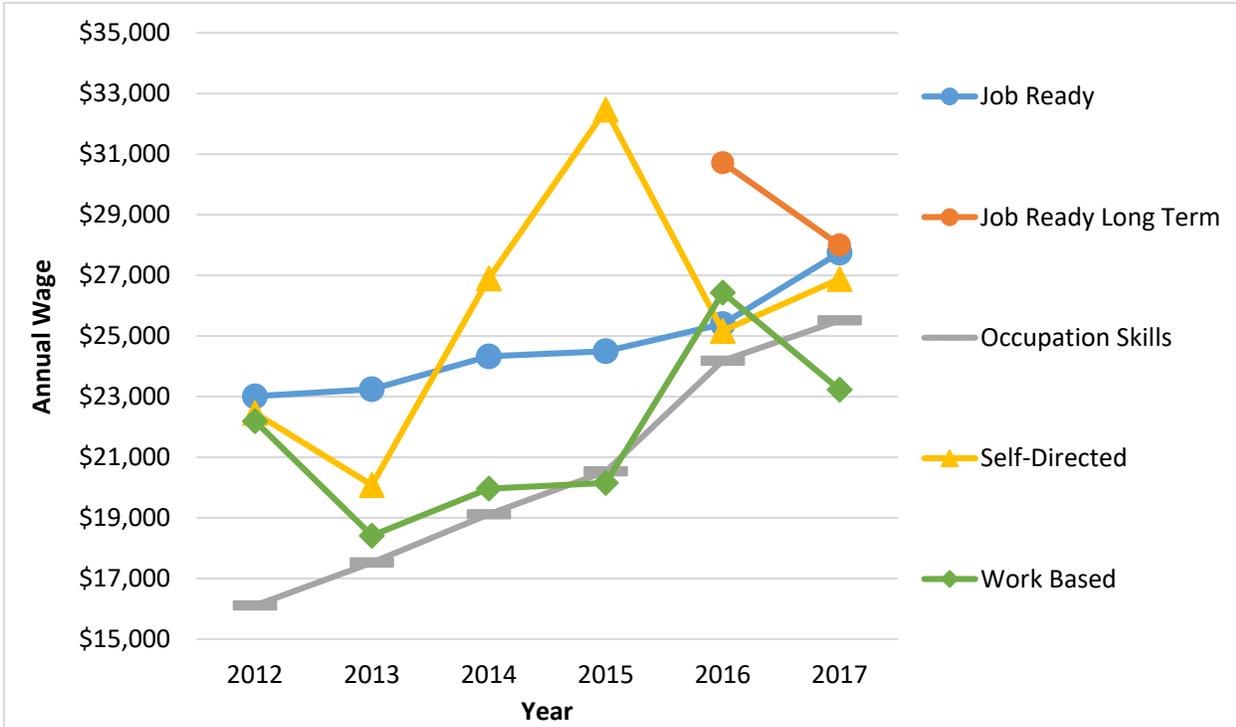


Figure 16: Program Participation By Age

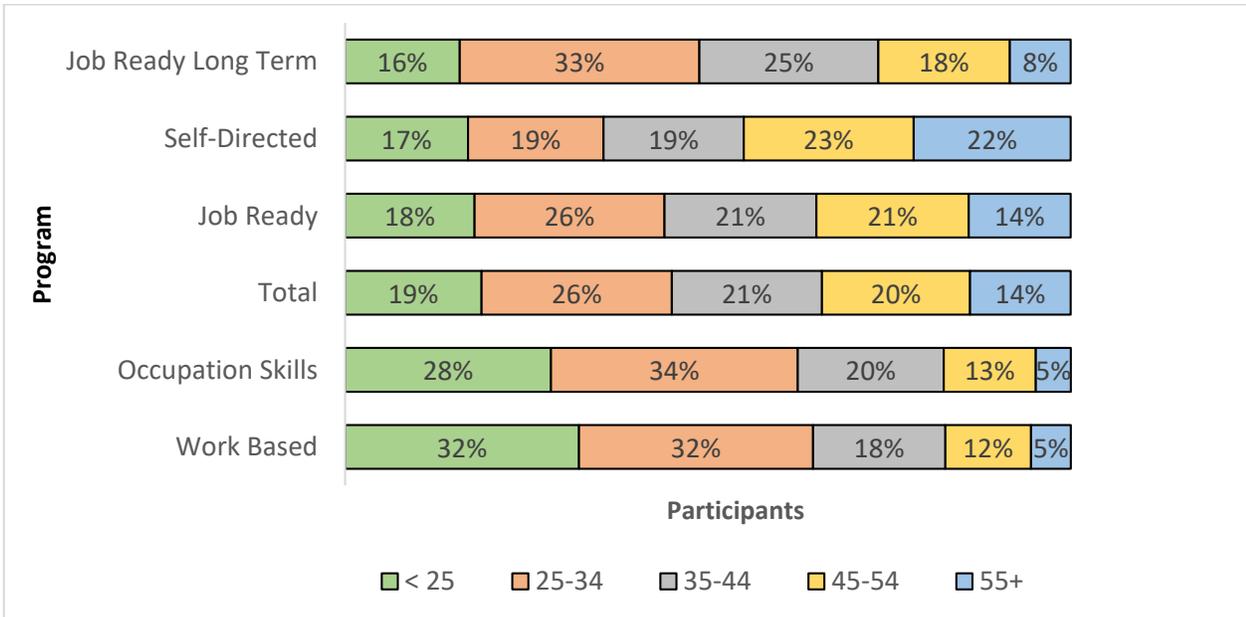


Figure 17: Broad Category by Gender

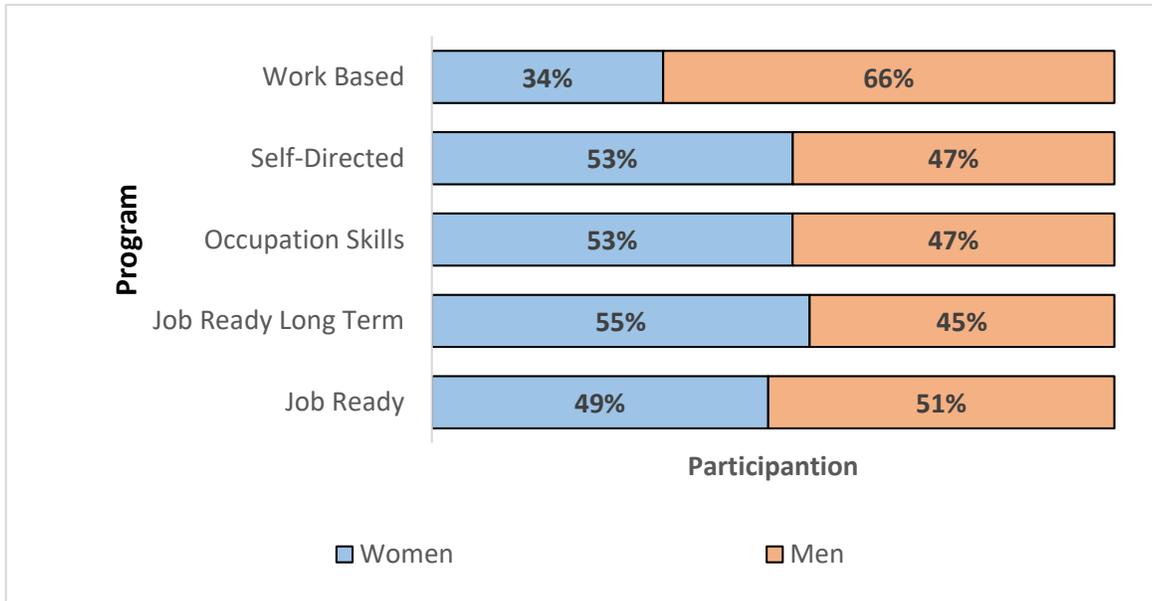


Figure 18: Program Participation by Race

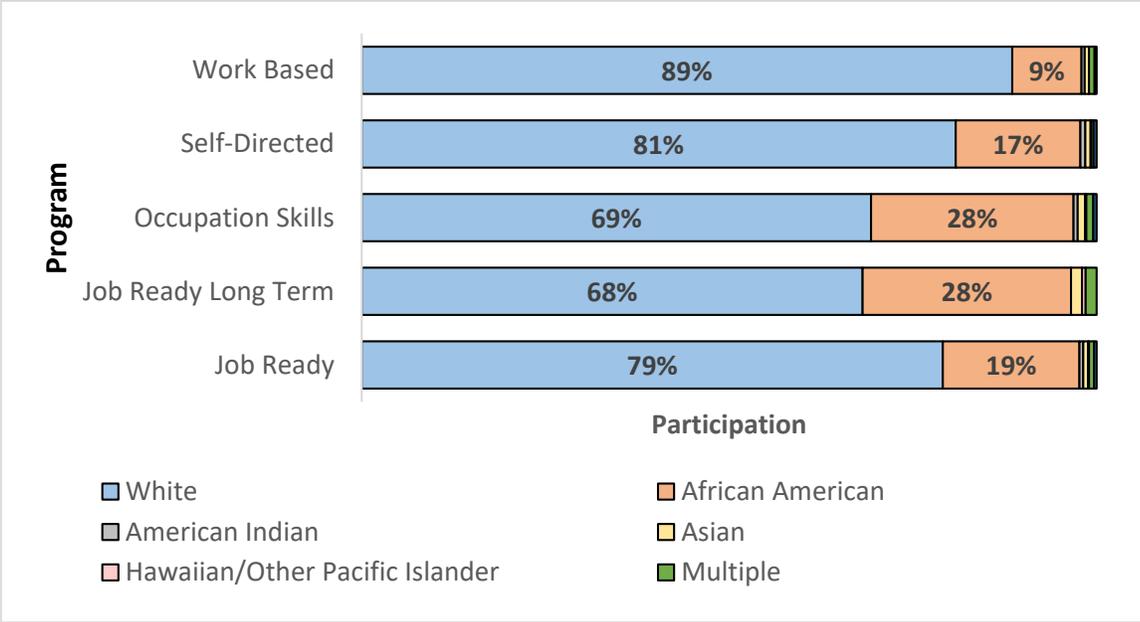


Figure 19: Broad category basic skills

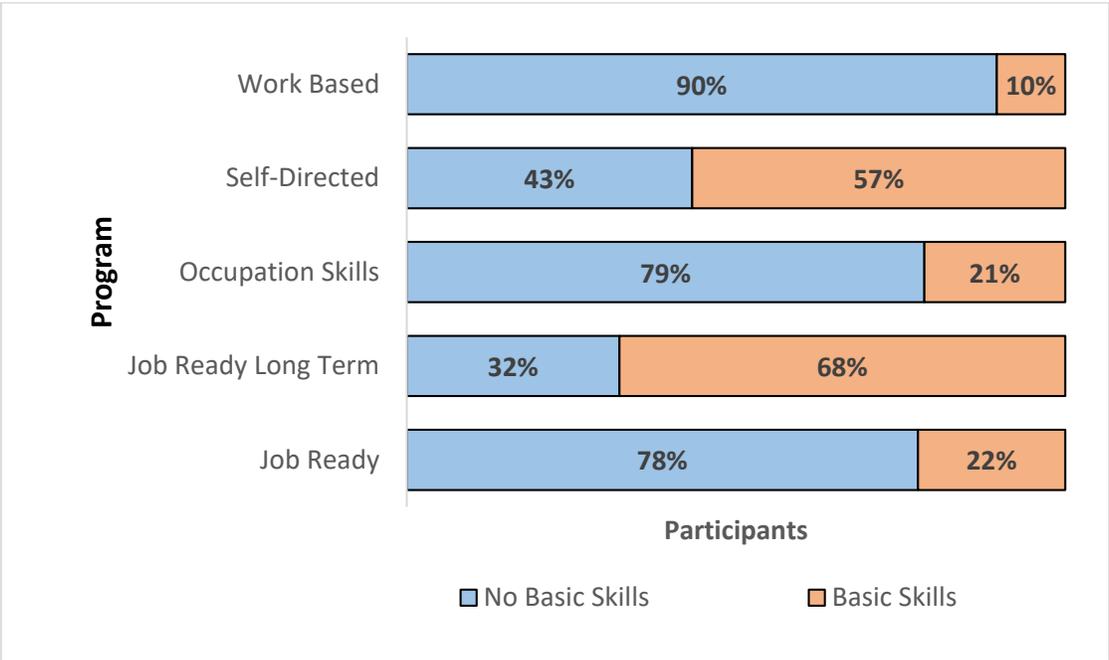
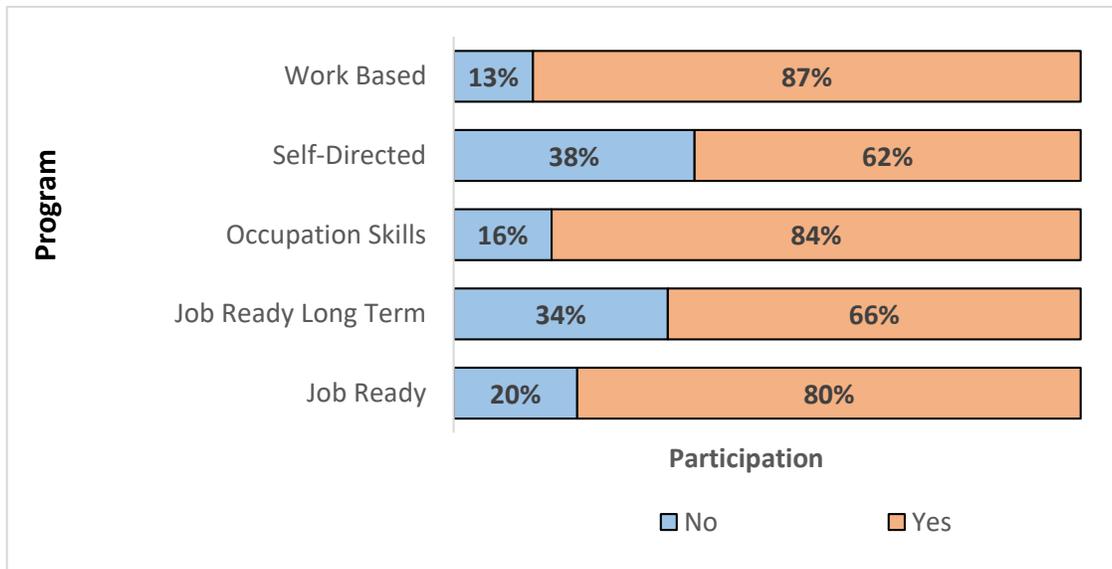


Figure 20: Broad Category - Low Income

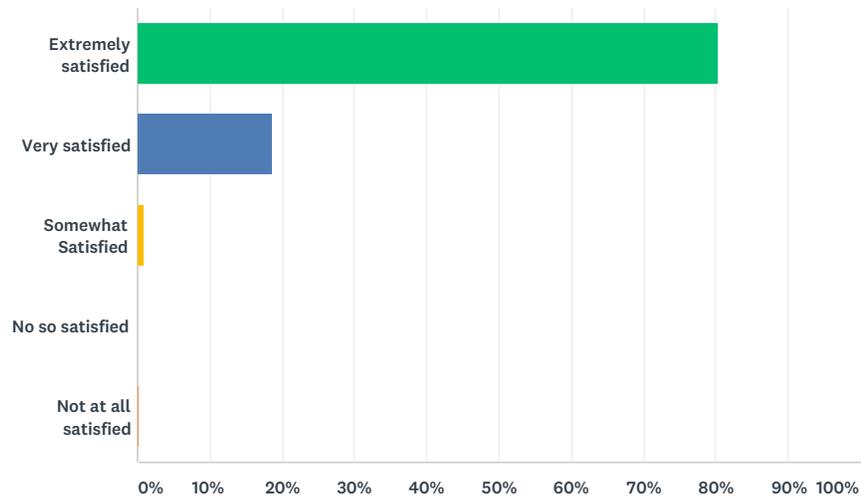


Appendix C

Employer and Customer Satisfaction Surveys

Q2 Please indicate your satisfaction with the service you received from the staff person.

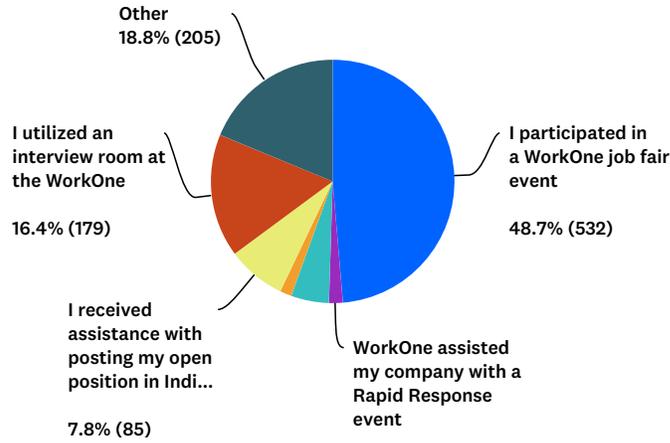
Answered: 638 Skipped: 9,623



ANSWER CHOICES	RESPONSES	
Extremely satisfied	80.25%	512
Very satisfied	18.65%	119
Somewhat Satisfied	0.94%	6
No so satisfied	0.00%	0
Not at all satisfied	0.16%	1
TOTAL		638

Q1 What type of service did you receive from the Work One representative?

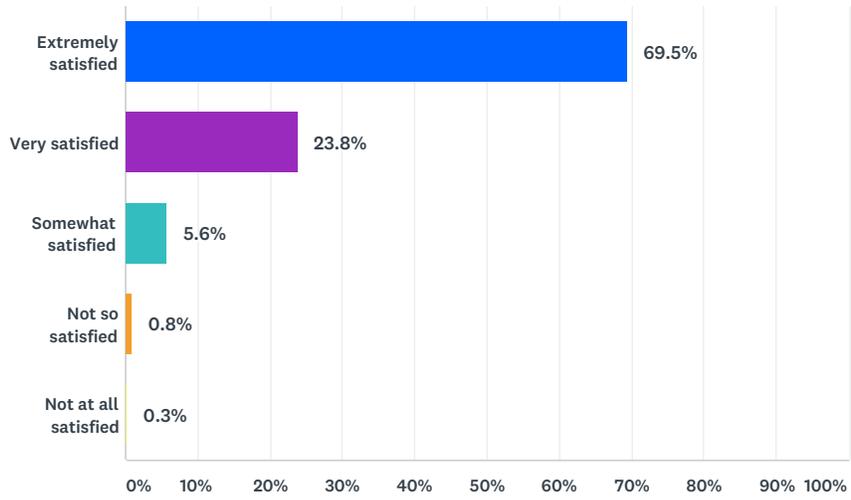
Answered: 1,093 Skipped: 0



ANSWER CHOICES	RESPONSES	
I participated in a WorkOne job fair event	48.7%	532
WorkOne assisted my company with a Rapid Response event	1.8%	20
WorkOne collected applications for my open position	5.0%	55
I hired a worker for On-The-Job training (OJT)	1.6%	17
I received assistance with posting my open position in Indiana Career Connect	7.8%	85
I utilized an interview room at the WorkOne	16.4%	179
Other	18.8%	205
TOTAL		1,093

Q2 Overall, are you satisfied or dissatisfied with the customer service you received from the Work One Representative?

Answered: 1,089 Skipped: 4



Appendix D

Common Exits Guidance



To: Workforce Development Board Directors
WorkOne Operators
DWD Regional Directors

From: Regina Ashley 
Associate Chief of Operations for Policy

Date: July 2, 2015

Subject: MEMORANDUM
Interim Guidance on the Delivery of WIOA Title I Adult and Dislocated Worker Services
and the Impact on Participation and Exit Dates

Purpose

This interim guidance discusses the career and training services for Workforce Innovation and Opportunity Act (WIOA) Title I adult and dislocated workers; the point at which delivery of certain services requires an individual to be eligible and enrolled as a participant; and the Department of Workforce Development's (DWD's) requirement for common participation and exit dates for all DOL-funded programs. The points at which an individual becomes a participant and exits are important because performance accountability is based only on outcomes for participants.

References

- Workforce Innovation and Opportunity Act Section 134(c)(2)
- WIOA Proposed Regulations Sections 678.430, 680.150, 680.210, 680.220

Content

Indiana's WorkOne system is the basic delivery system for workforce development services funded through WIOA. WIOA clarifies that adults and dislocated workers receiving services in the WorkOne centers must have access to services that are needed to assist the individual to meet his or her job search goals. Unlike the Workforce Investment Act (WIA), WIOA Title I does not require a fixed sequence of services; that is, job seekers is not required to engage in certain unassisted services before

engaging in staff-assisted services and is not required to engage in specific staff-assisted services for a given period of time before being enrolled in training.¹

WIOA consolidates the Core and Intensive services required by WIA into a single category of Career Services. Career Services are broken down into three subcategories: basic, individualized and follow-up.

1. **Basic Career Services.** Basic career services must be made available to all job seekers and include services such as employment services, labor market information, job listings, informational workshops, self-service, and information on partner programs.
2. **Individualized Career Services.** Individualized career services involve more intensive staff time. USDOL has proposed that the ES staff may also provide individualized career services and that Wagner-Peyser funds can be used to provide any of the individualized services defined in proposed § 678.430(b) and sec. 134(c)(2)(A)(xii) of WIOA as outlined in the chart below. Individuals must be determined eligible for WIOA Title I adult or dislocated worker programs to receive individualized services. Eligibility includes the consideration at Section 194(1) that specifies Title I programs shall provide services to those who are most in need of *and who can benefit from* such services.
3. **Follow-up Activities.** Follow-up includes:
 - Counseling regarding the workplace, for participants in adult or dislocated worker workforce investment activities who are placed in unsubsidized employment, for up to 12 months after **the first day of employment** (rather than for 12 months after exit).
 - Basic self-service and informational career services provided during the 90 days following the close of individualized career services, training, or placement.

Definitions for reportable individual, registrant, and participant are included in [Attachment A](#). [Attachment B](#) provides a logic chart for establishing reportable individual, registrant, and participant. See [Attachment C](#) for a table that outlines the WIOA Title I Adult /DW and Wagner-Peyser Career Services and WIOA Title I Adult /DW Training Services and optional services in the WorkOne, the funds that may be used to support that service, and the point at which the individual being served becomes a reportable individual, registered individual, or participant of the program.

DOL encourages states that are able to track participant services across DOL-funded programs to utilize a single date of program participation for participants as well as a single date of exit. For example, if an individual becomes a Wagner-Peyser participant in January but is not enrolled in WIOA until March, the date of participation in WIOA would commence in January. DWD's policy is that the date of participation starts with the first participation in any DOL-funded program, and the date of exit ends with the last date of exit from any partner program. Since common date of participation only applies to DOL-funded programs, adult education, vocational rehabilitation, and other partner programs will have their own participation and exit dates. The common participation date encourages co-enrollment in

¹ However, case files must document participant eligibility for training services and explain how the determination was made – by interview, evaluation, or assessment, career planning, or other service such as an individual employment plan.

DOL-funded programs (Wagner-Peyser, WIOA Title I, and TAA) from the earliest point of contact to best serve the individual with the broadest menu of services possible.

Co-enrollment in non-DOL funded programs is also encouraged to the maximum extent that is appropriate and for which the customer is eligible in order to share costs and services and provide a foundation for shared infrastructure costs.² Referral, co-enrollment, shared service costs and shared infrastructure costs will be incorporated into Memoranda of Understanding among the partners and with the Workforce Development Board (WDB). See *Attachment D* for a chart comparing the points of becoming a reportable individual, registrant, or participant and point of exit among the core programs.

Effective Date

July 6, 2015

Ending Date

Upon rescission

Contact for Questions

policy@dwd.in.gov

Action

Workforce Development Boards and WorkOne Operators shall provide guidance to their service providers and maximize co-participation in WorkOne programs to the extent allowable and appropriate to meet customers' needs. Local policies must conform to the contents of this Interim Guidance.

Attachments

Attachment A – Definitions for Reportable Individual, Registrant, and Participant

Attachment B- Reportable Individual, Registrant, and Participant Logic Chart

Attachment C – WIOA Title I Adult and Dislocated Worker Services, Allowable Funding Source(s) and Status of Job Seeker as Reportable Individual, Registrant, or Participant

Attachment D – Point of Becoming a Reportable Individual, Registrant, and Participant and Point of Exit Comparison Among Core Programs

² The state's case management system automatically determines all programs for which individuals are **eligible**, but **enrollment** into a program (participation) does not commence until and unless the individual receives staff-assisted services funded by that program.

Attachment A

Definitions for Reportable Individual, Registrant, and Participant

The Indiana Department of Workforce Development strives to ensure that the State and each Region meets performance under WIOA. In order to do so, it is important to understand when an individual accessing and exiting the workforce system is counted in performance. Whether an individual is counted in performance is based on the funding stream being accessed.

Reportable Individual

- A “**Reportable Individual**” is a new term defined in WIOA that applies across all programs (see proposed regulation §361.150). It is a person who has taken action that demonstrates an intent to use program services and who meets specific reporting criteria of the core program, including:
 - Individuals providing identifying information.
 - Individuals who use only self-service; and
 - Individuals who only receive information on services or activities.
- Individuals are adult education reportable individuals when they complete 12 hours in the program.
- Note that unemployment insurance claimants who come to the WorkOne to ask questions about their claim are to be provided “meaningful assistance” and will **be reportable individuals**. WIOA proposed rule § 678.430 defines “Meaningful assistance” as:
 - Providing assistance on-site using staff who are **well-trained** in unemployment compensation claims filing and the rights and responsibilities of claimants; **or**
 - Providing assistance by phone or via other technology, as long as the assistance is provided by trained and available staff and within a reasonable time.

The costs associated with providing this assistance may be paid for by the State’s unemployment insurance program, or the WIOA adult or dislocated worker programs, or some combination thereof. They may also be paid for through Wagner-Peyser as stated in Sec. 7(a)(3)(F) of the Wagner-Peyser Act.

Registrant

- A registrant for Title I is an adult or dislocated worker for whom information has been collected through electronic data transfer, personal interview, or application to support a determination of eligibility. This is the point at which information that is used in performance begins to be collected. See Proposed regulation §680.110. NOTE: The term “registrant” is not contained in the Wagner-Peyser regulations or is it used for youth. “Registrant” is solely a WIOA adult/dislocated worker term.

Participant

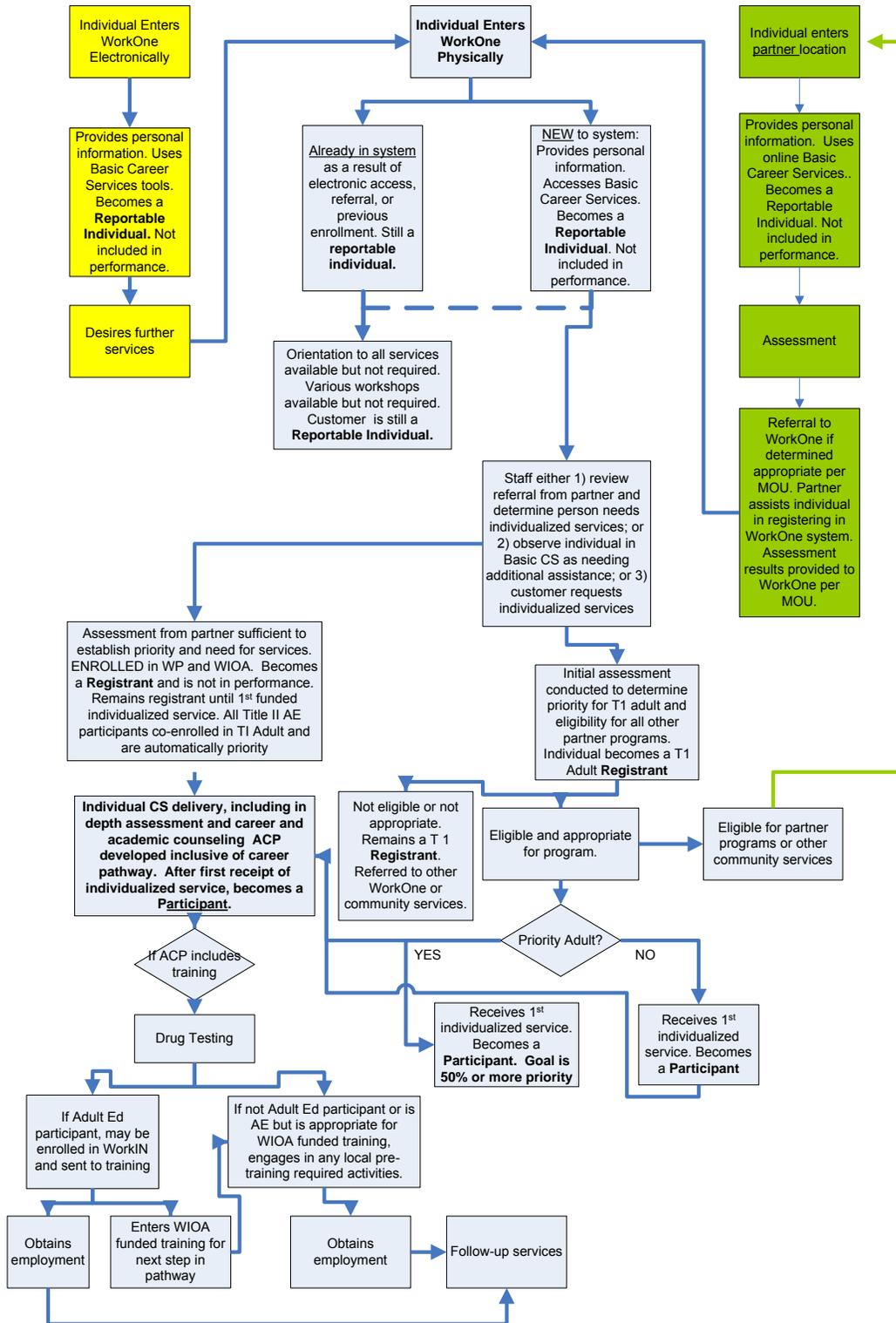
- A participant for Title I is an adult or dislocated worker who:
 - Has been determined eligible, AND
 - Has begun receiving a staff-assisted WIOA Title I adult/dislocated worker service other than Basic Career Services.

This is the point at which an individual is to be included in performance calculations for the primary indicators. See Proposed regulation §680.110.

- A participant for Wagner-Peyser is a reportable individual who received other than Basic Career services. See proposed regulations §§651.10, 677.150.
- A participant for Vocational Rehabilitation is an individual who has an approved and signed Individualized Plan for Employment (IEP) *and* has begun to receive services. See proposed regulations §361.150.
- A participant for Adult education is an individual who has completed at least 12 contact hours in the Adult Education and Family Literacy Act program as WIOA Title II participants. See proposed regulation §361.150.

Attachment B

Reportable Individual, Registrant, and Participant Logic Chart



Attachment C

WIOA Title I Adult and Dislocated Worker Services, Allowable Funding Source(s) and Status of Job Seeker as Reportable Individual, Registrant, or Participant

Basic Career Service	Allowable Funding Source(s)	Reportable Individual, Registrant or Participant
Determinations of whether the individual is eligible to receive assistance from the WIOA Title I adult, dislocated worker, or youth programs.	WIOA	WIOA Title I Registrant.
Outreach, intake (including worker profiling), and orientation to information and other services available through the one-stop delivery system.	Any WorkOne Partner	WIOA Title I Adult/DW and/or or Wagner-Peyser Reportable Individual
Initial assessment of skill levels including literacy, numeracy, and English language proficiency, as well as aptitudes, abilities (including skills gaps), and supportive service needs.	Any WorkOne Partner for whom this is an allowable Service	If this information is used to determine eligibility for WIOA Title I, the individual is still a WIOA Title I Adult/DW registrant or a Wagner-Peyser Reportable Individual.
Labor Exchange Services-1.job search and placement assistance and career counseling that may include-a) provision of information on in-demand industry sectors and occupations and b)provision of information on nontraditional employment, 2. Appropriate recruitment & other business services on behalf of employers, including information and referral to specialized business services other than those traditionally offered through the one-stop delivery system.	Any WorkOne Partner for whom this is an allowable Service.	Reportable Individual if self-service or informational. Participant if staff-assisted.
Provision of referrals to and coordination of activities with other programs and services, including programs and services within the one-stop delivery system and, when appropriate, other workforce development programs	Any WorkOne Partner for whom this is an allowable Career Service	WIOA Title I Adult/DW and/or Wagner-Peyser Reportable Individual
Provision of workforce and labor market employment statistics information, including the provision of accurate information relating to local, regional, and national labor market areas, including— <ul style="list-style-type: none"> (i) Job vacancy listings in labor market areas; (ii) Information on job skills necessary to obtain the vacant jobs listed; and (iii) Information relating to local occupations in demand and the earnings, skill requirements, and opportunities for advancement for those jobs; 	Any WorkOne Partner for whom this is an allowable Career Service	WIOA Title I Adult/DW and WP Reportable Individual.
Provision of performance information and program cost information on eligible providers of training services by program and type of providers.	Any WorkOne Partner for whom this is an allowable Service	WIOA Title I Adult/DW and/or Wagner-Peyser Reportable individual.

Provision of information, in usable and understandable formats and languages, about how the local area is performing on local performance accountability measures, as well as any additional performance information relating to the area's one-stop delivery system;	Any WorkOne Partner for whom this is an allowable Service	WIOA Title I Adult/DW and or Wagner-Peyser Reportable Individual.
Provision of information, in usable and understandable formats and languages, relating to the availability of supportive services or assistance, and appropriate referrals to those services and assistance, including: child care; child support; medical or child health assistance available through the State's Medicaid program and Children's Health Insurance Program; benefits under SNAP; assistance through the earned income tax credit; and assistance under a State program for Temporary Assistance for Needy Families, and other supportive services and transportation provided through that program;	Any WorkOne Partner for whom this is an allowable Service	WIOA Title I Adult/DW and/or Wagner-Peyser Reportable Individual.
Provision of information and assistance regarding filing claims for unemployment compensation, by which the one-stop must provide meaningful assistance to individuals seeking assistance in filing a claim for unemployment compensation.	<ul style="list-style-type: none"> • UI • WP • WIOA Title I Adult and DW 	WIOA Title I Adult/DW and/or Wagner-Peyser Reportable Individual
Assistance in establishing eligibility for programs of financial aid assistance for training and education programs not provided under WIOA.	Any WorkOne Partner for whom this is an allowable Career Service	WIOA Title I Adult/DW and or Wagner-Peyser Reportable Individual.

Individualized Career Services	Funding Source(s)	Registrant or Participant?
Comprehensive and specialized assessments of the skill levels and service needs of adults and dislocated workers, which may include— <ul style="list-style-type: none"> (i) Diagnostic testing and use of other assessment tools; and (ii) In-depth interviewing and evaluation to identify employment barriers and appropriate employment goals. 	Any WorkOne Partner for whom this is an allowable Service	If provided by WIOA TITLE 1 <u>after determination of eligibility</u> , the person is a WIOA TITLE 1 adult/DW participant who counts in WIOA Title I adult/DW performance. If provided by other WorkOne partners, WIOA Title I may use the results of the assessment, but must provide a WIOA Title I adult/DW-funded service before the individual becomes a participant.
Development of an individual employment plan, to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve	Same as above.	Same as above

his or her employment goals, including the list of, and information about, the eligible training providers.		
Group counseling	Same as above.	Same as above
Individual counseling	Same as above.	Same as above
Career planning (as defined in WIOA Sec 3(8))	Same as above.	Same as above
Short-term pre-vocational services including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct services to prepare individuals for unsubsidized employment or training.	Same as above.	Same as above
Internships and work experiences that are linked to careers	Same as above (Wagner-Peyser may provide staff support to establish work experiences and refer individuals to them, but may not pay wages.	Same as above
Workforce Preparation Activities- activities, programs, or services designed to help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in utilizing resources, using information, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education or training or employment.	Same as above.	Same as above
Financial literacy services	Same as above.	Same as above
Out-of-area job search assistance and relocation assistance	Same as above.	Same as above
English Language and Integrated Education and Training- education services provided to English language learners who are adults, including professionals with degrees and credentials in their native countries, that enable such adults to achieve competency in the English language and acquire the basic and more advanced skills needed to function effectively as parents, workers, and citizens in the United States. Such services shall include instruction in literacy and English language acquisition and instruction on the rights and responsibilities of citizenship and civic participation, and may include workforce training.	Same as above.	Same as above
Follow-Up Career Services	Funding Source(s)	Registrant or Participant or Reportable Individual?
Counseling regarding the workplace, for participants in adult or dislocated worker workforce investment activities who are placed in unsubsidized employment, for up to 12 months after the first day of employment (whether pre or post exit) and/or basic self-service and informational career services provided during the 90 days following the close of individualized career services, training, or placement	Same as above	WIOA Title I participant

Training	Funding Source(s)	Registrant or Participant or Reportable Individual?
Occupational skills training	Same as above, excluding WP	<p>WIOA Title I Participant. Individual may only enter training when:</p> <ul style="list-style-type: none"> ○ After an interview, evaluation or assessment and career planning has been determined by a one-stop operator or one-stop partner to – <ul style="list-style-type: none"> ▪ Be unlikely or unable to obtain or retain employment that leads to economic self-sufficiency or wages comparable to or higher than wages from a previous employment through Career Services without training (does not have to receive Career Services prior to training); ▪ Have the skills and qualifications to successfully participate in the selected program of training services. ○ Selects a program of training services that is directly linked to employment opportunities in the local area, planning region, or in another area to which he/she is willing to commute or relocate; ○ Is unable to obtain other grant assistance for training, including Federal Pell Grants or who requires additional assistance beyond the assistance made available under other grants; and ○ Is determined to be eligible in accordance the priority system in effect.
On-the-Job Training (OJT)	Same as above	Same as above
Incumbent Worker Training-training that is designed to meet the special requirements of an employer (including a group of employers) to retain a skilled workforce or avert the need to lay off employees by assisting the workers in obtaining the skills necessary to retain employment; and is conducted with a commitment by the employer to retain or avert layoffs of the incumbent worker(s) trained.	Same as above	Same as above

Employers are required to pay the non-federal share of the cost.		
Programs that combine workplace training with related instruction, which may include cooperative education programs. . Cooperative Education Program is-a structured way of learning that combines classroom learning with practical work experience while providing academic credit for the job experience.	Same as above	Same as above
Training programs operated by the private sector	Same as above	Same as above
Skill upgrading and retraining	Same as above	Same as above
Entrepreneurial training	Same as above	Same as above
Transitional jobs - Transitional Jobs-The local board may use not more than 10 percent of the funds allocated to the local area involved under section 133(b) to provide transitional jobs under subsection (c)(3) that-- (A) are time-limited work experiences that are subsidized and are in the public, private, or nonprofit sectors for individuals with barriers to employment who are chronically unemployed or have an inconsistent work history; (B) are combined with comprehensive employment and supportive services; and (C) are designed to assist the individuals described in subparagraph (A) to establish a work history, demonstrate success in the workplace, and develop the skills that lead to entry into and retention in unsubsidized employment.	Same as above	Same as above
Job Readiness Training Combined with Other Training- Job Readiness training provided in combination with any of the following training services: (i) occupational skills training, including training for nontraditional employment; (ii) on-the-job training; (iii) incumbent worker training in accordance with subsection (d)(4); (iv) programs that combine workplace training with related instruction, which may include cooperative education programs; (v) training programs operated by the private sector; (vi) skill upgrading and retraining; (vii) entrepreneurial training; (viii) transitional jobs in accordance with subsection (d)(5);	Same as above	Same as above
Adult Education and Literacy with Other Training Services-adult education and literacy activities, including activities of English language acquisition and integrated education and training programs, provided concurrently or in combination with services described in any of clauses (i) through (vii); (i) occupational skills training, including training for nontraditional	Same as above	Same as above

employment; (ii) on-the-job training; (iii) incumbent worker training in accordance with subsection (d)(4); (iv) programs that combine workplace training with related instruction, which may include cooperative education programs; (v) training programs operated by the private sector; (vi) skill upgrading and retraining; (vii) entrepreneurial training.		
Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of training.	Same as above	Same as above
Job Seeker Supports (Sec 3(59), Sec. 134(d)(2)(A), §680.140 and 680.900, 680.910)	Funding Source(s)	Registrant or Participant or Reportable Individual?
Work Supports for Low-wage workers to provide opportunities for them to retain or enhance employment (may include any activities available under WIOA adult/DW in coordination with any partner program).	Any WorkOne Partner for whom this is an allowable service,	WIOA Title I Adult/DW Participant
Supportive Services for participants in Career Services or Training Services and who are unable to obtain such services through other programs. Supportive services include transportation, childcare, dependent care, housing, and needs-related payments.	WIOA Title I Adult/DW	WIOA Title I Adult/DW Participant.
Needs-Related Payments - limited to: <ul style="list-style-type: none"> • Adults enrolled in training services under WIOA Sec. 134(c)(3) who are unemployed and who do not qualify for or have ceased qualifying for unemployment compensation. • Dislocated workers enrolled in training services who <ul style="list-style-type: none"> ○ Are unemployed and have ceased to qualify for unemployment compensation or trade adjustment allowance under TAA and enrolled in training services under WIOA Sec. 134(c)(3) by the end of the 13th week after the most recent layoff that resulted in a determination of the worker's eligibility; or , if later, by the end of the 8th week after the worker is informed that a short-term layoff will exceed 6 months OR ○ Are unemployed and did not qualify for unemployment compensation or trade adjustment assistance under TAA and are enrolled in training services under WIOA Sec. 134(c)(3). Eligibility for needs-related payments for adults may be found at NRPM § 680.940 and for	WIOA Title I Adult/DW	WIOA Title I Adult/DW Participant.

<p>dislocated workers at § 680.950 NPRM 680.970 explains how needs-related payments are calculated.</p>		
<p>Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of training.</p>	<p>Same as above</p>	<p>Same as above</p>

Attachment D

Point of Becoming a Reportable Individual, Registrant, and Participant and Point of Exit Comparison Among Core Programs

It is important to understand when a participant has “exited” a program for performance measurement purposes. While WIOA Title I adult and dislocated worker, youth, Wagner-Peyser, and Adult Education all define “exit” the same, vocational rehabilitation has a different definition.

For purposes of WIOA Title I adult and dislocated worker, youth, Wagner-Peyser, and Adult Education performance calculations, **EXIT** is defined as 90 days without any services other than self-service, informational, or follow-up **AND** there are no future services planned other than follow-up. Services that may be delivered during the 90 days that do not extend the period of participation include:

- Post- employment follow-up services designed to ensure job retention, wage gains, and career progress such as:
 - Additional career planning and counseling;
 - Contact with the participant's employer
 - Assistance with work-related problems that may arise;
 - Peer support groups;
 - Information about additional educational opportunities;
 - Informational mailings; and
 - Referral to supportive services available in the community; and
- Case management services and any other required administrative caseload management activities that involve regular contact with the participant or employer to obtain information regarding the participant's employment status, educational progress, or need for additional services.

For purposes of Vocational Rehabilitation performance calculations, “exit” occurs when the case is closed because the participant achieved an employment outcome, or the service record is closed because the participant did not achieve an employment outcome or was determined ineligible after receiving services. VR participants who achieved a supported employment outcome in an integrated setting but not competitive integrated employment will not be exited.

Program	Point of being a Reportable Individual	Point of Being a Registrant	Point of Being a Participant	Point of Exit
WIOA Title I Adult/DW	Shows intent to use program AND <ul style="list-style-type: none"> Provides identifying information and Uses only self-service or informational services 	Information collected to support a determination of eligibility	Determined eligible AND begins receiving a WIOA Title I adult/DW service	The last date of service. Determined 90 days after no service (excluding self-service, informational, or follow-up) and applied retroactively to the last date of service.
WIOA Title I Youth	Same as above	NA	Determined eligible AND begins receiving a WIOA Title I youth service	Same as above
WIOA Title II Adult Education	Same as above	NA	Receives 12 hours or more of adult education services.	Same as above.
WIOA Title III Wagner-Peyser	Same as above.	NA	Reportable individuals who received staff-assisted employment services	Same as above.
WIOA Title IV Voc. Rehab.	Same as above	NA	Approved and signed Individualized Plan for Employment (IEP) <i>and</i> has begun to receive services	Participant achieved an employment outcome, or did not achieve an employment outcome or was determined ineligible after receiving services.