

# **STRATEGIC FIVE-YEAR STATE WORKFORCE INVESTMENT PLAN**

**TITLE I  
OF THE WORKFORCE INVESTMENT ACT OF 1998  
(WORKFORCE INVESTMENT SYSTEMS)**

**AND**

**THE WAGNER-PEYSER ACT**

**STATE  
OF  
CONNECTICUT**

**for the period of**

**July 1, 2000 to June 30, 2005**

**X   FULL PLAN or        TRANSITION PLAN**

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### **PREAMBLE**

Connecticut has adopted this strategic five-year workforce investment plan and the Wagner-Peyser plan in response to several key national and state-level initiatives. The recently enacted Workforce Investment Act of 1998 (WIA) is the most significant Federal employment and training legislation of the past two decades. In addition, Connecticut's newly adopted Public Act 99-195, an act concerning education, employment and job training programs (P.A. 99-195) reinforces the significance of WIA while establishing various initiatives promoting development of an effective workforce investment system in this state. (See Appendix A.) Governor Rowland's Executive Order No. 14 (the Executive Order) of April 12, 1999 establishes a JOBS Cabinet under the leadership of his Policy Advisor for Workforce Competitiveness to coordinate state-level workforce development efforts. (See Appendix B.) Overall policy guidance and oversight for workforce development will be provided by the Connecticut Employment and Training Commission (CETC), as the state's workforce investment board under WIA.

**NOTE:** Reflecting Connecticut's earlier structural adjustments in preparation for the passage of new federal legislation, the state-level workforce investment board is called the Connecticut Employment and Training Commission. Similarly, local workforce investment boards will continue to be called Regional Workforce Development Boards, and the state's One-Stop Centers will continue to be called *Connecticut Works Centers*.

## **EXECUTIVE SUMMARY**

### **General Overview of Connecticut's Workforce Investment System:**

Broad guidance and oversight of workforce development in Connecticut is provided by CETC, which is responsible under the authority of WIA and Connecticut General Statutes for establishing and promulgating workforce development policy. At the state level, coordination and administration of workforce development activities among state agencies is conducted by the Governor's JOBS Cabinet, under the direction of the Governor's Policy Advisor for Workforce Competitiveness. As provided under the Act, eight Regional Workforce Development Boards play the lead role at the local level to plan and coordinate workforce investment strategies, programs and services in broad collaboration with other key public- and private-sector partners. The Governor has designated the Connecticut Department of Labor (CTDOL) as the administrative entity for Title I and Title III programs, the State Department of Education (SDE) for Title II programs, and the Bureau of Rehabilitation Services (BRS) of the Department of Social Services as well as the Vocational Rehabilitation Division at the Board of Education and Services for the Blind (BESB) for Title IV programs under WIA. Together, through CETC and the JOBS Cabinet, state agency administration of WIA programs is a collaborative effort.

Connecticut's workforce development system is designed to meet the complementary needs of two sets of customers: employers seeking qualified employees; and workers and job-seekers pursuing career opportunities leading to economic security, including the under-employed, individuals with disabilities, and those making the transition from welfare to work. This plan is intended to address the employer/employee relationship at all levels of strategy, implementation and service delivery. The workforce development system guided by this plan re-emphasizes a broad commitment to the concept of life-long learning as a driving principle addressing the needs of all customers. It also includes a commitment to the concept of continuous improvement as an integral part of Connecticut's workforce development system, including the need to establish a continuous improvement monitoring program that can measure the degree to which the workforce development system under WIA meets the goals established by CETC.

### **Economic and Workforce Development Goals:**

Connecticut has adopted five major economic and workforce development goals to guide the evolution of its workforce investment system in the years 2000-2005.

#### **Goal 1: WORKFORCE INVESTMENT SYSTEM**

Connecticut will implement an integrated, accountable and universally accessible workforce investment system, with appropriate public and private resources to meet the complementary needs of the state's employers, workers and job-seekers. The structure of that system – featuring One-Stop service delivery – will reflect the roles, responsibilities and relationships of all key public and private-sector partners, including CETC, RWDBs, state and local agencies, employers and organized labor.

#### **Goal 2: STRATEGIC FOCUS**

Connecticut's workforce investment system will complement the state's economic development efforts by targeting the needs of the workforce and strategic industries. The system will continuously address major growth opportunities by identifying and disseminating timely and accurate labor market and other relevant information.

#### **Goal 3: SKILLS AND COMPETENCIES**

Connecticut's workforce investment system will impart knowledge, skills, competencies and credentials appropriate to the career paths of a changing economy and increasingly challenging workplace requirements, while seeking to retain and strengthen the high standards of existing apprenticeship and certification programs.

**Goal 4: ECONOMIC GROWTH**

The state's workforce investment system will promote economic growth for all Connecticut employers, workers and job-seekers. For employers, economic growth will be achieved by providing qualified workers and developing training options to upgrade the skills of incumbent workers. For workers and job-seekers, economic growth will be achieved through effective job search assistance and skill upgrading strategies leading to productive employment.

**Goal 5: YOUTH ISSUES**

Connecticut's workforce investment system will focus on meeting the educational and skill development requirements of the state's youth – including those who are at-risk and/or out-of-school – to bring them into the workforce as productive citizens. Strategies will include appropriate technical training initiatives.

**How the Statewide System Will Support the Goals:**

By the year 2005, Connecticut will develop and implement an integrated, accountable and universally accessible workforce investment system that serves the needs of the state's employers, workers and job-seekers and achieves the goals outlined above. The state's One-Stop delivery system (*Connecticut Works*) will streamline services by providing access electronically as well as through physical One-Stop centers which will build on existing *Connecticut Works* Career Centers. Universal access to core services guarantees barrier-free admission to all seekers of employment and training services, including individuals with disabilities. Connecticut will remain committed to the principle of life-long learning to offer its citizens the opportunity to continue building skills in pursuit of career growth and economic security. Wagner-Peyser, Unemployment Insurance (UI), Temporary Assistance to Needy Families (TANF) employment services, and federal Welfare-to-Work services will be fully integrated into the system, along with access to educational opportunities. Accountability will be ensured through the performance measurement system described later in this plan, as well as through reports submitted by CETC to the Governor and General Assembly regarding the state's progress in achieving performance measures, as required by state law.

Connecticut's young people between the ages of 14 and 21 will be provided with early and consistent attention to career choices and the world of work. Through local Youth Councils, and in coordination with the *Connecticut Works* delivery system, youth will be provided a comprehensive array of services, using the "Levitan Principles" as an underlying context for program development.

Available public and private resources will be used efficiently and effectively to achieve the goals and priorities established by this strategic five-year workforce investment plan for Connecticut. The key parties to this major statewide effort recognize the need to restructure and coordinate all relevant programs and services as necessary to satisfy customer needs and meet the goals set forth in this plan.

**Major Accomplishments of Connecticut's System, How It Looks Today, and How It Will Change:**

Connecticut's current system is well positioned to achieve the goals described above. As discussed, many of the key elements of policy guidance, oversight and implementation infrastructure are already in

place at both the state and local levels. Connecticut statutes have established a foundation of Regional Workforce Development Boards (RWDBs) at the local level, whose roles and responsibilities anticipate those envisioned by WIA for local workforce investment boards. Working over the past four years in close collaboration with the RWDBs, key state agencies and other local partners, Connecticut's Department of Labor (CTDOL) has taken the lead in establishing a statewide network of *Connecticut Works* One-Stop Career Centers. The physical locations of these centers are well positioned across the state. These centers already provide for the full integration of Wagner-Peyser, TANF, and federal Welfare-to-Work services at the local level, having tested new ways to provide accurate and timely consumer information to enhance customer choice concerning service options for a broad range of customers – job-seekers, workers and employers.

The principle and practice of service coordination is already well established in Connecticut among state agencies, other key service providers and RWDBs. The Governor's Policy Advisor for Workforce Competitiveness and the Secretary of the Office of Policy and Management (OPM) are coordinating formal planning and design efforts to ensure that state agencies work together to collaborate with RWDBs in designing a service delivery system, based in the state's comprehensive *Connecticut Works* centers, where all major partners will be on-site and where service delivery will be streamlined, integrated, and universally accessible to all who seek assistance.

#### **How Performance Will Improve:**

A critical component of Connecticut's planning process has been the development of statewide standards and the capacity to measure, report and track performance at all levels of the statewide system. Measuring the degree of achievement of those standards will enable a basic assessment of how well the state's workforce investment system has improved, and will enhance accountability. A continuous improvement component will be built into the system. Over the next five years, the state will pursue several key workforce investment priorities, including:

- Clarification of the levels, sources and nature of the resources required to operate an effective One-Stop system across the state;
- Clarification of the specific roles and responsibilities of each of the system's various partners, at both the state and local levels;
- Refinement of the capacity to identify, analyze and target driver industries and occupations as a strategic focus for workforce investment efforts;
- Ensuring universal access to the workforce investment system for all seekers of employment and training services, including individuals with disabilities;
- Improving and measuring the effectiveness of employment and training programs serving TANF recipients and other low-income workers and job-seekers by increasing their attachment to the labor force;
- Connecting workforce development and economic development efforts at both the state and local levels, making effective use of employer relationships generated through the Industry Cluster Initiative;
- Developing strategies that respond effectively to opportunities in urban centers as identified through the Initiative for a Competitive Inner City;
- Developing strategies that provide both basic education and occupational skills to recipients of public assistance and to low-wage workers in order to assist such job-seekers and workers in obtaining employment that will lead to economic self-sufficiency;
- Developing effective incumbent worker training, customized job training, on-the-job training, and other workplace-based training initiatives in support of viable life-long learning options;
- Developing a range of appropriately challenging skills credentialing and certification strategies;

- Developing a comprehensive mix of support strategies to sustain job retention and career advancement outcomes; and
- Reorientation and refinement of youth-focused strategies consistent with the state's goals and the requirements of WIA.

## I. PLAN DEVELOPMENT PROCESS

A. *Describe the process for developing the State Plan.*

### **The Planning Infrastructure**

With the passage of WIA as the backdrop, the State of Connecticut embarked upon a formal process of restructuring its policy and operational infrastructures at the state level, with a collaborative focus upon the development of the WIA Five-Year State Plan and oversight of the implementation of broad-based workforce investment strategies effective July 1, 2000. As the first step, the Governor designated the existing Connecticut Employment and Training Commission (CETC) as the State Workforce Investment Board called for under WIA, using the *Alternative Entity* provisions under Section 111(e) of the Act. A letter from the Governor informing the Secretary of Labor of the state's designation was transmitted on February 5, 1999 along with information on the Commission's current composition and membership. (See Appendix C.) CETC broadly represents the various state and local workforce investment constituencies including business, organized labor, Regional Workforce Development Boards, One-Stop (*Connecticut Works*) partners, educators (state and local) and community-based agencies; and it provides a collaborative foundation for guiding and managing the development of the state's Five-Year Plan. A majority of the Commission's members are from the private sector, as is its Chairman, providing an important "demand-side" orientation to CETC's work.

On April 12, 1999, the Governor established, through the Executive Order, a new JOBS Cabinet consisting of the state agencies that make up the core of Connecticut's economic and workforce development system. With CETC established as the state's WIA policy body, the JOBS Cabinet was created as the Governor's operational body for WIA implementation as well as for the integration of overall workforce development programs and services across state agencies. The JOBS Cabinet includes the following membership: the Commissioners of Labor, Economic and Community Development (DECD), Social Services (DSS) and Education (SDE); the Secretary of the Office of Policy and Management (OPM); and the Chancellor of the Community Colleges. The Executive Order also established a new Governor's Office for Workforce Competitiveness (OWC) and created the position of the Governor's Policy Advisor for Workforce Competitiveness, reporting directly to the Governor and acting as Chair of the JOBS Cabinet and Director of OWC. The staff of OWC provide professional support to both CETC and the JOBS Cabinet. The creation of the Policy Advisor position and OWC effectively concentrates both WIA policy development and operations at the state level in the Office of the Governor as called for under the Act. The OWC Director is authorized to draw upon officials and staff from any state agency in order to plan jointly for the use and coordination of the state's workforce investment resources.

In June 1999, the Connecticut General Assembly passed and the Governor signed P.A. 99-195. This legislation similarly authorized CETC to act as the State Workforce Investment Board, incorporating this authority under Connecticut General Statutes, as well as incorporating various other WIA provisions under state law. The passage of P.A. 99-195 effectively integrated and uniformly focused Connecticut's Executive and Legislative Branches on the development of the State Five-Year Plan and the implementation of the provisions of WIA generally. Through passage of this legislation, the Connecticut General Assembly has played a significant role in helping to lay a foundation for the restructuring of Connecticut's workforce investment system.

## **The Planning Process**

Once CETC was designated as the State Board under WIA, the Chairman immediately revised the CETC committee structure to facilitate the development of the State Five-Year Plan. The composition of existing committees and those to be developed were expanded to include a wider array of constituents, particularly from education, the RWDBs, community-based organizations and the private sector. The development of the State Five-Year Plan was divided into three general areas of pursuit:

1. State Policy and Organizational Matters: state WIA-related policy development, state vision and goals, state agency designations, local area designations, local CEO agreements/local board certifications, local needs assessment and planning processes, performance measures, local provider certification;
2. Connecticut Works System Design: *Connecticut Works* partner services, funding plan, administrative support, physical plant and program-access; and
3. General Planning Requirements Under Title I: market analysis, Title I allocation formulas, Title I services and programs, maintenance of eligible provider list, employer needs and services, employment statistics system.

The drafting of the State Plan was a collaborative process, with CTDOL playing a critical role as the designated WIA Title I administrative agency, along with other state agencies and the RWDBs. The needs assessment information developed by each of the RWDBs, following a significantly accelerated schedule, provided valuable perspective that augmented the state-level needs assessment information developed by the CTDOL Office of Research. Local needs assessment information helped to identify particular workforce needs of employers (through surveys and focus groups) as well as needs of various segments of the population in each region. The RWDBs' needs assessments also went farther than ever before in linking information on both the economic development and workforce development systems at the regional level.

CETC established an Ad Hoc WIA State Plan Committee to oversee the development of the State Five-Year Plan. This committee was designated as the "gatekeeper" for all activities related to the Five-Year Plan; all components of the Plan – whether policy or program – would come before the Ad Hoc WIA State Plan Committee for review and comment prior to receipt by the full Commission. CETC also established the Ad Hoc Committee on Local Investment Areas, which provided oversight on the development and implementation of the local area designation process. Several CETC Standing Committees – Performance Measurement, State Planning and Youth – assisted in the development of the State Five-Year Plan. The membership of these committees was expanded to include broad representation from the state and local workforce investment communities. In addition, the JOBS Cabinet was given responsibility for developing interagency strategies supporting the implementation of WIA for inclusion in the State Plan, particularly relating to support of the *Connecticut Works* System. In its capacity as staff to CETC and the JOBS Cabinet, OWC was assigned responsibility for managing and guiding the drafting, reviewing and public commenting process through CETC and the JOBS Cabinet.

A collaborative planning process was institutionalized through the composition of the committees and organizations identified above as well as through regular communication with various constituents having an interest in the planning process. In May 1999, the CETC Planning Committee sent a memo to workforce development stakeholders statewide, including RWDB directors and chairs, local elected

officials, Cabinet agencies and other key state agencies, service providers, legislative leadership, organized labor, business associations. The memo, seeking guidance on proposed goals for the Five-Year Plan, was accompanied by previous CETC goals, highlights of WIA priorities, and specific concerns identified by Planning Committee members. In July, responses from that public outreach were presented to and debated by the CETC Planning Committee. Draft goals were prepared in August, reflecting public input received. In September, public hearings on the draft goals were held in Hartford and Bridgeport. In October, the CETC Planning Committee met and directed revisions to the draft goals based on input received through the public hearing process. The revised goals were incorporated into the draft Five-Year Plan. In December, public hearings on the draft plan were held in Hartford and Bridgeport, after the draft plan had been publicized on the CETC Web site with invitations for public comment. In addition, numerous planning, information and technical assistance sessions were held with representatives from the RWDBs, including Directors and Board Chairs, on various aspects of the Five-Year Plan. They, in turn, were then more able to ensure the understanding and involvement of their respective chief elected officials. The Chairman of CETC and the OWC Director also communicated with chief elected officials through written correspondence and individual meetings with mayors, particularly from the major cities. Finally, special group sessions were held with private industry and community-based organizations to ensure their direct involvement in the design of the *Connecticut Works* System specifically and WIA generally.

## **II. State Vision and Goals**

*A. What are the State's broad strategic economic and workforce development goals?*

### **Connecticut Economic and Workforce Development Goals: 2000-2005**

#### **Goal 1: WORKFORCE INVESTMENT SYSTEM**

Connecticut will implement an integrated, accountable and universally accessible workforce investment system, with appropriate public and private resources to meet the complementary needs of the state's employers, workers and job-seekers. The structure of that system – featuring One-Stop service delivery – will reflect the roles, responsibilities and relationships of all key public and private-sector partners, including CETC, RWDBs, state and local agencies, employers and organized labor.

#### **Goal 2: STRATEGIC FOCUS**

Connecticut's workforce investment system will complement the state's economic development efforts by targeting the needs of the workforce and strategic industries. The system will continuously address major growth opportunities by identifying and disseminating timely and accurate labor market and other relevant information.

#### **Goal 3: SKILLS AND COMPETENCIES**

Connecticut's workforce investment system will impart knowledge, skills, competencies and credentials appropriate to the career paths of a changing economy and increasingly challenging workplace requirements, while seeking to retain and strengthen the high standards of existing apprenticeship and certification programs.

#### **Goal 4: ECONOMIC GROWTH**

The state's workforce investment system will promote economic growth for all Connecticut employers, workers and job-seekers. For employers, economic growth will be achieved by providing qualified workers and developing training options to upgrade the skills of incumbent workers. For workers and

job-seekers, economic growth will be achieved through effective job search assistance and skill upgrading strategies leading to productive employment.

**Goal 5: YOUTH ISSUES**

Connecticut's workforce investment system will focus on meeting the educational and skill development requirements of the state's youth – including those who are at-risk and/or out-of-school – to bring them into the workforce as productive citizens. Strategies will include appropriate technical training initiatives.

*B. Provide (in a few paragraphs) the State's vision of how the WIA statewide investment system will help the State attain these goals.*

**Vision:**

By the year 2005, Connecticut will have developed and implemented an integrated, accountable and universally accessible workforce investment system that effectively and efficiently serves the needs of the state's employers, workers and job-seekers, and achieves the goals outlined above. This vision builds upon experience at both the state and local levels in planning and establishing a system based on RWDBs and *Connecticut Works* Career Centers, and in delivering services through that existing integrated system of workforce development.

Within the next five years, the system will have streamlined services by providing access electronically as well as through physical *Connecticut Works* Centers, building on existing Centers. In addition, forms and paperwork requirements will be streamlined, for employers as well as for job-seekers and workers. Programs and funding streams supporting service delivery through the system will include, at a minimum: adult, dislocated worker and youth activities under WIA Title I; Wagner-Peyser and TANF employment services; adult education; post-secondary vocational education; federal Welfare-to-Work; vocational rehabilitation programs under BRS and BESB under WIA Title IV; Title V of the Older Americans Act; Trade Adjustment; NAFTA Transitional Adjustment Assistance; veterans employment and training programs; community services block grant; and employment and training activities carried out by the U.S. Department of Housing and Urban Development. As noted earlier, universal access to core services guarantees barrier-free admission to all seekers of employment and training services, including individuals with disabilities.

Training programs available through the *Connecticut Works* centers for employers, workers and job-seekers will be comprehensive and flexible to meet the diverse needs of the state's population. At the same time, the training system will keep abreast of the ever-changing conditions of the workplace and the economy in an age heavily influenced by technology and globalization. Training programs will be available to allow employees and job-seekers to upgrade their skills continually in order to meet the competitive needs of the state's employers. The use of industry skill certifications, developed and evaluated by the private sector, and other portable credentials valued by employers will be promoted and made routine training components. Training and education programs will be flexible and will meet the just-in-time requirements of growth industries with increased use of certificate programs and other alternatives to standard degree programs operated by post-secondary institutions. The expanded use of teleconferencing, on-line certificate and degree programs, and the use of other technology-based education and training strategies will be promoted and encouraged. At the same time, continuing education requirements for teachers and development programs for training professionals will be revised to promote the integration of technology into teaching and learning and to develop the technical skills of the state's educational and training professionals. Finally, Connecticut's training resources will be market-driven and will be guided by regularly updated occupational-demand information, refined by

industry and geography, with a comprehensive view of workforce needs, from entry level to the technologically advanced.

Connecticut will remain committed to the principle of life-long learning to offer its citizens the opportunity to continue building their skills in pursuit of career growth and economic security. In the WIA *Connecticut Works* program, a balance-of-services system will be implemented in which those customers who need training will be able either to access it through the use of Individual Training Accounts (ITAs), which can be used for training programs certified as eligible by RWDBs, or through contracted services. A variety of funding sources will be used to support this balance-of-services system of training. Informed customer choice will be ensured through use of a consumer reports system built upon the statewide list of eligible training providers. The consumer reports system will contain the information (including performance and cost data) necessary for an adult or dislocated worker customer to fully understand the options available in choosing a program of training services.

To meet the needs of employers, the state will continue to expand the way training is delivered, by developing and incorporating distance learning training programs. One-Stop Centers will work with entities such as the Connecticut Distance Learning Consortium to develop distance learning training programs.

Wagner-Peyser and Unemployment Insurance (UI) will be fully integrated into the system through an array of core services (including electronic capability) that provides accurate information to customers regarding access to a broad range of services, including UI. Using core services funded partially through Wagner-Peyser, customers will be directed (or, in many cases, will be able to direct themselves without help) to the services they need. Core services and related information will be provided through a variety of methods: Internet services (labor market information, America's Job Bank, Talent Bank, access to services available through CTDOL and partners, and America's Career Net); self-service (career resource rooms, kiosks); and mediated services (UI, Trade Adjustment Assistance/NAFTA, veterans' services, public labor exchange, advocacy services, TANF and Welfare-to-Work services, centralized job bank, apprenticeship services, workshops, School-to-Career (*Connecticut Learns*), counseling, and services for migrant and seasonal farmworkers (MSFWs) such as alien labor certification, referrals to supportive services, and interpreter services).

The state's workforce investment service delivery system (*Connecticut Works* One-Stop system) will help achieve the goals of the state's welfare, education and economic development systems by including the local TANF agency, DSS (including vocational programs of BRS and BESB), state and local educational organizations, and DECD as partners.

Connecticut's young people between the ages of 14 and 21 will be provided with early and consistent attention to career choices and the world of work. Of particular importance, the needs of the state's most vulnerable youth – those who are out of school, involved in the juvenile justice system, those with disabilities, or living in poverty – will be adequately met. They will be offered real pathways leading to productive and satisfying careers. Youth programs will be expanded and enhanced through the efforts of local Youth Councils, with statewide oversight provided by the CETC Youth Committee. Through the Youth Councils, and in coordination with the *Connecticut Works* system, youth will be provided a comprehensive array of services, including: preparation for post-secondary educational opportunities; strong linkages between academic and occupational learning; preparation for unsubsidized employment opportunities; effective linkages with intermediaries with strong employer connections; alternative secondary school services; summer employment opportunities; paid and unpaid work experience; occupational skills training; leadership development opportunities; comprehensive guidance and

counseling; supportive services; and follow-up services. These comprehensive services to youth will be offered using the "Levitan Principles" (developed by the Sar Levitan Center for Social Policy Studies at Johns Hopkins University) as an underlying context for program development.

*C. Identify the performance indicators and goals the State has established to track its progress toward meeting its strategic goals and implementing its vision for the workforce investment system.*

The performance levels indicated in the chart on the following page were negotiated with representatives of USDOL, Region I. Those levels correspond to the performance goals enclosed with a June 12, 2000 letter to Governor Rowland from Robert J. Semler, USDOL Regional Administrator, notifying the Governor that Connecticut's five-year WIA and Wagner-Peyser Act State Plan had been approved.

**WIA STATEWIDE NEGOTIATED PERFORMANCE LEVELS**

<b>Performance Measure</b>	<b>Performance Levels</b>		
	<b>PY 2000</b>	<b>PY 2001</b>	<b>PY 2002</b>
<i>Adults</i>			
Entered Employment Rate	72%	74%	76%
Employment Retention Rate at Six Months	78%	80%	82%
Average Earnings Change in Six Months	\$3100	\$3200	\$3300
Employment and Credential Rate	52%	55%	60%
<i>Dislocated Workers</i>			
Entered Employment Rate	76%	78%	80%
Employment Retention Rate	85%	86%	88%

Earnings Replacement Rate in Six Months	82%	84%	85%
Employment and Credential Rate	52%	55%	60%

***Youth Aged 19-21***

Entered Employment Rate	66%	68%	70%
Employment Retention Rate at Six Months	76%	78%	80%
Average Earnings Change in Six Months	\$3100	\$3200	\$3300
Credential Rate	46%	48%	50%

***Youth Aged 14-18***

Skill Attainment Rate	63%	65%	67%
Diploma or Equivalent Attainment	48%	50%	52%
Younger Youth Retention Rate (in post-secondary education, advanced training, employment, military service, or qualified apprenticeships)	53%	54%	55%
<b><i>Participant Customer Satisfaction</i></b>	68	70	72
<b><i>Employer Customer Satisfaction</i></b>	64	66	68

In addition to the above Title I core indicators, other performance indicators are being developed to measure the effectiveness of the workforce investment system in providing services to TANF and Welfare-to-Work recipients. Performance indicators may also be developed for other programs that serve workers and job-seekers through Connecticut’s integrated workforce development system.

**III. Assessment**

**A. Market Analysis**

1. *Describe the key trends that are expected to shape the economic environment of the State during the next five years. Which industries are expected to grow? Which will contract? What are the economic development needs of the state? What data sources support the State's market analysis? What data sources support the State's market analysis?*

CTDOL’s Office of Research (OR) has published *Choices Today - A High Performance Workforce Tomorrow*, a compilation of workforce and economic data and analyses designed to inform the development of a needs assessment for this Five-Year Plan. It contains data drawn from a variety of sources including the OR itself, the Federal Bureau of Labor Statistics, the U.S. Bureau of the Census and others. The following description of the major workforce development needs faced by the state is based on the information found in that publication.

**Key Trends:**

During the 1990’s the state endured a long and difficult recession and recovery period. A significant restructuring of the economy took place, affecting businesses in almost every industry and workers across the spectrum of blue-collar, skilled crafts, and white-collar management occupations. Periods of

unemployment experienced by workers were longer than ever before recorded. As the end of the decade approaches, the state's economy is now stronger, shows dramatically reduced unemployment rates, and is less reliant on the hiring presence of a few dominant industries. Jobs are plentiful, but businesses are now having difficulty finding workers with the skills they need. Roughly half of the projected job openings are in entry-level jobs, but the fact that these openings are spread across a wide range of occupations presents challenges to the state's workforce investment system in terms of training. These factors, coupled with the needs experienced during the recessionary period, spotlight the importance of developing a flexible workforce.

### **Industries Expected to Grow:**

Connecticut's industries are growing in general, with many projected to need more qualified workers during the next five years. Accordingly, it is important to ensure that workers understand that they have broad career options and that they receive assistance in choosing careers.

The industries projected to grow significantly over the next five years include: health services, business services, self-employment, social services, amusement and recreation, educational services and engineering management services.

Industries projected to grow less significantly include: manufacturing of instruments, food and kindred products, textiles, primary metals and transportation equipment manufacturing.

### **Economic Development Needs of the State:**

In 1998 DECD launched a major Industry Cluster Initiative. This bold effort links the private sector and government in a common strategy for business and workforce development. A number of clusters have already begun organizing, including BioScience, Aerospace, Software/IT, Metal Manufacturing, Tourism, Financial, Telecommunications, and Health Services. They have begun (1) creating cluster-specific recruitment and training strategies, (2) focusing public and non-profit workforce development resources on clusters, and (3) ensuring demand-driven workforce services are established on a large scale. Workforce development is the primary factor that will determine the success of industry clusters.

The creation of training programs – both public and private – that meet the needs of Connecticut's businesses and workforce is vital to the state. Connecticut's current and future workers must be provided with the education and training necessary to fill new job needs. The challenges of a changing workplace require that educators, counselors, planners, and training program operators gather the information that will make them aware of the types of jobs in demand, the numbers of workers needed, and the levels of training required. To meet this need, CTDOL has published *Making the Future Yours: A Comparison of Job Openings and Education & Training Graduates*. Professionals in the workforce investment system can refer to this type of information to better match the supply of people currently being trained in specific areas with the demand for workers with specific occupational skills, so they will be able to make more informed decisions on the need for expanding, reducing, or initiating occupational training programs.

*2. Identify the implications of key economic trends in terms of overall availability of employment opportunities by occupations, and the skills necessary in key occupations.*

An important part of developing a high performance workforce is anticipating expected changes in occupational makeup. With over 1.6 million people employed in Connecticut and an unemployment rate hovering around three percent, planning the development of the state's future workforce requires

information on which occupational areas are growing and which are not. The CTDOL's OR is responsible for developing and revising occupational and industrial projections for Connecticut and its regions. Those projections are published in Connecticut Forecast 2006: A Look at Today's and Tomorrow's Industries, Occupations, and Training Needs 1996 – 2006 which is designed to provide that information in a useful format. As provided through WIA, and under the guidance of the CETC, the state's capacity to predict occupational demand will be expanded through improvements in the Employment Statistics System and with stronger collaboration between CTDOL's Office of Research, the RWDBs and other agencies having access to economic and workforce statistical information.

When looking at occupational areas for training purposes, there are three ways to accomplish this: first, by selection of those with a high number of openings due to growth; second, by overall growth rate; and third, by the most anticipated job openings. The table on the following page lists the top 15 in each category on a statewide\* basis.

- *This information is also available on a regional basis.*

By Growth	By Growth Rate	By Total Openings
Systems Analysts	Computer Engineers	Salespersons, Retail
Salespersons, Retail	Systems Analysts	Cashiers
Registered Nurses	Security/Financial Sales Agents	Waiters & Waitresses
Waiters & Waitresses	Physical & Corrective Therapy Assistants	Systems Analysts
Marketing Supervisors	Biological Scientists	Secretaries
Clerical Supervisors	Amusement Attendants	Marketing Supervisors
Cashiers	Human Services Workers	Clerical Supervisors
Home Health Aides	Medical Assistants	Registered Nurses
Computer Engineers	Physical Therapists	General Office Clerks
Security/Financial Sales Agents	Corrections Officers	Janitors and Cleaners
Nurse Aides	Home Health Aides	Nurse Aides
Receptionists and Information Clerks	Child Care Workers	Teachers, Secondary School
Accountants	Hotel Desk Clerks	Accountants
Secretaries	Adjustment Clerks	Receptionists and Information Clerks
Truck Drivers	Operations Research Analysts	Home Health Aides

**Workplace Skills:**

In today's ever-changing workplace, different industry sectors require persons with specialized skills. Findings from recent surveys of businesses have shown that firms in the Service or Trade sector may have a strong need for employees with communication and customer service skills; while those in the Manufacturing and Financial Sectors may require individuals with technical or job specific skills, such as ISO 9000. However, employers seem to feel that the following are general skills needed in today's workplace: Oral Communication, Written Communication, Computer, Technical, Customer Service, Teamwork, Mathematical Reasoning Skills, and also the Ability/Willingness to Learn, and to Get and Comprehend Information Needed to do the Job. In areas where national or state industry skill standards exist, they will be used to determine if proposed training programs will meet industry requirements.

The importance of a specific skill, and the level of knowledge or expertise required, however, vary with each job. For example, skill in mathematics is important to accountants & auditors (100%) and also to bookkeeping, accounting, audit clerks (96%). However the required level of mathematics is higher for the accountants (76%) than for the clerks (60%). This type of information is available through the Occupational Information Network (O\*NET), which contains comprehensive information on job requirements and worker competencies for about 1,200 occupations. Usage of O\*NET data allows occupational training providers to place the emphasis on the skills that are needed to perform a specific job. O\*NET can also be a useful tool in identifying skills that are transferable from one occupation to another by relating a set of skills to other occupations that require them. O\*NET is available through the internet at: <http://www.doleta.gov/programs/onet/index.htm>. Strategies and figures will be updated on a regular basis.

### *3. Who are the customers of the State's workforce investment system?*

Connecticut employers, one major customer group, are dealing with a tight labor market and wide global competition. To meet the universal needs of these customers, a high-quality and flexible workforce is needed. This will require finding ways to attract and keep skilled workers actively involved in and enthusiastic about the Connecticut workplace, to promote ongoing education and training of incumbent workers, and to make life-long learning possible.

Along with employers, various categories of workers are also major customers whose needs must be addressed. These include older workers, dislocated workers, mainstream workers needing skills updates and job changes, new entrants to the workforce, students preparing to complete school and join the workforce, single parents, women, individuals who have left the welfare system but who are seeking increased skills or higher-wage jobs, and people with disabilities.

In addressing the needs of workers and employers, Connecticut policy will take into account the composition of the state's workforce, including its age. Experienced workers (including older workers) have valuable skills needed by employers. In addition, younger workers and students need better preparation to enter the workforce. Programs that assist students to relate their academic experience to career choices and the workplace will be encouraged.

### **Workforce Customers and Diversity:**

Welfare reform has been bringing a substantial number of persons into the workforce. DSS reports that between January 1996 and October 1999, there have been 29,684 families discontinued from the Temporary Family Assistance (the state's TANF cash assistance program) with earnings above the federal poverty level. In addition, over 17,000 families have been discontinued during the same period with income, primarily earnings, above the welfare payment standard. Discontinuance for these reasons demonstrates that the individuals have established a substantial attachment to the workforce. Attention needs to be given to developing the skills of these individuals so that this number of added workers can

remain employed, grow their skills, and make their contribution toward easing the constriction of the state's labor pool.

In addition, of those remaining on the TANF cash assistance caseload, many face significant barriers to employment. The workforce system is adapting to address the needs of this population by linking them to services that provide basic skills and others that address personal barriers to employment such as mental health, substance abuse, and family violence services.

Another sizable resource for new entrants to the state's worker pool comes from individuals immigrating from outside the state. It has been recognized both nationally and in Connecticut that such immigration will be a welcome means for expanding our labor force. According to the Immigration and Naturalization Service, in April 1996 Connecticut was home to 126,000 foreign nationals who are legal permanent resident aliens (not all of whom are working age).

Also, data for 1997 indicates that at that time our civilian working age population included 174,000 individuals whose primary language is not English. This demographic reality has implications for language-related requirements in education and training.

In 1997 over sixty percent of the female population over the age of sixteen was participating in Connecticut's workforce. The ongoing rise in the number of women employed in the state requires a continued focus on the special concerns of working parents, especially single parents. Child care and flexible work hours continue to be important in ensuring the availability of these members of the workforce.

Workers with disabilities represent a cross-section of the workforce in all aspects: age, gender, economic status, ethnicity and skill levels. The workforce investment system, through linkages with the vocational rehabilitation programs under Title IV, will ensure coordinated access to both the generic services of the system and the specialized disability-related services available through the vocational rehabilitation programs of BRS and BESB. Working in partnership with Vocational Rehabilitation, employers will recognize the skills and abilities of individuals with disabilities, expand the pool of qualified applicants for new or vacant positions, and have greater success in maintaining employment for individuals with disabilities.

To sustain a healthy business economy, Connecticut's businesses will have to prepare for the impact of a smaller number of young people entering the workforce, early retirements, and employee turnover by tapping its pool of older workers. By 2010, persons aged 45 to 64 will have increased from 37 percent to 44 percent of the working age population. Between 2000 and 2010, the working age population between 20 and 44 is expected to decline by 8 percent. Connecticut's workforce investment system will build on its current efforts to serve older workers by developing strategies for ensuring that employers quickly tap into the resources available through this population.

*4. Given the projected job skills needed in the State, identify for each of your customer segments their projected skill development needs.*

To assist individual workforce participants, education and training providers will start by helping them to identify their existing universal worker skills or, where necessary, assist them in developing those. To accomplish this training, professionals will have to find effective ways to address universal skills development. The following will be topics for short-term workshop training:

1. Learning the fundamentals of “win/win” negotiating to foster the universal skills of oral expression, getting the information to do the job, communicating, active listening, establishing and maintaining relationships, and other generally useful life skills.
2. Teaching skills to build strength in analyzing and evaluating data, setting priorities, working under pressure, creative thinking, critical thinking, and others.
3. Using O\*NET to explore and identify the variety of jobs that use particular skills and meet particular interests to help individual job seekers to value their own abilities, realize their occupational options, expand their capacity for decision-making, and build self-esteem.
4. Training in business math and business writing will be structured to improve individual strengths in those academic areas as well as develop oral and written comprehension, oral and written expression, and communication skills.
5. Training for women in higher-wage nontraditional occupations is needed; as noted on page 52, such training will be included in Connecticut’s workforce development system under WIA.
6. For significant numbers of the potential workforce, training in basic skills (Adult Basic Education, ESL, and literacy) is needed. These kinds of training will also be offered.

## **B. State Readiness Analysis**

### **1. Leadership**

#### **a. State Workforce Investment Board**

In 1989, CETC was established by an Act of the Connecticut General Assembly. The duties and responsibilities of CETC included carrying out the functions of the state job training coordinating council as required by JTPA, evaluating the effectiveness of the state’s job training system, and developing a plan for the coordination of the state’s employment and training resources. The Commission currently consists of 24 members, representing business and industry, government, organized labor, education, and community-based organizations.

In February, 1999 Governor Rowland designated CETC as Connecticut’s State Workforce Investment Board pursuant to the provisions of Section 111(e) of the Workforce Investment Act. In June, 1999, the Connecticut General Assembly passed Public Act 99-195 which authorized CETC to implement the Workforce Investment Act.

The attached chart depicts the organization and structure of CETC. (See Appendix D.) The Commission includes representation from business and industry, state agencies, organized labor, education, community-based organizations and the General Assembly. The CETC subcommittees include representation extending beyond this to include community-technical colleges, individuals with experience with youth, individuals with experience serving persons with disabilities, and regional workforce development boards. Specifically, the CETC Ad Hoc WIA State Plan Committee which has primary responsibility for the planning and implementation of the of the state’s workforce investment system, includes representation from business and industry, state agencies representing One-Stop partners, community based organizations, organized labor, Community Colleges, and RWDBs.

The following three entities are not presently members of the Connecticut Employment and Training Commission.

- **The Governor**

The Governor is represented by his Policy Advisor on Workforce Competitiveness, Mary Ann Hanley, who chairs the JOBS Cabinet and directs the Office for Workforce Competitiveness, as well as being an ex officio member of CETC.

- **The State Legislature**

One member of the House of Representatives, State Rep. Sonya Googins, not only is a member of CETC but also serves as Co-Chair of the Performance Measurement Committee. In that capacity, she has been closely involved in the planning process for WIA, and will continue her involvement as implementation progresses. Another member of the House, Rep. Mary Fritz, is an ex officio member of CETC and was instrumental in achieving legislative participation in the development and approval of the state's five-year WIA plan. Several members of the state Senate were also involved in the planning and approval process.

- **Chief Elected Officials**

CETC has involved all of Connecticut's chief elected officials in the WIA planning and implementation process. As part of the implementation process, they have been directly involved in the formation of the local Boards as well as the local CEO agreements.

In the filling of future vacancies pursuant to Connecticut Public Act 99-195, particular attention will be paid to the entities which are not presently represented on CETC.

The functions of CETC in meeting the WIA goals set forth in sections 111(a-c), 111(e), and 112(b)(1) are consistent with the requirements of Connecticut P.A. 99-195. Appendix G outlines the response to the planning requirements of P.A. 99-195 which supplement the WIA requirements.

CETC members are appointed by the Governor from recommendations received from business organizations, state labor federations and other workforce development organizations. The Governor appoints members based upon their qualifications, and also attempts to ensure that the membership reasonably represents the population of Connecticut. The broad array of interests represented on CETC and its committees and the general practice of inclusiveness relating to vision and goal setting, planning for workforce investment, and setting implementation strategies, has set a strong foundation from which to work toward achievement of the state's vision.

CETC is the Governor's chief workforce development policy body and as such provides direction-setting leadership for Connecticut's workforce investment system. CETC also provides leadership for the statewide system by providing policy direction to the Governor's JOBS Cabinet. The Cabinet, in turn, acts as the implementation arm for the statewide policies developed by CETC. The Director of OWC serves as Chair to the JOBS Cabinet and serves in conjunction with the CETC Chairman as the Governor's principal advisor on workforce investment matters. The staff of OWC support the work of OWC, CETC and the JOBS Cabinet. This structure provides strong linkages between CETC's policy and oversight role and the operational role of the state's workforce investment agencies.

CETC has a state legislative mandate to develop a plan for the review and coordination of all employment and training activities in the state to determine if they meet the needs of Connecticut's citizens. This plan, now in conjunction with the state's Five-Year Plan, serves as the blueprint for the Commission to carry out its functions. CETC assembles workforce and economic data in order to formulate informed policy and planning directions. Its committee structure guides and supports the direction-setting leadership of the Commission. The Planning Committee is responsible for the development of the state's workforce investment goals; the Performance Measurement Committee had responsibility for the portion of the plan dealing with the development of performance measures and will continue to play a lead role throughout the performance level negotiation process; the Youth Committee will oversee the implementation of the youth portion of the Five-Year Plan; the Ad Hoc WIA State Plan Committee had the lead role in management over the development of the State Five-Year Plan and the Connecticut Works system design process; and the Welfare Reform Committee will continue to identify enhancements to the state's welfare reform initiative, overseeing integration of service delivery to welfare clients with the implementation of the *Connecticut Works* system in Connecticut.

CETC coordinates and interacts with the RWDBs in many ways. RWDB members and staff participate on the CETC committees; and the Chairman of the Connecticut Workforce Development Council (a statewide organization representing the RWDBs) serves as Vice Chair of CETC. The CETC Chairman and the OWC Director meet with RWDB Chairs to share information and obtain input on policy issues. Also, the CETC Chair and OWC Director are invited to participate in both RWDB and Workforce Development Council meetings. RWDB plans are submitted to CETC for review and comment, ensuring that local goals and objectives are consistent with CETC's vision and providing an opportunity for Commission members to become familiar with local workforce investment activities throughout the state. CETC staff act as liaisons to the RWDBs and provide technical assistance and support for their administrative and planning activities.

Public notice of CETC quarterly meetings is filed with the Office of the Secretary of the State in accordance with Connecticut General Statutes. A calendar of meetings of CETC and its committees is also posted to the CETC Web site. All CETC and committee meetings are open, and all interested individuals are encouraged to attend.

CETC also routinely conducts public hearings during the development of the statewide economic and workforce development goals, and conducted public hearings on the state's five-year workforce investment plan. Information concerning CETC, its membership and its committees is available to the public upon request.

Reasonable accommodations will be made to provide accessibility to CETC (State Board) meetings to people with disabilities. Meeting sites will have wheelchair accessibility and handicapped parking spaces. Hearing-impaired interpreter services will be secured with advance notification and written materials will be made available in large bold print for the visually impaired. Additional accommodations may be made upon request.

*b. Identify the circumstances which constitute a conflict of interest for any State or local Workforce Investment Board member, including voting on any matter regarding the provision of service by that member or the entity that s/he represents, and any matter that would provide a financial benefit to that member or his or her immediate family.*

The CETC by-laws make the following provisions relative to conflict of interest:

- Members of the Commission shall not receive compensation for their services, but may be reimbursed out-of-pocket expenses directly related to the discharge of the Commission's affairs.
- No CETC member may receive anything of value as a result of a benefit conferred by the State of Connecticut upon an organization with which the Commission member is affiliated.
- A Commission member must disclose with particularity the nature and extent of any affiliation with an organization that is seeking anything of value from the State of Connecticut prior to consideration of the request by the Commission or an appropriate committee thereof.
- No member shall vote on a question in which he or she has a direct personal or pecuniary interest not common to other members of CETC. The minutes of the meeting shall record compliance with this requirement. The interested member may briefly state his or her position regarding the subject or may answer questions of other members, since his or her knowledge may be of assistance.

In addition, the CETC policy regarding conflict of interest for state and local Workforce Investment Board members has been revised to extend the prohibition against members voting on matters which would have financial benefit to the member. The extension also covers matters which would benefit the member's immediate family. This revision was enacted at the most recent meeting of the full CETC on June 15, 2000.

CTDOL policy outlines the following regarding conflict of interest for local Board membership:

- No member of any Board shall cast a vote on the provision of services by that member or organization which that member directly represents, or vote on any matter which would provide direct financial benefit to that member.
- There will be no vendor representation on Board committees that make funding recommendations.
- Board members who have vendor affiliations must disqualify themselves from any Board funding discussions and/or votes. This includes direct and indirect affiliation.
- There must be documented evidence of a distinction between the Board review and assessment of proposals for funding and staff review.

*c. Identify the criteria the State has established to be used by the chief elected official (s) in the local areas for the appointment of local Board members based on the requirements of section 117.*

The chief elected official(s) will use the criteria outlined in section 117(b)(2) of the Workforce Investment Act and those outlined in P.A. 99-195, Section 5 for the appointment of local board members. (See Appendix E-1.)

#### **d. Allocation Formulas**

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

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

Connecticut will allocate the Adult and Youth formula funds under Title I of the Workforce Investment Act by utilizing the three part WIA formula (1/3 poverty, 1/3 areas of substantial unemployment and 1/3 areas of excess unemployment) for Program Year 2000. Options available to the state have been examined (including the allocating of up to 30% of the funds in a discretionary formula) and it has been determined that the previously used methodology would provide the most fair and stable method of distributing WIA Adult and Youth funds. While the use of the discretionary allocation formula will not be adopted for PY 2000, the use of discretionary formula criteria has been considered to be a viable option for the future and will continue to be studied by CETC. The Governor has decided to invoke the hold-harmless option recently made available by USDOL, in order to ensure an orderly transition from JTPA to WIA.

*ii. Describe the State’s allocation formula for dislocated worker funds pursuant to section 133(b)(2)(B).*

The funding allocation formula for dislocated worker funds is reflected in the following information.

The formula to be used to allocate funds for Dislocated Workers is more volatile than the Adult or Youth formula. Unlike the Adult and Youth formula that mandates the percentage application for a minimum of 70% of each area’s formula funds, the Dislocated Worker formula percentages are left to the State’s discretion. Considerable research has been done on funding percentage options available and Connecticut has decided to utilize the same percentages previously used for the PY 99 JTPA program year (see following chart). We understand that there is no hold-harmless provision for the Dislocated Worker program.

<b>Allocation Factor</b>	<b>Data Source &amp; Time Period</b>	<b>Weight Assigned in Formula</b>
Insured unemployment data	<b>Monthly Report of Insured Unemployed September 1999</b>	<b>5%</b>
Unemployment concentrations data	<b>Monthly Report of Total Unemployed September 1999</b>	<b>35%</b>
Plant closing & mass layoff data	<b>Dislocated Workers by Area September 1999</b>	<b>30%</b>
Declining Industries Data	<b>Manufacturing Employment by Area March 1998 - September 1999</b>	<b>15%</b>
Farmer/Rancher economic hardship data		<b>0%</b>
Long-term unemployment data	<b>Current Claimants Collecting Benefits for 15+ weeks and exhaustees September 1999</b>	<b>15%</b>

iii. For each funding stream, include a chart that identifies the formula allocation to each local area for the first fiscal year, describe how the individuals and entities represented on the State Board were involved in the development of factors, and describe how consultation with the local boards and local elected officials occurred.

(See attached 3/7/00 memo from Lorna Joseph for final PY 2000 allocations for each local area.)

**Adult and Youth:**

The state will allocate 100 percent of the funds utilizing the three-part WIA formula (1/3 poverty, 1/3 areas of substantial unemployment, and 1/3 areas of excess unemployment) for Program Year 2000. The new WIA formula areas are virtually the same as those used in JTPA. The use of this formula will provide for consistency during the initial year of WIA implementation.

**Dislocated Workers:**

The formula to be used to allocate funds for Dislocated Workers presents more difficulty and opportunity than the Adult or Youth formula. WIA mandates that six factors be used:

1. Insured unemployment data
2. Unemployment concentrations data
3. Plant closing and mass layoff data
4. Declining Industries data
5. Farmer/Rancher economic hardship data
6. Long-term unemployment data

In Connecticut, the Program Year 2000 WIA formula will utilize the following percentages for allocation of Dislocated Worker funds:

	<u>Current</u>	<u>WIA</u>
1. Insured unemployment data	5%	5%
2. Unemployment concentrations data	35%	35%
3. Plant closing and mass layoff data	30%	30%
4. Declining Industries data	15%	15%
5. Farmer/Rancher economic hardship data	0	0
6. Long-term unemployment data	15%	15%

While each area’s individual data may change significantly, this recommendation will provide the most stability to the formula and some level of continuity with regard to service levels within the local areas.

e. Describe the competitive and non-competitive process that will be used at the State level to award grants and contracts for activities under Title I of WIA, including how potential bidders are being made aware of the availability of grants and contracts.

(With regard to youth activities, the following response also relates to the state's transitional youth plan.)

- For grants and other employment and training contracts (including contracts for youth activities), the selection of service providers will be made on a competitive basis. The procurement process to be used is based on the OMB circulars and uniform administrative requirements as codified in 29 CFR Part 97.

- For grants and other employment and training contracts, a request for proposals (RFP) will be issued. Bids will be solicited by placing ads in the newspapers, and a notice will be placed on the Connecticut Department of Labor’s electronic bulletin board through its website. For awarding personal service agreements for administrative services, or a purchase order for goods or material, there is a threshold. Those contracts with amounts above the threshold will require an RFP or RFQ (request for quotes) and must be advertised through the newspapers and CTDOL's electronic bulletin board. Those contracts below the threshold, although still competitive, can have bids solicited by more informal means.

In awarding contracts (Personal Service Agreements) for administrative services under Title I of WIA at the State level, Connecticut will follow State Procedures issued by Connecticut’s Office of Policy and Management (OPM). In awarding purchase orders for goods or material the state shall follow the requirements established by its Department of Administrative Services.

- All solicitations shall (a) include a clear and accurate description of the technical requirements for the service to be procured; (b) identify all requirements which the offerors must fulfill and all other factors to be used in evaluating proposals; (c) ensure that all prequalified lists of persons, firms, or other organizations which are used in acquiring services are current and include sufficient numbers of qualified sources to ensure maximum open and free competition. The award shall go to the responsible offeror whose proposal is most advantageous to the program with price, technical, and other factors considered. Such determination will be in writing and will take into consideration whether the organization has: adequate financial resources or ability to obtain them; the ability to meet the program design specifications at a reasonable cost, as well as the ability to meet performance goals; a satisfactory record of past performance; a satisfactory record of integrity, business ethics, and fiscal accountability; the necessary organization, experience, accounting and operational controls; and the technical skills to perform the work.

Procurements by non-competitive proposals (solicitation of a proposal from only one source, the funding of an unsolicited proposal, or after solicitation of a number of sources, when competition is determined inadequate) shall be minimized to the extent practicable, but in every case, the use of non-competitive procurements shall be justified and documented. This type of procurement shall be used only when the award of a grant is infeasible under competitive proposals and one of the following circumstances applies:

- The item or service is available only from a single source, or the provider has a unique capacity to provide the services;
- The public exigency or emergency need for the item or service does not permit a delay resulting from competitive solicitation;
- After solicitation of a number of sources, competition is determined inadequate

*f. Identify the criteria to be used by local Boards in awarding grants for youth activities, including criteria used by the Governor and local Boards to identify effective and ineffective youth activities and providers.*

The CETC Youth Committee has determined that the “Levitan Principles” can serve as a broad foundation of criteria to be used by RWDBs in awarding grants for youth activities. RWDBs will be required to ensure that youth grants in a local area collectively include a range of activities sufficiently broad to address all of the principles effectively. The Levitan Principles also provide a context within which effective programs will be identified and developed. (The principles are listed later, under the Youth section, on pages 59-60.)

In addition, by using PEPNet (Promising and Effective Practices Network), which incorporates the Levitan Principles, the state will identify and recognize initiatives that meet criteria for effective practice in youth employment and development and provide criteria designed to improve youth employment practice. PEPNet, established in cooperation with USDOL, provides a context and methodology for awarding youth activity grants and identifying effective youth activities and providers.

*g. If you did not delegate this responsibility to local Boards, provide your State's definition regarding the sixth youth eligibility criterion at section 101(13)C(vi).*

Connecticut has delegated this responsibility to the RWDBs.

**h. State Policies and Requirements ( 112(6)(2))**

*i. Describe major State policies and requirements that have been established to direct and support the development of a statewide workforce investment system not described elsewhere in this Plan.*

**Policy on Certification of Local Boards:** WIA requires the establishment of a local Board in each local workforce investment area in the state. CETC has issued a policy stating that, in order to receive certification of local Boards and approval of local five-year strategic plans, a new workforce development board (RWDB) must be appointed in each local area. The new Boards must meet the certification requirements issued by the Governor, in accordance with the requirements of WIA and Connecticut state statutes with respect to membership.

**Policy on One-Stop Operators:** WIA authorizes RWDBs, with the agreement of the chief elected official(s), to designate One-Stop operators. CETC has issued a policy stating that: 1) requests to “grandfather” an entity(ies) to continue to operate a One-Stop center initiated prior to the passage of WIA will not be granted; 2) requests from RWDBs to act as a single operator will not be granted; 3) An RWDB may participate in the operation of a *Connecticut Works* Center as one member of a consortium of three or more WIA-required One-Stop partners; and 4) CTDOL (Wagner-Peyser) is a required partner in any consortium arrangement.

The rationale for this policy is based in part on the absence of a firm definition of a consortium in WIA (apart from the basic guidance provided in Section 121(d)(2)). The limited extent of that guidance appears to leave it as the state's responsibility to flesh out the definition of a consortium. In view of the fact that some states (e.g., Florida, Texas, and Michigan) have been permitted by USDOL to prohibit consortia entirely, it appears that there is precedent for states to extend their policy authority into an area of local governance with regard to issues involving One-Stop consortia.

In defining a consortium, Connecticut considered the intent of WIA: to create a new system for workforce investment service delivery which embraces interagency cooperation and collaboration. To ensure that coordination, the state considered the importance of allowing all partners an equal opportunity to participate in the governance of the One-Stop Centers. The state also considered the need to provide an opportunity for community-based organizations and other interested service providers to participate as competitors to operate One-Stops. The state sought to encourage an atmosphere in which the One-Stop partners would have an incentive to participate, and to avoid a predetermined outcome with respect to the governance of the One-Stop centers.

After due consideration, and within the authority granted by Section 661.120 of the Interim Final Regulations, the state chose to define a consortium as three different One-Stop partner agencies which could include the RWDB in the governance structure but which precluded the Boards from being able to provide core or intensive services (thereby ensuring sufficient separation between the Board and the service delivery system to enable Boards and grant recipients to evaluate the efficacy of local One-Stop systems without a conflict of interest).

The rationale for the decision to require that the Wagner-Peyser agency be included as a mandatory partner in any consortium model is based on the need to ensure that systems avoid duplication as well as being cost-effective. Many of the Wagner-Peyser services are similar to the core services required under WIA Title I. Mandating the Wagner-Peyser agency as a partner ensures that consortium models will have to address the overlap between some services using the two funding streams, and that they will ensure both that duplication is avoided and that partners operate in complementary fashion.

The above rationale, and the policy in question, appear consistent with WIA (and, as noted above, with USDOL's interpretation of the Act and regulations in some other states). Section 121(d)(A)(ii) requires that a consortium include three or more of the One-Stop partners described in subsection (b)(1). That subsection, in turn, places the Wagner-Peyser agency at the top of the list of required partners, reinforcing Connecticut's interpretation that the agency is "first among equals" in terms of delivery of crucial services in the One-Stop system, and should be included in any consortium model.

**Policy on Separation of Services:** In general, WIA prohibits local Boards from delivering services. CETC has approved a similar policy. CETC opposes use of Sec. 117(f)(2) of WIA and Sec. 661.310 of the Interim Final Rule, which permit a local Board to provide core services and intensive services through a one-stop delivery system only with the agreement of the chief elected official and the governor. Local Boards may not deliver youth or training services.

#### **Policy on Reallocation**

No later than July 1, 2000, CETC will issue a reallocation policy to all of Connecticut's RWDBs. That policy will require that all RWDBs have at least an 80 percent obligation rate for WIA Title I programs for Adults, Dislocated Workers and Youth. The 80% obligation rate will be required separately for each of the three Title I programs against that year's fund appropriation. Reporting requirements will be utilized to monitor compliance regularly as well as procedures to deobligate funds from areas in non-compliance and to reobligate those funds to qualifying areas. All procedures will be developed in compliance with the Workforce Investment Act and regulations and will be reviewed by CETC.

#### **Policy on Transfer Authority**

CETC will issue policy to all RWDBs by July 2000, providing the option to transfer Title I funds, as provided for by the Act, between WIA Adult and Dislocated Worker fund appropriations. This policy will comply with section 133(b)(4) of the WIA and the Regulations at 20 CFR 140. The policy will require the areas to address the transfer issue in their Title I contracts. There will be no transfer authority to or from WIA Title I Youth Funds.

#### **Policy on Contracts**

CETC will issue a policy to allow the state the option to use unit-price contracting, as necessary and appropriate, under WIA.

#### **Requirement on General Assembly Approval of State Plan**

Consistent with the requirements of P.A. 99-195, CETC shall submit a single workforce development plan to the Governor, which plan shall (1) be approved by the General Assembly, (2) comply with the requirements of section 9 of the Public Act, and (3) comply with the requirements of the federal Workforce Investment Act of 1998.

### **Requirement on Nominations to CETC**

Effective six months after the U.S. Secretary of Labor approves the single Connecticut workforce development plan, the Governor shall fill any vacancy on the Commission from recommendations submitted by the president pro tempore of the Senate, the speaker of the House of Representatives, the majority leader of the Senate, the majority leader of the House of Representatives, the minority leader of the Senate and the minority leader of the House of Representatives.

### *III. (B)(1)(h)(ii) Describe how consultation with local boards and local Chief Elected Officials occurred.*

CETC, OWC, and CTDOL have engaged in an ongoing process of consultation and planning around WIA with Connecticut's RWDBs. Beginning in the spring of 1999, the CETC Chairman and staff from CETC, OWC and DOL organized and sponsored a series of WIA-related planning workshops with executive directors and senior planning staff from the RWDBs to address key implications of WIA implementation. More recently, CETC and OWC have engaged the RWDBs in a coordinated and intensive planning process addressing the design, funding, governance and technical capacities of the state's emerging One-Stop career system under WIA. Throughout this process, ongoing since July, the RWDBs have collaborated closely with key state agency partners, participating together in working groups to develop much of the system design strategy evident in this strategic Five-Year Plan. This planning process has been led by two expert workforce development consultants.

During the past several months the CETC Chairman, the Governor's Advisor on Workforce Competitiveness, and staff from CETC and OWC have attended meetings of the Connecticut Workforce Development Council (the statewide association of RWDBs) to inform the directors and chairs of the respective boards about WIA-related issues and planning considerations. Representatives of the RWDBs participate as active members of CETC's Ad Hoc WIA State Plan Committee, which is the lead vehicle in Connecticut responsible for coordinating the development of this strategic Five-Year Plan on behalf of CETC and the Governor. Finally, both the CETC Chairman and the Governor's Advisor on Workforce Competitiveness have met directly with the chairs of the RWDBs to discuss the implications of WIA and to seek the Boards' engagement in the planning process as it goes forward.

Consultation with local Chief Elected Officials (CEOs) has occurred in a number of ways. Through official correspondence from the CETC Chairman, local CEOs have been informed about WIA generally and have been called upon to take an active role in resolving two initial tasks spawned by WIA implementation in Connecticut – the designation of local workforce investment areas, and the appointment of new workforce investment boards. The CETC Chairman and the Governor's Advisor on Workforce Competitiveness have met directly with the mayors of Bridgeport, Hartford, New Britain, New Haven and Waterbury, among others, to discuss WIA-related matters and have expressed willingness to meet with any local CEO. Notwithstanding these efforts at consultation, CETC and OWC have taken the position that the lead responsibility for keeping local CEOs informed about WIA and related developments falls to the RWDBs themselves, through well-established local protocols. CETC's overall efforts with regard to local areas, local officials and RWDBs has been guided by two attorneys

acting as consultants, one a national expert on workforce development and the other an experienced Connecticut attorney.

*III. (B)(1)(h)(iii) Are there any State policies or requirements that would act as an obstacle to developing a successful statewide workforce investment system?*

The key elements – statutory authority, public policy consensus, and system infrastructure – are in place to enable Connecticut to respond effectively to the opportunities presented by WIA. There are no particular policies or other requirements that would act as obstacles to the state's efforts to develop the statewide investment system envisioned in this strategic Five-Year Plan.

## **2. Services: Description of the current status of One-Stop implementation in the State, including:**

*a. Actions Connecticut has taken to develop a One-Stop integrated service delivery system statewide.*

Connecticut began to address the manner in which the state planned and provided services to individuals and businesses through a series of major undertakings:

- establishment of [the] CETC in 1989;
- reorganization of CTDOL in 1992;
- creation of the RWDBs the same year;
- passage of Public Act 94-116 (now CGS 31-3W) in 1994, calling for the establishment of a statewide network of job centers; and
- award of the federal One-Stop grant to Connecticut in 1994 to develop and implement a One-Stop Career Center system.

Connecticut was one of the first six states to receive the One-Stop implementation grant. The grant provided the incentive to develop partnerships among a variety of service providers and the resources to facilitate its entire employment and training system under a comprehensive, operational umbrella called *Connecticut Works*. That system incorporated the four national One-Stop principles: universality, customer choice, integration of services and outcome accountability.

**Connecticut Works Centers:** The first goal for the *Connecticut Works* Career Center system was to establish a system infrastructure that would support new service delivery methods and geographically cover all eight of Connecticut's service delivery areas. All centers provide the core One-Stop services and operate according to the *Connecticut Works* system vision, which is to provide customers – both job seekers and employers – the services they demand in the most convenient and cost-effective manner. In addition to the full service centers themselves, *Connecticut Works* has capitalized on alternative means of bringing services closer to the customer, including satellite locations, enhanced kiosks at more locations and an award-winning Web site.

**Technology Infrastructure:** Technical capacity is critical to the success of a fully integrated, seamless employment and training delivery system – state of the art technological capability enables inter- and intra-agency communication and data management to enhance service delivery to the customer. *Connecticut Works* invested heavily in technology so that every staff member would have a desktop computer connected to the CTDOL's high-bandwidth wide area network (WAN) and that customers

would have a mixture of technological resource tools at their command. This advanced technology infrastructure is now in place.

Connecticut invested heavily in electronic information delivery systems:

- Access to the Department of Labor network, including e-mail, was made available to all RWDBs. Centers have the ability to access the DSS mainframe. This network connectivity facilitates an important principle of the One-Stop system: service integration.
- The Occupational Information System (OIS) – a program planning and career decision-making tool that provides information on occupations, industries, education and training providers – and OLMID (the database against which OIS operates) were installed on the network.

Connecticut continues to expand upon the co-location of partners at the centers, market the services of *Connecticut Works* to employers and individuals, improve its delivery of labor market information, develop its satellite locations, enhance the Web site, and establish network connectivity between the various sites. Most importantly, *Connecticut Works* continues to maintain and build its partnerships with the agencies and businesses involved in the process to ensure the delivery of integrated services. The success experienced by *Connecticut Works* in its four years of operation has offered Connecticut an advantage in the delivery of services as the Act moves into effect. The alliances between CTDOL, the RWDBs, and the state Departments of Social Services, Economic and Community Development, Adult Education and Higher Education are in place. The *Connecticut Works* partners have built a strong foundation for the effective implementation of WIA and for the continued development of a responsive, effective One-Stop Service Delivery System in Connecticut.

*b. The degree of existing collaboration for WIA Title I, the Wagner-Peyser Act, and all other required and optional partners.*

1. Title V of the Older Americans Act: Currently, Title V operators have formulated Memoranda of Understanding (MOUs) with JTPA 5% programs administered by the Regional Workforce Development Boards. With MOUs they facilitate the dual enrollment of the Title V and JTPA Older Worker participants. Since Title V and JTPA 5% are both administered by the Department of Social Services Elderly Services Division, close coordination of the two programs is ensured. The Division sponsors quarterly Older Worker Program Network meetings, inviting Title V sponsors, JTPA 5% program staff, and (occasionally) the Connecticut Works staff; these meetings feature JTPA and WIA training workshops, as well as providing other employment-related programs and resources.

Under the Workforce Investment Act, some Title V sponsors have gained seats on the local Workforce Development Boards, and those individuals have made efforts to establish coalitions with other programs and agencies that can benefit older workers. The end result will be expanded services delivered to older workers through the One-Stop system. The Elderly Services Division plans to continue its quarterly Older Worker Program Network meetings, to continue to build coalitions and encourage dialogue among the partners and other organizations about older worker issues.

2. NAFTA/TAA: NAFTA/TAA programs are currently located in 18 One-Stop Centers in Connecticut and are closely coordinated with Rapid Response and Title III. The coordination

between Title III and NAFTA/TAA often occurs before layoffs, because of the effectiveness of the Rapid Response team in Connecticut.

The CTDOL Trade Act Coordinator is responsible for facilitating coordination between DOL TAA field staff located at the One-Stop Centers and the JTPA providers. Information is shared regarding status of layoffs, profiles of affected employees to be laid off, assessment and/or analysis of potential training and necessary follow-up. TAA staff are located either with JTPA staff at the One-Stop Centers or at out-station sites.

3. Veterans Employment and Training Programs: In addition to the role LVER/DVOP staff have in Connecticut's One-Stop system, LVERS and DVOP Specialists are involved in the major Veterans' Employment and Training Programs. DVOP Specialists are outstationed at the office of the Vocational Rehabilitation and Employment Service of the U.S. Department of Veterans' Affairs in Hartford, at the VA Connecticut Health Care System's rehabilitation sites in West Haven and Newington, and at the Rocky Hill facility of the Connecticut Department of Veterans' Affairs to provide employment and training assistance to veterans. Additionally, LVER and DVOP Specialists facilitate and participate in the Transition Assistance Program for separating service members at the U.S. Naval Submarine Base in Groton.
4. HUD Employment and Training Programs: There is currently no existing collaboration of HUD Employment and Training Programs and the One-Stop system in Connecticut.
5. Food Stamps Employment and Training Programs: The budget recently passed by the Connecticut General Assembly transferred the administration of the Food Stamp Employment and Training Program to the Department of Labor, a mandated One-Stop partner.
6. Title I Youth Programs: Currently some recruitment and eligibility determination occurs at the One-Stop Centers for youth involved in the summer phase of youth programs.

### **3. SYSTEM INFRASTRUCTURE**

#### **a. Local Workforce Investment Areas**

- i. *Identify the State's designated local workforce investment areas, including those that were automatically designated and those receiving temporary designation. How do these areas compare in size and number with the Service Delivery Areas under JTPA?*

On the recommendation of CETC, the Governor has given a temporary two-year designation to five of the eight Service Delivery Areas (SDAs) existing under JTPA as Local Workforce Investment Areas under WIA. No areas were eligible for automatic designation and five of the eight were eligible for temporary designation. The five local workforce investment areas which received temporary designation were: Capital Region, Danbury-Torrington, Mid-Connecticut, Southeast and Southwest. The three additional areas were designated through the waiver process at the recommendation of CETC.

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

Initially the Governor asked CETC to recommend how the local investment areas in the state should be designated. The CETC Chairman established an Ad Hoc Committee on Local Workforce Areas to review the matter and make recommendations to CETC. The committee membership included all of the key stakeholders: the RWDBs, the Chief Elected Officials (represented by the Connecticut Council of Municipalities), CETC members, union representation, CTDOL, DSS, SDE and OPM. The charge of this committee was to develop a process for designation of local workforce investment areas in accordance with WIA. This Committee was to sunset when the task was completed.

The Committee reviewed the legislation, the types of designation, current delivery areas, factors to be reviewed in determining next steps and options for next steps. The status of each of the current areas was reviewed relative to population, performance and fiscal integrity. Over 15 maps were reviewed, showing labor market areas, Service Delivery Areas, population, distribution of TANF clients, location of post-secondary institutions, service providers, region boundaries for social services, education services, and regional planning organizations. The Committee considered commuting patterns and transportation routes, the need for access to services, the role of the local CEOs, the definition of customer, the challenge of providing services with the number and variety of different regional configurations in the state, and previous attempts to reduce these regional configurations. There was a tentative conclusion that CETC should recommend temporary designation for the current areas to the Governor. In addition, the Committee recommended that over the first two years of WIA implementation, CETC should review the option of some additional consolidation and standardization of boundaries throughout the state for local investment areas as well as regional lines for state agencies and other government entities. The Committee also asked the Workforce Development Council, a statewide association of RWDBs, to review the possibilities of changing current service delivery areas. The Council decided to support maintenance of the current areas. The recommendation of the Committee was subsequently approved by both the CETC Executive Committee and the full Commission at its April 1999 meeting.

Following the Committee's action and acceptance by CETC, initial letters regarding the WIA legislation and the role of the CEOs were sent to all 169 towns in the state. A follow-up letter was then sent, outlining the process of designating local areas and asking the CEOs in each area to request designation for their area officially if they so desired. In this letter, the CEOs would address the configuration of the region, the ability to support the region under WIA and the process used to collect public comment. After review by OWC staff, these letters were forwarded to the Governor along with CETC's recommendations for designation.

*ii. Describe the appeals process used by the State to hear appeals of local area designations.*

Connecticut has an appeals process used to hear appeals regarding local area designations. (See Appendix E.)

## **b. Regional Planning**

Connecticut will not pursue regional planning options at this time.

## **c. Selection of Service Providers for Individual Training Accounts**

Connecticut has recognized the need to use only training providers who are certified eligible. Eligibility procedures for the first year have been completed. Although no RWDB is currently instituting a bidding process for training, appropriate procedures are in place. The CETC's Performance Measurement Committee has taken the position that those organizations intending to offer training for special

participant populations will need to be certified at or before the time of offering such training. This information has been communicated to the RWDBs.

As is the case in many states, Connecticut has legislation requiring organizations that provide training or education to the public to be certified before they can make such an offering. The responsibility for certification lies with the state's Department of Higher Education (DHE). The expertise inherent in this organization makes them a valuable partner in the process of certifying WIA training programs to be on an approved vendor list for Individual Training Accounts (ITAs). Their certification approach provides a solid, well-developed foundation for WIA certification. It also makes possible the integration of WIA certification with the more widespread certification in place. This can avoid duplication of efforts and save time for both potential vendors and for RWDBs attempting to develop such a process. It should be noted that the use of DHE staff as expert advisors and partners in the certification process in no way changes the essential authority for oversight and decision-making. The RWDBs determine which programs are eligible and submit them to the state for final review and compilation into the statewide list.

As part of the collaboration in preparing for implementation of WIA, DHE offered to streamline their existing process and adapt it for WIA certification of initial eligibility of training providers. Through this streamlined process, entities such as community-based organizations can obtain certification of training programs and participate in the WIA-funded ITA system. Later, they also can potentially gain the required full DHE certification as private occupational schools if they want to expand their offerings to the general public. Those programs currently certified under DHE will still have to apply for WIA certification. However, they will be able to use their DHE certification application with the addition of submitting those programs to the WIA performance requirements. Using a process compatible with the DHE certification also allows all WIA training providers to have programs that provide students with a credential that could be used in furthering their education. This approach also ensures quality of training and procedural integrity, thus protecting consumers. This general approach will serve for the first year. Subsequent eligibility will involve modification of the initial framework, based on the experience of the first year.

While much of the work to develop this application has been a process of removing previously required information, there will be one new requirement: each program must provide the participant information necessary to calculate the WIA core indicators. They will also be required, annually, to provide the program completion rate, entered employment rate, and wage at placement data for all students in the programs made eligible. The performance of provider programs on the core indicators, the measures for all students, and the cost information will form the primary basis for evaluating provider programs for subsequent eligibility. The procedures also include guidance from the CETC to the RWDBs accounting for economic, geographic and demographic factors in their decisions.

To further streamline the process, the application is structured so that the provider's institutional information is only provided once along with the specific information for each of the programs they are submitting for eligibility review. In this way, the provider information is reviewed only once and being satisfactory, all of the individual programs' specific information is reviewed for individual eligibility.

To implement this streamlined process, DHE staff will form teams with RWDB staff to conduct workshops that give training providers assistance in beginning the certification process. The team will also provide follow-up technical assistance to help potential providers who are unfamiliar with the certification procedures in successfully completing their applications. RWDBs will be asked to document how they plan to ensure an appropriate mix of services and providers in their regions, and to

report on their plans for securing contracts with providers who serve people with barriers to employment. As an alternative to payment through ITAs, RWDBs may award contracts for training services, through a competitive bidding process, directly to local area community-based organizations or other private entities, of demonstrated effectiveness, that serve special participant populations facing multiple barriers to employment. Local plans will be required to describe both the procedures to be used to award these contracts, and the criteria to be used to assess their demonstrated effectiveness.

The process described above is designed primarily for providers of post-secondary/advanced training for adults and older youth. Programs for youth, especially those 14-18 at the secondary level, have some criteria unique to the demands of programming for these younger people. For providers working with youth 14-18, the CETC Youth Committee determined that, as much as possible, the criteria should be similar to those for adults but that the partner with the local RWDB on contracting would be the State Department of Education (SDE). DHE and the local Boards will also be partners to ensure as much continuity and consistency as possible between the adult program certification and youth program provider contracting.

Both the adult and youth processes recognize the importance of an integrated and sustainable procedure. Linkage with both SDE and DHE ensure that the necessary expertise in certifying education and training programs is present. It also ensures that RWDB staff, as team members, gain new capacity in certification criteria that will strengthen their ability to make equitable and consistent judgements about which training providers are best able to serve WIA customers.

Appeals will occur at two levels. The first level of appeal will be to the local Board should they deny certification to a training program. The second level of appeal will be to CETC as the State Board. This will occur in one of two ways: 1) If CETC denies certification to a potential provider, or 2) if a provider who has been denied at the local level and is dissatisfied with the outcome of its appeal at the local level wishes to make a second level appeal.

The above policies and procedures were developed through a collaborative process involving representatives from the business community, labor unions, RWDBs, service providers and state agencies. Representatives of these organizations worked together over a period of several months, in a Technical Work Group under the direction of the CETC's Performance Measurement Committee. The certification procedure developed by the group is intended to accomplish several things:

- Provide a level of certification that would allow job seekers to obtain training that could be credited within a larger training and education system;
- Provide an opportunity to build the knowledge and skills of Board staff regarding the certification process;
- Build a consistent and comprehensive state-wide approach to certification; and
- Ensure that customers are protected in the use of the training funds available to them.

### **Timeline for Certification of Eligible Training Programs Under WIA**

October 20, 1999	Pre-application form and basic content of application process approved by Executive Committee of CETC
October 27, 1999	Technical assistance workshop for RWDB staff on application process
November 1, 1999	Preliminary notice to prospective providers (including pre-application

	form, request for return letter of intent to apply, and list of workshop dates)
November 15, 1999	Pre-application return date
November 15, 1999	Application process and timeline summary/explanation presented to Service Provider Committee of CETC
November 17, 1999	Application process and timeline approved by Performance Measurement Committee of CETC
December 1, 1999	Full application form sent to prospective providers
December, 1999	Workshops for potential providers
January 1, 2000	Second notification to prospective providers
February 15, 2000	Application period closes
<b>Feb. – March, 2000</b>	<b>Collaborative review of applications by team of RWDB and DHE staff</b>
April 1, 2000	Boards send lists of eligible programs to CETC
April 1-30, 2000	Appeal period for first level of certification process
May 1, 2000	State publishes list of eligible programs
May 2-June 1, 2000	Appeal period for programs omitted from state list
July 1, 2000	WIA implementation begins

CTDOL is designing software that training providers will be able to use on a local PC or on the Internet to complete the application information. This will speed the transfer of the information for local board review and for subsequent State Board review. This database will then be the source of information, along with performance data (available after the first year), for the Consumer Report System (CRS).

The whole database will become part of Connecticut's data warehouse that is described elsewhere in this plan. The CRS will be distributed via the Internet, making it available at the *Connecticut Works* centers and from home PCs. In addition, the CRS will be disseminated in hard copy versions, accompanied by appropriate public outreach and marketing, and also available at *Connecticut Works* centers and at libraries. Non-English versions (at a minimum, Spanish translations) will be developed and distributed through the same methods. The CRS will contain program descriptions, locations, information on support services, and their levels relative to other similar programs on the core indicators and customer satisfaction. This information will be presented in Consumer Reports format to give customers a clear, understandable set of information to inform their choice.

The state currently has a database of providers through the State Occupational Information and Coordination Council (SOICC). The SOICC staff will become key in managing the new eligible training provider list and the CRS, particularly important with respect to expertise in the use of CIP codes, which is critical to maintaining a useable CRS.

Providers will be removed from the list for one of several reasons: 1) Failure to provide information for calculating performance; 2) failure to meet one or more performance standards; or 3) fraud or other non-compliance issues.

Failure to provide student information that allows calculation of the core indicators is a breach of the accountability requirement for all training providers. If a training provider is unwilling or unable to provide such information, they cannot be held accountable and potential customers are denied critical information on which to make an informed choice. Any organization failing to provide the information will be given 30 days after the announced due date to comply. After the 30 days, if they have not provided the information, they will be removed from the list for one year. They can reapply after one year with appropriate assurances that they are willing and able to provide information in the future.

Failure to meet one or more performance standards will be handled differently than failure to provide information. Not meeting performance standards will be handled in the first year with a review of the training program by the certification team. Programs that fail to meet performance standards will be identified on the provider list. If a program fails to meet performance standards for a second year, the program will be removed from the list for one year. If upon reapplication they fail to meet standards for a second two-year period, their program will be removed for a period not less than one year. At this point, the provider has the burden of demonstrating substantial improvement before another application is accepted for review.

All service providers will be offered technical assistance once or twice a year through facilitated meetings where best practices will be shared and guidance will be offered to those who seek it.

### **Outline of Application Process For Certification of Eligible Training Programs Under WIA**

1. Each RWDB sends notification and pre-application form to all known interested providers.
2. Providers wishing to apply complete pre-application and return to the appropriate RWDB(s). From this pre-application, the RWDB will determine the status of each provider:
  - A. The provider has been previously determined to be eligible to provide services under Title IV of the Carl Perkins Act, or is currently providing services under the states Apprenticeship programs. These providers are “grandfathered” under WIA and need only to provide proof of this status.
  - B. Providers not falling into category A but that are currently licensed by DHE to provide training to the general public. These providers will be asked to complete a “truncated” WIA application, providing the RWDB with information regarding each program for which they desire certification, and the associated performance information for each of these programs.
  - C. Providers not falling into category A or B that wish to provide certified WIA training programs must complete the full WIA application, including institutional, program, and performance information.
3. Each provider submitting a pre-application will then be notified of its application status (A, B, or C) and be sent the appropriate application materials by the RWDB.
4. Upon receipt of the appropriate application materials, each RWDB will, together with staff from DHE, review the application and determine whether certification is appropriate, conducting site visits and other verification activities as appropriate.
5. Each RWDB will forward a preliminary list of programs they are certifying to CTDOL, the WIA administrator. CTDOL will review the each list for inconsistencies (e.g., where one RWDB certifies a provider’s program while another does not), as well as for issues such as provider non-payment of taxes, pending litigation, or other legal issues which may have a bearing on whether the provider

should be certified. CTDOL will also review the lists for consistency with CETC policy, and identify cases where RWDBs are certifying provider programs that are not related to occupations in demand. CTDOL will work with the RWDBs to resolve these issues, and recommend a final statewide list to be approved by [the] CETC. (Issues reviewed at the state level are designed to ensure that the programs and their providers meet basic standards appropriate for any entity receiving tax dollars.)

6. CETC will review the list, make any adjustments that are deemed necessary, and approve the list.

Any providers whose programs are denied certification will appeal first to the entity responsible for that denial (if a RWDB denied the provider certification, the appeal will go first to the RWDB; if CETC denied certification, the appeal will go directly to CETC). CETC will have final decision-making authority with regard to eligible program certification.

Connecticut has developed a Web-based application procedure for collecting information about training programs relevant to each of the RWDBs. This application will also facilitate the second-level review of programs at the state level (CTDOL). The program has already been used to compile a list of over 1,000 programs that have successfully passed the first level of review by the RWDBs. The second level of review is currently in process. The application will contain existing information on each program and will be available on-line for use by customers in the One-Stop centers not later than July 1.

The SOICC list of programs will be used in an effort to expand the eligible training provider list beyond those programs currently under review for eligibility. The expanded program list will provide information on the widest range of choice for customers, whether or not they are recipients of an ITA. The final list will become part of the data warehouse in the CTDOL Office of Research, to expand the possibilities for using the information and storing it where it will be both accessible and secure.

*d. What is your state's current capacity to deliver high quality employment statistics information to customers – both job seekers and employers – of the One-Stop system?*

CTDOL's Office of Research (OR) has long been the primary source of much of the core labor market information (LMI) that informs and supports the State's workforce and economic development initiatives. In fulfilling its mission, the Office operates a number of key survey programs in collaboration with the U.S. Bureau of Labor Statistics (BLS) to produce information on the dynamics and trends in the labor force and in industrial and occupational employment and wages at the state and sub-state level.

The OR has actively participated in activities that have resulted in new and enhanced LMI products, including projections of industrial and occupational demand for workers, comparisons of the supply of skilled workers with the projected demand, and identification of the characteristics of the unemployed and other population groups with barriers to employment. The OR has also produced occupational and career decision-making information useful to job seekers of all types – students, new and re-entrants to the labor market, job changers and other incumbent workers, as well as those who have lost jobs. This information has included occupational licensing requirements; education and training requirements; and required knowledge, skills and abilities.

The OR has collaborated with federal, state and local entities on a wide variety of efforts. It has long-standing relationships with DECD and the University of Connecticut Economics Department to develop and disseminate economic information. With these partners, the Office of Research publishes a widely disseminated monthly newsletter, *The Connecticut Economic Digest*, which provides current data and analyses on the Connecticut economy. The OR also participates in national research and development

workgroups and federal-state consortia addressing data needs in various areas. These have included workgroups to research and develop a standardized LMI database, occupational wage data, and employer data publicly available for job search purposes.

In its role as prime producer of labor market data in the State, the OR has been designated to coordinate the development of employment statistics in the State and has direct involvement with the national Workforce Information Council, an organization of state representatives working with the BLS and other federal agencies on the cooperative management of the nation's employment statistics system.

Through its survey programs, the OR makes over 125,000 contacts with Connecticut employers annually. It has participated in employer focus group sessions and conducted surveys in association with local workforce development boards to determine employer needs. The OR has conducted training on the availability and use of labor market information, LMI products, and electronic LMI delivery systems. This training has been provided to employment counselors, business service representatives, welfare-to-work intermediaries, workforce development board staff, school guidance counselors and educators, and others. The Office has also coordinated and conducted numerous conferences, workshops, job fairs, and other presentations to various groups, these numbering more than 70 such events for the last several years. The OR has partnered in these events with other State agencies involved in workforce development, state and local educational entities, businesses and business associations, workforce development boards, chambers of commerce, and others. The voiced and written response, as well as the continued high participation rate by both employers and job seekers, has indicated the high value these have achieved. Customer feedback on all the Office's products and services is regularly gathered and used as important input to the further development of products and services that meet user needs. There are many hard-copy publications available, focusing both on economic data and analyses that can be used by planners, policy-makers and others, and on occupational and career information needed by students, job seekers, employers, and those who assist them. To increase accessibility to labor market information, the OR has been focusing increased efforts on electronic delivery systems and is now concentrating its development efforts on the Internet. Its LMI Web site, first established in 1996, focuses on the information needs of four major customer groups – job seekers, employers, students, and researchers. New developments being pursued include interactive capabilities that allow the user to specify and receive the data or information needed, and analytical capabilities offered by graphing and mapping functions.

The OR uses economic modeling techniques to develop projections of industrial and occupational employment growth. It also collects and makes available information about occupations that require licenses, and collects labor supply information and prepares comparisons to occupational demand. The OR also generates occupational wage data, information on each occupation's education and training requirements, and information on the skills, knowledge and abilities required by each occupation made available by O\*NET. Combined, these provide much of the core information needed for career decision-making by individuals and workforce development decision-making by employers, education and training providers and policy-makers.

The OR has developed a predictive model for determining the need for employment service assistance by the unemployed in order for them to be able to again find work. A recent report by ETA has found that this UI claimant profiling effort in Connecticut has had a significant effect in reducing individuals' duration of unemployment.

The OR also has experience working with wage records and has the technical knowledge needed for pulling together the data that is required for producing performance measures and consumer reports for the State's workforce investment system as required by the Workforce Investment Act.

*e. Describe how the worktest and feedback requirements under S(a)(3)(f) of the Wagner-Peyser Act for all UI claimants are met. How is information provided to the UI agency regarding claimant registration, claimant job referrals, and the results of referrals?*

Every individual who files a claim for unemployment benefits is required to register for job service activities. All claimants are given a benefit rights interview where they are provided with the State of Connecticut's availability and work search requirements.

In addition, everyone is required to complete a profiling questionnaire and is placed in a pool of individuals eligible for profiling services. Claimants may also be randomly selected to participate in the Eligibility Review Program (ERPS). In this program, each of Connecticut's *Connecticut Works* Centers conduct weekly reviews on a random number of claimants in which their availability for work and efforts to seek employment are reviewed. When a question arises regarding a claimants availability or work search, a fact-finding hearing is scheduled for the purpose of adjudicating the situation.

When the Telephone Initial Claims (TIC) system is implemented in the year 2000, each claimant will be asked a series of questions over the telephone at the time they file their initial claim. The claimant's responses to these questions will form a basic job service registration. The questions will also serve as a means of registering each claimant as a possible candidate for the profiling program.

Connecticut's Centralized Job Bank unit receives a Job Bank Result of Referral report (JC170) from employers who have advertised a position in the Job Bank. Each of these reports indicates whether a claimant was hired, did not report for a job interview or refused an offer of employment. The Job Bank staff review all of these reports and send the report to the *Connecticut Works* Center fact-finding unit involved. The reports advise each fact-finding unit of claimants who may have refused work or have failed to apply for a job as required. The fact-finding units then schedule the necessary adjudications hearing with the claimants in issue and rule on the eligibility of each claimant for further unemployment benefits due to their actions. The system of advising the local fact-finding units regarding the possible referral of work referrals will remain the same under the Telephone Initial Claims program.

*f. Describe how the Wagner-Peyser Act staff participate (if applicable) in the conduct of the Eligibility Review Program reviews. Describe the follow-up that occurs to insure that UI eligibility issues are resolved in accordance with section 5(b)(2) of the Wagner-Peyser Act (§ 112(b)(7).)*

An Initial Eligibility Review (ERP I) will be conducted when a customer files an initial claim for benefits. Questions related to the customer's availability for work and attachment to the labor market will be asked through the Initial Voice Response system or by a staff member, to determine whether a customer is able and available for work, or should be referred to the Adjudications Unit for a fact-finding hearing.

The Continued Eligibility Review (ERP II) was designed to:

- assist the client in his or her continued search for employment;
- help provide direction to the work search;
- offer advice on how to best utilize the services provided by the *Connecticut Works* Centers; and
- ensure that the customer fully understands and meets the requirements of the unemployment compensation statutes and regulations.

The computer system randomly selects participants for Continued Eligibility Review (ERP II) from those customers who are continuing to receive unemployment benefits. A customer selected for participation will receive an ERP II appointment letter and an ERP II questionnaire to complete and bring to the interview.

During the appointment, the interviewer will review the customer's work search plan, availability for work, efforts to obtain work, and other indicators which may point to a need for additional assistance, or benefit eligibility issues. The *Connecticut Works* Center interviewer will carefully review the eligibility questionnaire with the customer to ensure that he or she understands his or her responsibilities for continued payment of benefits, and to discuss any potential barriers to reemployment. The interviewer will explore ways to remove any barriers by discussing with the customer any work preferences, restrictions, or potential availability issues that may prevent him or her from returning to work. The interviewer also reviews the customer's work search, plan relative to his or her skills and the local labor market to determine what additional assistance he or she may require. The customer is then referred to additional resources available in the center, such as:

- an individual appointment with a Career Development Specialist for career counseling and additional employability assessments;
- job search workshops;
- resume and cover letter assistance;
- open order postings on America's Job Bank; and,
- *Connecticut Works* career resource center library for job search research.

Customers who fail to attend their scheduled review or who have barriers to employment that may potentially affect their continued eligibility for benefits are referred to the Adjudications Unit for resolution.

The objectives of the entire eligibility review process are to offer customers assistance in reentering the work force as quickly as possible and to ensure proper payment of unemployment benefits.

### **C. Assessment of Strengths and Improvement Opportunities**

#### *1. In sum, how closely aligned is your current system to your vision?*

Connecticut's current system is well positioned to move forward and achieve the vision and goals described above. Many of the key elements of policy, oversight and implementation infrastructure are already in place at both the state and local levels. CETC, acting as the state's workforce investment board under WIA, is established in state statutes to provide policy guidance and oversight to the state's workforce investment system. The Governor's Jobs Cabinet, established by gubernatorial executive order, is already established at the state level to guide implementation efforts, insuring the coordinated participation of key state agency partners. These two bodies provide a direct link to the Governor, assuring a close connection between vision and action. The fact that both receive staff support through OWC provides additional continuity and linkage.

A 1992 Connecticut statute established RWDBs, whose roles and responsibilities anticipate those envisioned by WIA for local workforce investment boards. Working over the past four years in close collaboration with the RWDBs, key state agencies and other local partners, CTDOL has taken the lead in establishing a statewide infrastructure of *Connecticut Works* One-Stop Career Centers. Physical locations are positioned across the state. These centers already provide for the full integration of Wagner-Peyser services at the local level, having tested new ways to provide accurate and timely

consumer information to enhance customer choice concerning service options for a broad range of customers – job-seekers, workers and employers. The principle and practice of service coordination is already well established in Connecticut among state agencies, RWDBs and other key service providers. Through the JOBS Cabinet, The Governor's Policy Advisor for Workforce Competitiveness and the Secretary of OPM are coordinating formal planning and design efforts to ensure that the state agencies work together to collaborate with RWDBs to design a service delivery system, based in the state's comprehensive One-Stop centers, where all major partners will be on-site and where service delivery will be streamlined, integrated, and universally accessible to all who seek assistance.

A number of opportunities and initiatives are likely to have positive impact on the effectiveness of Connecticut's workforce investment system, in addition to the efforts described above. The Industry Cluster Initiative launched by DECD will sharpen a demand-driven strategic focus, and help to engage employers and business customers more effectively in workforce investment system efforts. CETC is in the midst of developing a comprehensive incumbent worker training plan, under a planning grant funded by USDOL, to clarify appropriate incumbent worker training strategies and related resource strategies, including in particular assisting employers of TANF recipients and other low-income populations in upgrading the skills and wage levels of such individuals. (See Appendix F.) The Governor's Initiative for a Competitive Inner City will identify strategic opportunities to connect workforce development strategically to targeted economic development efforts leading to jobs creation and business expansion in five of Connecticut's major urban centers. The state's institutions of public higher education are collaborating on a strategy of instruction designed to increase skills and competencies up a ladder of complexity, to prepare individuals to move from entry-level jobs to increasingly challenging career opportunities. The unprecedented collaboration between the state's welfare and workforce development systems, through the TANF Jobs First and federal Welfare-to-Work programs, is effectively helping thousands of welfare recipients achieve economic independence. It can be built upon to meet the increasing needs of a harder-to-serve population remaining on TANF cash assistance, to serve other low-income welfare populations, and to increase the skills and wage levels of former welfare recipients who have left the welfare rolls but remain in low-paying entry-level jobs. In the legislative arena, the adoption of Public Act 99-195 establishes a set of requirements on behalf of the Connecticut General Assembly that inevitably will heighten the visibility of workforce investment issues in the public's view.

These are only a few examples of the initiatives already underway as Connecticut prepares its workforce system to respond to WIA. Undoubtedly, many more will follow. In any event, the evidence suggests that this is a fertile time for innovation, that WIA provides a useful framework through which to organize and coordinate this broad range of undertakings, and that Connecticut is taking good advantage of the resultant opportunities.

In addition to the strengths listed, Connecticut's current workforce system contains weaknesses and areas which need improvement; these contribute to the challenges facing the state as it prepares for the implementation of WIA. Weaknesses and related areas for improvement are as follows:

- a. One of Connecticut's primary weaknesses in the past has been with regard to data systems, especially case management systems. We have experienced significant delays accessing data under JTPA, and have learned the hard way about maintaining consistency in order to protect data integrity and ensure appropriate management. The discussion of our data plans in item V.B. describes several parallel efforts taking place currently with regard to developing improved data systems.

- b. A structured and ongoing continuous improvement program, based on the Baldrige criteria for performance excellence and specifically tailored to workforce investment activities, needs to be implemented and monitored. This will be accomplished through the CETC's Performance Measurement Committee, with the help of information obtained through the Workforce Excellence Network on USDOL's "US Workforce" Website.
- c. A statewide capacity-building effort needs to be implemented to help local Boards and their Youth Councils as they develop their capacity to address local issues and fulfill the sweeping responsibilities placed on them by WIA. To varying degrees, many of the Boards still need to transform themselves into the strong leadership entities that WIBs are intended to be under the Act, including the need to build strong relationships with local elected officials. Youth Councils, as new entities at the local level, need to establish themselves as effective coordinators of a broad spectrum of youth activities. Working closely with CTDOL, the CETC will develop statewide policies and strategies for technical assistance and capacity-building, and will offer help to local Boards and Youth Councils as appropriate and necessary.
- d. Communication and collaboration among organizations need to be improved at several levels. JOBS Cabinet agencies will be encouraged to collaborate more closely than they have in the past, sharing information and cooperating in the One-Stop system. The CETC and the local Boards need to work more closely together; with the help of OWC staff, communication and cooperation will be improved.
- e. Statewide, the education and occupational skills training functions need to become more responsive to the needs of employers and to fluctuations in the labor market. This is both a weakness and a challenge. The CETC is developing an incumbent worker training program to help in this effort. A strategic planning initiative has also been developed to increase the role of higher education in the state's workforce development system. A partnership between business, higher education and the K-12 system, focusing on demand-driven strategic workforce development planning and implementation, will improve the ability of the system to respond to the high-tech needs of business and industry in Connecticut. In addition, the CETC has restructured its standing committees, adding an Employment Information Committee to oversee the state's employment statistics system and the development, analysis and dissemination of labor market information under WIA. All of these initiatives are in their infancy, and bringing them into operational reality will be one of the challenges faced by Connecticut during the early years of WIA implementation.
- f. Achieving truly effective universal access – quickly – in a system with limited resources and a reputation in the larger community for serving primarily low-income clients or dislocated workers, will be a challenge. Statewide, in order to be credible to customers, the system will need to become operational very soon after July 1, 2000; customers will have limited tolerance for a transitional period in which anything short of full service is available.

2. *In moving your current system towards your vision, what are your state's priorities?*

The strategic focus and broad vision for Connecticut's workforce investment efforts, as outlined in the preceding five-year economic and workforce development goals, concentrate in five strategic areas: implementation of a responsive and effective workforce development system; clarifying strategic focus responsive to all customers; promoting acquisition of essential skills and competencies; sustaining economic growth; and meeting the needs of the state's youth.

On the path to achieving this vision by meeting these broad goals, a number of practical issues emerge as priorities requiring particular attention. Through the coordinated efforts of CETC, the Governor's Jobs Cabinet, and OWC, appropriate initiatives are underway involving all key system partners to address these priorities. Priorities undoubtedly will change as planning and implementation proceed, but among those currently being addressed in accordance with the state's vision are the following:

- Clarifying the levels, sources and nature of the resources required to operate an effective One-Stop system across the state;
- Clarifying the specific roles and responsibilities for each of the system's various partners, at both state and local levels;
- Refining an effective statewide performance measurement and reporting system and capability;
- Refining the capacity to identify, analyze and target driver industries and occupations as strategic focus for workforce investment efforts;
- Engaging employers in the development and delivery of job training programs through collaborative efforts with trade associations and Chambers of Commerce;
- Connecting workforce development and economic development efforts at both state and local levels, making effective use of employer relationships generated through industry cluster initiatives;
- Developing strategies that respond effectively to opportunities in urban centers as identified through the inner cities initiative;
- Implementing strategies that provide both basic education and occupational skills to recipients of public assistance and to low-wage workers in order to assist such job-seekers and workers in obtaining employment that will lead to economic self-sufficiency;
- Developing effective incumbent worker training, customized job training, on-the-job training, and other workplace-based training initiatives in support of viable life long learning options;
- Developing a range of appropriately challenging skills credentialing and certification strategies;
- Developing a comprehensive mix of support strategies to sustain job retention results and career advancement outcomes; and
- Reorienting and refining youth-focused strategies consistent with the state's goals and the requirements of WIA.

#### **IV. Strategies for Improvement**

##### **A. Leadership**

*1. Describe the steps the State will take to improve operational collaboration of the workforce investment activities and other related activities and programs outlined in Section 112(b)(8)(A), at both*

*the state and local level. How will the State Board and Agencies eliminate any existing State-level barriers to coordination?*

With the issuance of the Executive Order, which established the JOBS Cabinet and the Office for Workforce Competitiveness (OWC), a powerful and important vehicle for state-level collaboration was established. All of the partner agencies at the state level covered under Section 112(b)(8)(A) of WIA are either official members of the Cabinet or attend Cabinet meetings at the request of the Governor's Office. The Cabinet's expressed goal is to improve the operational efficiency of the state's workforce development system through creative and innovative strategies that include joint activities, data system connectivity, reallocation of program and administrative dollars, collaborative policy development and other mechanisms for cooperative service delivery. The design of the *Connecticut Works System* under WIA, for example, was guided through the Cabinet; and its implementation and support will be overseen at the state level through this body. Working under the auspices of the JOBS Cabinet, staff from OWC work closely with these partner agencies on a collective and individual basis to move the collaborative process forward between meetings. When state agencies or OWC staff identify state-level barriers to effective coordination, they can be brought to the JOBS Cabinet if an operational remedy is required, or to CETC if a policy change is required.

On the policy front, CETC also has a powerful collaborative influence, not only at the state level but also on an intergovernmental basis. The membership of CETC includes representation from the local level through the RWDBs and is an effective vehicle for collaborative policy development between WIA partners at all levels. Again, OWC, acting as staff to CETC, works with state agencies, the RWDBs and community-based organizations on an ongoing basis and has been the facilitator of numerous state/local collaborative activities in the development of the State's Five-Year Plan as well as WIA-related implementation activities (e.g., the development of performance measures, inter-local agreements, processes for local area designation, local board certification and the development of strategic plans and needs assessments at the state and local levels).

Guidance for both the operational and policy considerations that will support the core objectives of system integration and collaboration will come from the state's vision and five-year goals as developed and presented by CETC for purposes of the WIA State Plan and in accordance with state statute. These goals are designed to align the current system with the state's mission and aid in identifying where the state system is out of alignment. Where adjustments are needed, they will be presented to CETC and/or the JOBS Cabinet for resolution.

With respect to specific collaborative strategies, both the JOBS Cabinet and CETC will be integrally involved in the development of Memoranda of Agreement (MOA) at both the state and local levels with respect to configuring the One-Stop Centers. These MOAs will cover such collaborative elements as common intake processes, interagency service delivery, allocation formulas and confidentiality agreements, among others. In addition, barriers to coordination due to fiscal matters are handled by the JOBS Cabinet through the Governor's state budget process and the state's budget office, OPM, which is also a member of the Cabinet. As the state rolls out the implementation of WIA, OWC, the JOBS Cabinet and CETC, in close working relationship with the RWDBs, will be closely monitoring progress and identifying additional strategies for increasing collaboration and coordination at both the state and local levels, as well as identifying specific policy and operational issues that present barriers to meeting Connecticut's workforce investment vision.

*2. Describe how the State will assist local areas in the evolution of existing local One-Stop delivery systems. Include any statewide requirements for One-Stop systems, how the State will help local areas*

*identify areas needing improvement, how technical assistance will be provided, and the availability of state funding for One-Stop development. Be sure to address any system weaknesses identified earlier in the plan. Include any state level activities that will assist local areas in coordinating programs.*

OWC, working collaboratively with CETC and the JOBS Cabinet, will monitor the development of the *Connecticut Works* delivery system as it evolves to conform to the needs of WIA and the needs of the local areas in which it operates. OWC will maintain a close working relationship with the RWDBs and assist them in assessing the progress of the One-Stop System as it unfolds under WIA as well as identifying strategies for improving progress. Both CETC and the JOBS Cabinet will be enlisted in efforts to improve the operation of the One-Stop System. OWC will also develop an ongoing relationship with the One-Stop Operators as they are identified and will work closely with them, in concert with the RWDBs.

OWC will also enlist the assistance of appropriate state agencies to address specific issues or barriers, whether it be DECD with respect to employer involvement or employer services or SDE around issues involving local school districts. OPM will also be monitoring the use of existing and need for additional or reallocated state funding to move the implementation of the One-Stop System along towards meeting the state's vision and goals for workforce investment. State funding has also been set aside for the provision of technical assistance, training and other capacity-building elements to successfully roll out the *Connecticut Works* system designed under WIA (see Number 3 below).

As described in section B.1.d.iii.h, the CETC (State Board) has established statewide requirements in the form of policies relating to various aspects of the state's workforce investment system. The particular policies relating to the One-Stop delivery system are as follows:

#### **Policy on One-Stop Operators**

WIA authorizes RWDBs, with the agreement of the chief elected official(s), to designate One-Stop operators. CETC has issued a policy stating that: 1) requests to “grandfather” an entity(ies) to continue to operate a One-Stop center initiated prior to the passage of WIA will not be granted; 2) requests from RWDBs to act as a single operator will not be granted; 3) An RWDB may participate in the operation of a *Connecticut Works* Center as one member of a consortium of three or more WIA-required One-Stop partners; and 4) CTDOL (Wagner-Peyser) is a required partner in any consortium arrangement.

#### **Policy on Separation of Services**

In general, WIA prohibits local Boards from delivering services. CETC has approved a similar policy. CETC opposes use of Sec. 117(f)(2) of WIA and Sec. 661.310 of the Interim Final Rule, which permit a local Board to provide core services and intensive services through a one-stop delivery system only with the agreement of the chief elected official and the governor. Local Boards may not deliver youth or training services.

#### **Policy on Reallocation**

No later than July 1, 2000, CETC will issue a reallocation policy to all of Connecticut's RWDBs. That policy will require that all RWDBs have at least an 80 percent obligation rate for WIA Title I programs for Adults, Dislocated Workers and Youth. The 80% obligation rate will be required separately for each of the three Title I programs against that year's fund appropriation. Reporting requirements will be utilized to monitor compliance regularly as well as procedures to deobligate funds from areas in non-compliance and to reobligate those funds to qualifying areas. All

procedures will be developed in compliance with the Workforce Investment Act and regulations and will be reviewed by CETC.

### **Policy on Transfer Authority**

CETC will issue policy to all RWDBs by July 2000, providing the option to transfer Title I funds, as provided for by the Act, between WIA Adult and Dislocated Worker fund appropriations. This policy will comply with section 133(b)(4) of the WIA and the Regulations at 20 CFR 140. The policy will require the areas to address the transfer issue in their Title I contracts. There will be no transfer authority to or from WIA Title I Youth Funds.

### **Policy on Contracts**

CETC will issue a policy to allow the state the option to use unit-price contracting, as necessary and appropriate, under WIA.

Apart from the policies listed above, the CETC has not established statewide requirements for One-Stop systems.

### *3. How will your State build the capacity of local boards and youth councils to develop and manage effective programs?*

Local capacity building has been identified as a critical element for the successful implementation of Connecticut's overall workforce investment vision and the rollout of the new system under WIA. The expanded role of the local community – local elected officials, the RWDBs, local youth councils, the employer community and community-based providers of adult and youth services – will be reinforced and assisted through a formalized program for training and technical assistance. CETC is also enlisting the aide of various state economic development organizations – the Governor's Council on Economic Competitiveness and Technology (GCECT), DECD, trade associations and Chambers of Commerce, organized labor, and the Connecticut Economic Resource Center (CERC) – to aggressively expand efforts to recruit and involve influential employers at the local level. With the provision of training and technical assistance, newly developed policy will be more fully executed and opportunities for employer participation can be maximized.

To this end, CETC has set aside sufficient state funding for a professional development capacity which allows statewide and regional capacity building activities to occur during the planning and implementation phases of WIA. This training fund is reserved under the auspices of CETC and will be administered through OWC. Professional development activities will be identified collaboratively between the staff of OWC, CTDOL and the RWDBs and will include sessions on program development, program performance measures and accountability and various other topics to assist local boards, youth councils, *Connecticut Works* partners, employer groups, local vendors and other constituencies active in the implementation of WIA.

### *4. Describe how any waivers or workflex authority (both existing and planned) will assist the State in developing its workforce investment system.*

CETC will reserve its authority to recommend to the Governor, when appropriate, opportunities for applying for workflex and waivers as strategies for the ongoing improvement of the state's workforce investment system.

## **B. Services**

*How will you meet the needs of each of the major customer groups identified in Section III? How will the State implement WIA's key principles of streamlined services, empowered individuals, universal access and improved youth services?*

- 1. Describe the types of employment and training activities that will be carried out with the adult and dislocated worker funds received by the State through the allotments under Section 132. How will the State maximize customer choice in the selection of training activities?*

Through the One-Stop delivery system, partners will collaborate to provide a seamless system of services that will be universally accessible to all seekers of employment and training services, including job-seekers, workers and employers. Pursuant to the requirements of the Act, employment and training activities to be carried out at the local level with the adult and dislocated worker funds received by the State through the allotments under Section 132 will include services for employers and Core, Intensive and Training Services for adults and dislocated workers, based on their level of need.

Core Services for job-seekers and workers will include an inter-agency Greeter/Resource Area Team. The team will be customer-focused, with the skills and capacity necessary to respond to customer needs (including cross-training in recognizing potential eligibility for other programs). The registration process for users of the system (the beginning of a uniform intake and assessment process) will collect minimal demographic data which can be used by all *Connecticut Works* partners, and will utilize swipe cards or other appropriate technology to track usage.

Self-directed Core Services will include access to phones, copier, fax and computers; labor market information/employment statistics, including employment projections; job opening listings; information on occupation earnings and skill requirements for jobs in demand; lists of eligible training providers with cost and performance information; local public transportation information, and information on availability of support services such as transportation and child care. Information on filing unemployment compensation claims and on TANF/Welfare-to-Work eligibility will also be offered.

Some Core Services will require staff assistance. These include: eligibility determination; outreach and intake (which may include worker profiling); orientation to the information and services available through Connecticut's One-Stop service delivery system; initial assessment of skill levels, aptitudes and potential support service needs; job search and placement assistance (including individual career counseling where appropriate); and follow-up activities.

Universal access will be ensured through offering Core Services to all who desire them, including job and career information, information on financial aid, and career seminars. These seminars will be developed to build a customer base, determined by customer demand and focused on customer preferences, marketed across product lines, easily accessible, and evaluated by the customer.

Intensive Services will be available as a next step for adult workers and job-seekers and for dislocated workers who require additional assistance in their job search, based on the initial employability assessment of a demonstration of need. These services will include: diagnostic testing and comprehensive assessment of skill levels and service needs (conducted by the inter-agency team and consistent across all programs); in-depth interviewing and evaluation to identify employment barriers and re-employment goals; formulation of a base-level individual employment plan to identify employment goals and the combination of services necessary to achieve them, consistent across programs; individual and group counseling and career planning; case management; short-term pre-

vocational services such as development of learning, communication and interviewing skills, punctuality, personal maintenance and professional conduct to prepare customers for employment; collection of employment history and other data in a form usable by all partners and across programs; and data sets built upon original customer files developed within Core Services. Case management services will be leveraged among other partner programs to the extent feasible (e.g., WIA Title I, TANF, WtW). Each customer will have one case manager to provide continuous case management during the customer's progress through the system, including retention.

Access to Training Services for adult workers and job-seekers and for dislocated workers will be provided as appropriate, consistent with employment plans, for those who do not find employment through Core or Intensive Services. A system of Individual Training Accounts (ITAs), managed through the *Connecticut Works* system, will be used in addition to contracted services to provide access to training providers.

**Customer choice:** Customer choice in the selection of training activities will be maximized through use of a Consumer Reports System, in conjunction with the eligible provider list, which will provide performance and cost information on providers (as well as customer satisfaction ratings) and thus enable customers to make informed choices. Connecticut's performance measurement system will include a customer satisfaction component which has already been refined through use in the state's existing *Connecticut Works* system. As necessary and appropriate, knowledgeable case managers will provide information and counseling with regard to financial aid, support services and other details related to training.

Pursuant to P.A. 99-195, Connecticut will develop the following special projects (see Appendix G):

- CTDOL and the Commissioners of Social Services and Education will develop a coordinated program of referring workforce development participants to supportive services including, but not limited to, transportation and child care services for eligible participants in workforce activities. This program will include a requirement that each RWDB submit a report to CETC on or before January 31, 2000 and each January 31 thereafter, detailing the Board's plan for coordinating such supportive services. (See Appendix H.)
  - Through OWC, the state will fund at least two job readiness and job search pilot programs to unemployed and underemployed noncustodial parents, no later than July 1, 2000.
  - Through OWC, the state will fund at least two pilot programs no later than October 1, 2000 to develop career pathways linking alternative education programs to Community Colleges and work-related learning.
2. *How will the services provided by each of the required and optional One-Stop partners be coordinated and made available through the One-Stop system? Be sure to address how your State will coordinate Wagner-Peyser Act funds to avoid duplication of labor exchange services.*

Through its Ad Hoc WIA State Plan Committee, CETC convened a One-Stop Service Delivery/Design Work Group, including staff from CTDOL, RWDBs, required One-Stop partners and other interested parties.

The work group decided that all One-Stop design efforts should build upon the current *Connecticut Works* system. The group was guided by the original One-Stop principles of Universality, Customer

Choice, Integration of Services and Outcome Accountability. Design principles recommended by the RWDBs in a formal presentation on August 13, 1999 contributed significantly to the group's deliberations. These principles are:

- Training must be demand-driven and focused on needs of employers
  - Support state's economic development
  - Increase private investment in training
- Connect education and training to the demand side
- Integrated Statewide system
- Effective tools needed to facilitate interaction with employers and job-seekers
  - Technology and information systems
  - Common procedures
- Increased efficiency, accountability and return on investment

Through a series of meetings, the group developed a set of recommendations that informed the process regarding the integration of services within the One-Stop Delivery System. The recommendations are:

1. Universal accessibility means barrier-free admission to all seekers of employment and training services, including workers, job-seekers and employers. The criteria for universal access are guided by the principles of eliminating physical, cultural and language barriers, as well as increasing access through technology. The Committee also recommends that the facilities provide for a seamless delivery of services.
2. Delivery of service through the One-Stop system should be customer-driven. Connecticut's One-Stop system will meet all WIA requirements, but also will continue to address broader workforce needs.
3. The desired One-Stop system should be inclusive. Partnerships on a statewide basis should extend beyond the requirements of WIA. The decision has been made to include TANF employment services as a One-Stop partner. It is important that Food Stamp Employment Programs, HUD Employment and Training, DECD Business Services/Public Housing be included among the required partners. It is understood that additional partners will be identified at the regional level.
4. Partnership with the following statewide entities should be explored:
  - Department of Transportation
  - Department of Children and Families
  - Community Colleges
  - Department of Higher Education
  - Department of Mental Health and Addiction Services
  - Office of Policy and Management
  - Department of Corrections
  - Judicial Department
  - AFL-CIO
  - Connecticut Business & Industry Association
5. There should be elements of service integration to increase operational efficiency. The following functions should be addressed to facilitate the process of integration. Some of these can be achieved sooner than others.
  - Initial intake and assessment forms

- Case management
- Employer contacts
- Career counseling
- Tracking and data management

6. There should be at least one comprehensive One-Stop Center in each region. Other One-Stop centers might augment service delivery through statewide or local partners, or through virtual services. Through OWC, the state should provide RWDBs with estimated resources and planning assumptions so that the regions can address the above-mentioned issues.

The design group presented a preliminary design to the CETC Ad Hoc WIA State Plan Committee on September 28, 1999. The design built upon the current One-Stop system but using WIA to increase accessibility, partnership and collaboration among required partners and other statewide programs whose interests in enhanced service delivery complement services provided in the One-Stop Centers.

It is important to note that the work group resolved issues of coordination and services by first identifying the core and intensive services that would be necessary for both employers and job seekers. They then identified how those services might be provided (e.g., Internet, self-service, group services, one-on-one services). Additionally, the group identified organizations that currently provide those services to their customers and identified areas of commonality that can be used to promote integration and prevent duplication of services. The group expected to have a staff unit in place in each comprehensive center to conduct intake and customer service, integrated with regard to form and process across partners, by July 1, 2000.

In the new One-Stop delivery system described above, labor exchange services will be coordinated among all partners in each local area using the inter-agency team approach under the management of the One-Stop Operator (or operating consortium). In addition to required partners, the TANF program will be included and others may include: work programs and employment/training programs authorized under the Food Stamp Act; other appropriate programs such as apprenticeship, customized job training, economic development assistance, and community-based organizations; and programs authorized under the National and Community Service Act of 1990. Use of Wagner-Peyser funds will be coordinated through RWDBs, using Memoranda of Understanding with all One-Stop partners to outline service delivery details ensuring that duplication of labor exchange services is avoided. In particular, the Connecticut Department of Labor, the agency administering Wagner-Peyser funds, will be a required consortium partner in any local area that chooses the consortium method of One-Stop operation.

3. *Describe how the funds will be used to leverage other federal, State, local and private resources (e.g., shared One-Stop administration costs). Specify how the State will use its 10 percent funds under section 7(b) of the Wagner-Peyser Act. Describe and provide examples of how these coordinated and leveraged funds will lead to a more effective program that expands the involvement of businesses, employees and individuals.*

Connecticut will use the Governor's Discretionary 10 percent funds pursuant to Wagner-Peyser section 7(b)2, as amended, to fund Career Development Specialist positions within the *Connecticut Works* system to provide intensive re-employment services to populations with special needs.

The coordinated and leveraged funds used to support the Career Development Specialist positions within the *Connecticut Works* system will lead to a more effective program by increasing the centers' capacities to provide intensive services for a greater number of persons with special needs. The

objective is to significantly reduce the re-employment barriers faced by all persons with special needs and expedite their return to gainful employment. As a result, a greater number of individuals will supplement the State's workforce providing employers with additional qualified workers to fill prospective job openings.

4. *Describe how the needs of dislocated workers, displaced homemakers, low-income individuals such as migrants and seasonal farmworkers, women, minorities, individuals training for non-traditional employment, veterans, and individuals with multiple barriers to employment (including older individuals, people with limited English-speaking ability, and people with disabilities) will be met.*

Connecticut will build upon several existing state initiatives in meeting the needs of these groups.

Since 1983, CTDOL has administered a special program for displaced homemakers. In consultation with the State's Displaced Homemaker Advisory Council, CTDOL distributes state funds through separate grants, geographically dispersed, to provide services needed to help displaced homemakers and their families achieve economic self-sufficiency through employment. These services will continue to be offered under WIA.

With the Governor, the Labor Commissioner chairs the state's oldest Governor's Committee for Employment of Persons with Disabilities in the U.S. Staff of this broad public-private partnership have received training in recognition of people with special needs, utilization of adaptive equipment, recognition of adults with learning disabilities and relationships with special service entities such as the Commission on the Deaf and Hearing Impaired, and the Office of Protection and Advocacy. The public Vocational Rehabilitation programs of the Bureau of Rehabilitation Services and the Board of Education and Services for the Blind are full partners in the workforce investment system. For eligible individuals seeking or attempting to retain employment, staff from these programs will be available to provide disability-related services not otherwise available through the generic workforce investment system.

Members of both sexes, minorities, various racial and ethnic groups, individuals with disabilities, and individuals in differing age groups will have access to Core, Intensive and Training services funded under WIA. The *Connecticut Works* system will advertise programs and/or activities in media such as newspapers and radio programs that specifically target various minority populations. Notices about openings in programs and/or activities will be distributed to schools or community service groups serving minority populations. Appropriate community service groups will be consulted regarding ways to improve *Connecticut Works* efforts to conduct outreach to and serve various minority populations.

Displaced homemakers, people with disabilities, older workers, low-income individuals determined to be in need of nontraditional training and those with multiple barriers to employment who are unemployed will have access to intensive and training services that utilize WIA funds. Staff at the *Connecticut Works* centers will be trained in recognizing and serving these target groups. In addition, staff from One-Stop partners including DSS, BRS and BESB and those skilled in working with other targeted populations) will be available to initiate linkages to services to address the specific needs of such individuals.

Services for dislocated workers have been and will continue to be provided through the *Connecticut Works* system. Those who meet the eligibility criteria as defined in WIA will have access to Core, Intensive and Training services. RWDBs will determine the need for dislocated worker funding within the local areas and will include those needs in their local WIA plans. As the need arises, CTDOL will continue to apply for National Reserve Account grants to provide services to dislocated workers.

The number of people with limited English-speaking ability continues to increase in Connecticut, particularly in inner-city areas. SDE is primarily responsible for services to people with limited English-speaking ability and these services are described in detail in the WIA Title II, Adult Education and Family Literacy plan. SDE is a key partner in the *Connecticut Works* system and ESL services will be provided through this system.

Connecticut has a long-standing commitment to non-traditional employment, with the intention of continuing to focus on NTO as a viable way for people to access high paying jobs and career advancement. There will be an NTO focus within all Title I funding streams: youth, adults and dislocated workers. Connecticut has allotted over \$350,000 per year to programs that deliver NTO training and placement services. Funding has been used to develop model programs which prepare women to enter apprenticeable building trades and high skill technology areas. A strong collaboration between unions and program operators continues to be fostered to increase women's enrollment in apprenticeship and pre-apprenticeship programs.

NTO opportunities are available throughout the One-Stop system. The One-Stop centers have a number of NTO-related audio-visual and printed materials available. Staff have received NTO awareness training and can inform and support customers regarding the possibility of NTO training and employment and staff throughout the system have a listing of NTO occupations which clarifies what is and is not an NTO training program and/or placement.

There is also an "Alliance for Women and Girls in Education and Job Training" which will continue to meet on a regular basis. This is an advocacy group for service providers which meets to share information and concerns about federal state policies and funding and about programmatic changes in key employment and training programs, as well as providing an opportunity to network and share strategies and tools. The focus of the group is sharing information on increasing the access of women into nontraditional training and placement in occupations that require high skills and pay high wages. There is representation from state agencies, the Connecticut Women's Education and Legal Fund, the Permanent Commission on the Status of Women, RWDBs and service providers.

Services for Veterans and MSFW's are described in questions 10 and 11 of this section.

The *Connecticut Works* centers are already committed to providing reasonable accommodations to services for people with disabilities and assuring access to Wagner-Peyser Act-funded services (per Section 504 of the Rehabilitation Act of 1973 prohibiting employment discrimination on the basis of handicap in any program or activity which receives federal financial assistance; discrimination is prohibited in all aspects of employment against handicapped persons who, with reasonable accommodation, can perform the essential functions of a job).

5. *Describe the criteria developed by the State for local boards to use in determining that adult funds are limited and that priority of service applies. Describe the guidelines, if any, the State has established for local boards regarding priority when adult funds have been determined to be limited.*

Under conditions of limited funding availability, a specific priority of the state of Connecticut in the implementation of its workforce investment system under WIA will be the delivery of services to Temporary Family Assistance (TFA) public assistance recipients and other low-income job seekers and "at-risk workers" (as defined in P.A. 99-195, enacted by the Connecticut Legislature). The overall goal for the delivery of services to these populations will be the attainment of stable, full-time employment

that meets the self-sufficiency measurement calculated by the Office of Policy and Management, pursuant to C.G.S. Sec. 4-66e.

Connecticut recognizes both the expressed goal of WIA to reduce welfare dependency and the specific statutory mandate of WIA to prioritize the delivery of adult intensive and training services to recipients of public assistance and other low-income individuals in situations where local area funding allocations for adult employment and training activities are limited. The state assumes, unless specifically demonstrated to the contrary by an RWDB, that local area funding allocations under WIA for adult employment and training activities are limited. However, in prioritizing service delivery, the availability of TANF funds must also be considered.

Accordingly, the RWDBs will be directed to implement the following:

- Document in their local plans an assessment of local area needs for employment and training programs, particularly those of TFA recipients and other low-income persons;
- Identify in their local plans how TFA recipients and other low-income persons will be prioritized in the delivery of intensive and training services within their local areas. This prioritization process must include an assessment of: (a) how local area funding allocations will be specifically targeted toward these populations; (b) how the local area One-Stop delivery system will prioritize resources toward service delivery directed at these populations; (c) how local area resources will be directed toward the goal of stable, full-time employment meeting the self-sufficiency measurement for each individual participant served in these populations; and
- Document in their periodically required performance measurement reporting data the outcomes of service delivery targeted to these populations. These will include both the WIA core indicators of performance and the applicable customer satisfaction indicators.

6. *Describe how the needs of employers will be determined in the local areas as well as on a statewide basis. Describe how services (e.g., systems to determine general job requirements and list jobs), including Wagner-Peyser Act services, will be delivered to employers through the One-Stop system. How will the system streamline administration of federal tax credit programs within the One-Stop system to maximize employer participation?*

To determine the local and statewide needs of employers, CTDOL and RWDBs will conduct employer focus groups and employer needs surveys, as well as employer satisfaction surveys. Focus groups and need surveys will examine the needs of various and diverse employer groups (small, medium and large companies), as will growth companies and those in expansion modes. New strategies for meeting the needs of diverse employer groups will be developed. Efforts will be made to address the needs of those companies which have taken advantage of state resources and those which have not. As a result of the accelerated needs assessment process conducted during the past year by the RWDBs, local needs assessments reflect the results of such efforts and provide enhanced information regarding employer needs. Information from focus groups and surveys also will be used to enhance the configuration of services, available to individual clients and employers, for delivery through the *Connecticut Works* centers.

Services to employers will be delivered through the *Connecticut Works* system in a variety of ways, including self-service through the Internet and mediated core, intensive, and training services. Internet services include America's Job Bank, and a variety of information services on topics such as Labor Market Information, federal and state tax credits, and training services. Mediated services include:

Connecticut's Job Bank which is offered through a single central location; apprenticeship; and customized job training funding and related services that are offered through *Connecticut Works* Center Business Services Units. The Vocational Rehabilitation partners will be available to consult with employers regarding the ADA, reasonable accommodation, employee assistance, and other disability-related employment issues.

Services for employers will include a centralized job bank to which employers may post job orders; a quality referral process (scrutiny of the applicant regarding work history and skills, and review of match prior to referral); and the option to have suppressed or unsuppressed job orders. Any additional investors in job matching systems will be required to invest in the One-Stop matching system. Intensive Services for employers will be provided through an employer resource team which will provide information and services regarding job development, loans, customized job training, tax credits, apprenticeship, and labor exchange/job seeker pool.

To enhance outreach to employers, Account Executives, assigned to employers by industry cluster, will serve as the point of contact for all employer services related to employment and training needs, and, with Job Developers, will provide review of all job openings, review of resumes, assessment of employer needs related to training, workforce development, job skill needs, entering job opening information on the Web and for postings, and use of labor market information to make business decisions. Account Executives will give each employer a status report within 48 hours. Customer satisfaction will be surveyed frequently. Account Executives will be trained to provide information on all of the state's training services and providers, including grant and loan programs, tax credits, technical assistance programs, and the kinds and quality of training offered by public and private training institutions.

To further augment employer outreach, a marketing strategy targeted to the state's employers will be incorporated in the redesign of the One-Stop delivery system. This marketing strategy will also serve as a key component in improving the delivery of training services.

To streamline the administration of federal tax credit programs and maximize employer participation, CTDOL is integrating and consolidating the administration of both federal and state tax credits into a single centralized location. *Connecticut Works* center staff will screen and refer federal and state tax credit eligible individuals to tax credit job orders. Staff from the centralized tax credit unit have access to data on job orders, client referrals, and outcomes; and staff issue federal and/or state tax credit certification(s) or denial(s) to requesting employers.

CETC will continue to make strong efforts in expanding and diversifying employer-driven worker training opportunities in Connecticut. The Customized Job Training Program (CJT) administered by CTDOL continues to provide tailored training opportunities for employers at their worksites. While modestly funded at present, CJT has been particularly efficient in providing important employer-based training opportunities at relatively low cost. The program also has generated significant amounts of employer matching funds (a 50 percent match is required) and has been accessed aggressively by companies (especially small and medium-sized manufacturers). The demand for CJT resources has continued to grow and CETC has gone on record recommending that the program be expanded. CETC has also recognized the importance of using a networking approach, linking like businesses or companies having business relationships (e.g., buyers/suppliers, producers of parts and assemblers, etc.) to formulate joint training agendas for better use of available resources. As a means of articulating the employer-driven agenda more precisely, CETC has received funding from USDOL, through a grant administered by CTDOL, for the development of an Incumbent Worker Training State Plan. The CETC

Policy Initiatives Committee has been facilitating the development of this plan with state and local partners. Connecticut’s approach to “employer directed worker training” is outlined in Appendix F.

*7. Describe the reemployment services you will provide to Worker Profiling and Reemployment Services claimants in accordance with sections 3 (c)(3) of the revised Wagner-Peyser Act.*

The Worker Profiling and Reemployment Services System (WPRS) identifies customers who are likely to exhaust unemployment compensation benefits, and provides additional services to these customers in order to hasten their return to the workforce. The Connecticut Profiling program consists of five components:

**a. Identification**

The customer completes a profiling questionnaire at the time of the initial claim for unemployment benefits. Data is collected from the questionnaire and weighted according to statistical values assigned to each component of likely exhaustion. The candidates are then ranked according to their likelihood of exhausting benefits prior to returning to work.

**b. Selection**

A list of scored candidates is computer-generated each week for each *Connecticut Works* center. The Profiling staff selects candidates from the list, and generates appointment letters to call the candidates in for profiling orientation.

**c. Referral and Assessment**

Selected candidates attend a profiling orientation held in the local *Connecticut Works* centers. During this orientation, customers receive information about program requirements, available services, initial assessments, and the effects of non-participation. The customer’s reemployment needs are assessed, and a service plan is developed. Customers waived from participation are still allowed access to all core services available in the centers.

**d. Reemployment Service Delivery**

The extent of reemployment services offered to customers is dependent on their specific needs. Available reemployment services range from staff-assisted core services to training services. Reemployment services can be provided by any of the *Connecticut Works* partners, such as CTDOL, RWDBs or Community Colleges.

**e. Feedback and Follow-up**

The feedback process is the link between the service provider, the *Connecticut Works* center, and the unemployment payment system. Once the customer develops a service plan with the profiling staff member, he or she is tracked through the process to ensure compliance with the plan, and offered additional assistance if necessary. The profiling staff member follows up with the customer by scheduling a reassessment interview for customers who have completed their service plan or an Adjudication hearing for customers who have failed to participate.

*8. Specifically describe the Wagner-Peyser Act-funded strategies you will use to serve persons with disabilities:*

All *Connecticut Works* Centers are physically accessible, and all center staff have received disability awareness training. A review of services to people with disabilities is routinely conducted at the Capital

Region Service Delivery Area via a Disability Advisory Committee (DAC). The DAC includes representatives from the three *Connecticut Works* One-Stop Centers for that area and representatives of a variety of disability service providers who outline goals and coordinate services. Recommendations from the committee have provided many enhancements to servicing the clients with disabilities in that region. Similar committees are being developed for other Service Delivery Areas. Plans are also underway to procure America's Jobline, a public access search network which includes BRS and BESB as key partners), to provide personalized job search by telephone for persons with disabilities. The service is available 24 hours a day and will allow callers to search a regularly updated job-order database. BRS and BESB are available to provide support for eligible individuals with disabilities who are seeking employment. This support will continue through joint local provision of services to individuals with disabilities, including referral, consultation and the provision of direct services.

*9. How will Wagner-Peyser funds be used to serve veterans? How will your State ensure that veterans receive priority in the One-Stop system for labor exchange services?*

All veterans will be provided the maximum employment and training opportunities, with priority given to disabled veterans. All staff members of the *Connecticut Works* centers will provide services to veterans and eligible persons. The *Connecticut Works* system will provide all veterans the opportunity to access the system both in person and electronically. All intake staff members in the *Connecticut Works* offices will be trained in the identification of veterans and in the importance of providing priority to veterans in the referral to employment and training opportunities. All customers of the *Connecticut Works* system who have served in the U.S. military will be asked to identify themselves, so that they may be provided priority appropriate services on a priority basis.

*10. What role will LVER/DVOP staff have in the One-Stop system? How will your state ensure adherence to the legislative requirements for veterans' staff? How will services under this plan take into consideration the agreement reached between the Secretary and the State regarding veterans' employment programs?*

Local Veterans' Employment Representatives and/or Disabled Veterans' Outreach Program Specialists will be located in all *Connecticut Works* Centers. They will be assigned to these Centers and provide services to veterans in accordance with the "Secretary's Agreement (Governing Services to Veterans)." Veteran customers will be able to access LVER/DVOP staff at these Centers and also through CTDOL's "Veterans' Services" web page, which will provide a listing of their Internet e-mail addresses.

A "triage" approach will be used in each center to determine which veterans will receive "one-on-one" service from the LVERs and DVOP Specialists. In providing employment and training services to veterans, LVER/DVOP funded staff will follow the guidelines established by the Assistant Secretary for Veterans' Employment and Training. They will focus their efforts on those veterans needing intensive services and use a case management model to serve those veterans with barriers to employment.

LVERs and DVOP Specialists will provide technical assistance and training to One-Stop Center staff relative to programs, resources, and the priority of services to veterans.

*11. Describe how the state will provide Wagner-Peyser Act funded services to the agricultural community - specifically outreach, assessment, and other services to migrant and seasonal farmworkers, and services to agricultural employers. How will you provide equitable services to this population in the One-Stop system?*

The Agricultural Services Submission required by TEGL 4-99 was submitted on May 5, 2000.

Under WIA, migrant and seasonal farmworkers (MSFWs) will be afforded access to the same employment services and opportunities available to any other client through Connecticut's One-Stop System. Through long-standing efforts, CTDOL and *Connecticut Works* have developed relations with several non-profit community-based organizations (CBOs) relating to the needs of MSFWs. Agencies such as ConnectiCOSH, Statewide Legal Services, Connecticut River Valley Farm Workers Health Network (CRVFHN), San Juan Center, Connecticut Puerto Rican Forum and the New England Farm Workers' Council are supportive in serving the MSFW population. Additional CBOs have been invited to participate in MSFW activities and are expected to join the One-Stop effort under WIA.

Special outreach services to MSFWs will be provided through the *Connecticut Works* system. During the peak season, one staff person will be assigned specifically to conduct outreach. This individual will have relevant field experience and thus will be sensitive and responsive to the particular needs of MSFWs. The Hartford One-Stop Center and the State Monitor Advocate will be responsible for training the proposed outreach worker in all aspects of services and outreach methods. Outreach activity will include explanation of available services, offers to provide a variety of services off-site as necessary and appropriate, follow-up and publicity.

Bilingual/minority staff in areas with large Hispanic populations help overcome language and culture sensitivity problems. The Hartford and Bridgeport *Connecticut Works* offices already have full-time interpreters to assist non-English speaking clientele with language problems.

Services provided to MSFWs will include legal assistance, orientation to services, on-site recruitment, migrant education services, transportation services, job placement and counseling, Unemployment Insurance, health education and services, labor market information, and training and retraining information. Many of these services will be provided through Agricultural Job and Information Fairs, which have proven successful in recent years.

**Services Provided to Agricultural Employers:** CTDOL is presently working with agricultural employers to address issues such as labor shortages, housing conditions, transportation issues and regulatory compliance, as well as making concerted efforts with the Connecticut Department of Agriculture and employers' associations to make services known and available to growers. The following services are offered to employers:

- Housing inspection to meet regulatory requirements for MSFWs;
- Participation in Job and Information Fairs to help local recruitment;
- Employment workshops to recruit on-site in *Connecticut Works* Centers;
- Mediation assistance from the State Monitor Advocate to resolve MSFWs' issues;
- Assistance in placing local and interstate job orders through the *Connecticut Works* system;
- Orientation to regulatory compliance via annual meetings and individual assistance; and
- Introduction to various CBOs, such as the New England Farmworker Council, ConnectiCOSH and the Connecticut River Valley Farm Workers Health Network to assist with recruitment, health education, medical evaluation and transportation of workers to medical appointments.

12. Describe how Wagner-Peyser Act funds will provide a statewide capacity for a three-tiered labor exchange service strategy that includes (1) self-service (2) facilitated self-help service, and (3) staff-assisted service. Describe your State's strategies to ensure that Wagner-Peyser Act-funded services will be delivered by public merit staff employees.

Wagner-Peyser Act funds will be used to deliver Employment Services in accordance with the three-tiered delivery approach as outlined under WIA, and merit staff employees will continue to provide for a public labor exchange as mandated under the Wagner-Peyser Act.

All *Connecticut Works* centers respond to the self-service approach by providing public PCs and kiosks with Internet access to such on-line products as: America's Job Bank, America's Talent Bank and America's Career Info-Net, job search and preparation software, as well as labor market and training information. Job seekers can search for jobs or enter their resumes into America's Talent Bank. Employers can directly enter job postings or search our Connecticut job bank database for potential workers to fill their job openings.

For job seekers encountering difficulty using the electronic forum as their primary means of acquiring employment, the *Connecticut Works* centers have Wagner-Peyser merit staff available to provide facilitated self-help assistance. The staff will initially assess the level of assistance required by the customer and, if necessary, will recommend that the customer receive staff-assisted services. Such services could include: help with preparing a resume, interviewing preparation and one-on-one career counseling for job seekers with barriers to employment.

*13. Describe how your State will provide rapid response activities with funds reserved under section 133(a)(2), including how the State will use information provided through the WARN Act to determine when to provide such activities.*

*a. Identify the entity responsible to provide rapid response services.*

CTDOL's Rapid Response Unit (part of the Dislocated Worker Unit) is responsible for providing rapid response services.

*b. How will your State's rapid response unit's activities involve the local Boards and local Chief Elected Officials? If rapid response functions are shared between your State unit and local areas, identify the functions of each and describe how rapid response funds are allocated to local areas.*

When rapid response activities are requested, Rapid Response Unit staff arrange for on-site meetings with the employer/union as soon as possible. As part of the state's rapid response team, RWDBs are notified and attend on-site meetings as well as early intervention sessions. Other than that, rapid response functions are not shared between the State unit and local areas.

WARN notices are sent to Chief Elected Officials (CEOs). Connecticut is considering inviting CEOs to the Rapid Response meetings.

*c. Describe the assistance available to employers and dislocated workers, particularly how your state determines what assistance is required based on the type of lay-off, and the early intervention strategies to ensure that dislocated workers who need intensive or training services (including those individuals with multiple barriers to employment and training) are identified as early as possible.*

The Rapid Response process begins when the CTDOL Rapid Response Unit is informed of a mass layoff or plant closing from any of several sources: receipt of WARN notices; phone calls from employers, employees, and unions; referrals from Rapid Response Team members; calls from private outplacement firms or re-employment support groups; and media notices or inquiries.

Rapid Response Unit staff members will initiate contact with the affected employer and union immediately upon notification of the mass layoff or plant closure. Arrangements for an on-site Rapid Response meeting to discuss the situation in more detail will be made at the earliest possible date. A Rapid Response notice outlining the date, location, directions, general information about the company and layoff and confidentiality factors will be faxed to all Rapid Response Team members (RWDB staff, DHE, the AFL-CIO Community Services Program, and *Connecticut Works Centers*). The Rapid Response notice will also be sent to CTDOL's TAA/NAFTA Unit and the CTDOL Office of Research. In addition, if there is a possibility that a closing can be averted, DECD will be contacted and invited to attend the Rapid Response meeting. At that meeting, information will be gathered on the impending dislocation and determine appropriate service provision for individuals with special needs so early referral can be made. CTDOL's Rapid Response Unit analyzes the data and, if needed, prepares a proposal to request additional funding through either the Governor's Reserve or National Reserve Account if warranted. At the Rapid Response meetings, dates for "Early Intervention" sessions will also be scheduled. The Early Intervention session is a presentation given to affected workers by the Rapid Response Team. Each worker will be provided with a packet of information with names and phone numbers of each respective agency, and will be encouraged to call their local *Connecticut Works Center* as soon as possible to begin the certification process.

Subsequent calls by the Rapid Response Unit to the employer, union, and team members will ensure that subsequent services will be provided in a timely and effective manner. Each of the *Connecticut Works Centers* has a designated representative who is responsible for attending Rapid Response sessions and acting as a liaison among the *Connecticut Works Center*, RWDB staff and the company.

*14. Describe your state's strategy for providing comprehensive services to eligible youth, including coordination with foster care, education, welfare and other relevant resources.*

The youth portion of the state's Five-Year Plan represents Connecticut's long-term strategy for workforce development. Extensive research has produced known principles regarding the best practices for serving youth, including vulnerable youth. Connecticut is including these "Levitan Principles" in its plan, as they provide the context within which effective programs will be developed.

These principles include but are not limited to:

- Insuring a continuity of contact with caring adults committed to youths' success in the labor market;
- Emphasizing the centrality of work and connections to employers;
- Providing a variety of options for improving educational and skill competencies;
- Offering "hands-on" experiential training in areas of labor market growth and community rebuilding;
- Guaranteeing on-going support through the first jobs, coupled with sustained efforts to improve skills;
- Affording opportunities for leadership development, self-governance and decision-making;
- Setting up incentives to improve and provide recognition of achievements; and
- Linking young people with sources of external supports.

To provide comprehensive services to eligible youth, the CETC Youth Committee will oversee efforts to:

1. Inventory youth programs in all of the state's regions as part of the process of certifying local providers. (Each regional Youth Council will be responsible for the inventory);

2. Use available resources creatively (such as state and local school aid, WIA Title I and II funds, school-to-career funds, Pell grants, Perkins funds, TANF resources, juvenile justice funds, and other federal and state resources) and coordinate with the providers that currently exist in the community such as Youth Service Bureaus and community-based organizations (including faith-based organizations);
3. Inventory all funding streams available to support youth and analyze ways in which these funds can be used together to achieve Connecticut's goals for youth;
4. Research and implement additional ways of accessing funding for youth, including such approaches as leveraging corporate funds for summer jobs and/or GED attainment, leveraging local level funds such as Community Development Block Grants and Housing Authority funds, using resources such as state college tuition grants for economically disadvantaged youth, and including a "Blue Chip" Connecticut employer to help shepherd these efforts;
5. Coordinate and integrate the major concepts of the school-to-career system with WIA youth programs;
6. Coordinate WIA youth programs with those offered through Title II, The Adult Education and Literacy Act, the Carl D. Perkins Vocational and Technical Education Act and *Jobs for Connecticut's Graduates* to provide more comprehensive services and maximize effective use of the funding;
7. Work with SDE as they develop their five-year plan and Goals 2000 to assure coordination of policies and programs;
8. Create comprehensive youth career development service components within existing *Connecticut Works* Centers located in each local workforce investment area for all in-school and out-of-school youth, defining and coordinating the array of services available within and/or accessed through the Centers through the local Youth Council and the RWDB;
9. Integrate the planning and allocation of workforce investment resources for youth under Title I of WIA – at both the state and local levels – with the planning undertaken by the Connecticut Department of Children and Families (DCF) and Connecticut Judicial Department's Court Support Services program;
10. Find and utilize an effective intermediary to work with the employer community and engage the employer in a meaningful and efficient fashion to pull the parts of the system together so that it works as a seamless delivery mechanism;
11. Avoid duplication of other system services or creation of stand-alone networks to employers, coordinating and integrating with other systems whenever possible. CETC will work in collaboration with all interested parties to pursue the development of innovative approaches to serving the state's youth;
12. Utilize the Youth Councils as community collaboratives for leadership, planning and oversight in the development of policy and implementation of services to youth. In particular, CETC will go beyond the explicit WIA plan requirements with regard to youth, by recommending through its Youth Committee that RWDBs' appointments to local Youth Councils include individuals or agency representatives with experience and resources related to the 10 program elements required by WIA Sec. 129 (c)(2) A-J) and the aspiration to create a vision for youth service provision beyond the requirements of WIA. These appointments will be recommended to include representatives of local boards of education, adult education, business and youth (particularly youth active in vocational student and/or youth leadership organizations); and
13. Encourage the active involvement of youth and parents in the development and implementation of policy at state and local levels. Training will be offered, as needed, to youth and policy making bodies to assure that youth involvement will be a positive experience for all concerned.

CETC set up a special workgroup of professionals (including representatives of the RWDBs, CTDOL, SDE, DCF, the Department of Corrections (DOC), BRS, comprehensive high schools, Court Support Services, local housing, the Judiciary, and the Connecticut Job Corps) to aid in the development of the youth portion of the Five-Year Plan. Under the direction of the CETC Youth Committee, this group will continue, through the start-up and implementation of the Workforce Investment Act. One of the major responsibilities of the group will be to ensure that youth services are coordinated at the state and local levels so that all youth receive needed services – in particular vulnerable youth, including those under the custody of DCF (foster children), youth with disabilities and youth who have had interactions with the juvenile justice system.

It will be the task of the CETC Youth Committee to provide policy guidance for the implementation of this plan. Initial responsibilities to move the work forward will include developing a timetable for the implementation of these initiatives relative to goals and objectives and the coordination of efforts between state agencies and local boards to target resources towards needs.

*State requirements and activities to assist youth who have special needs or barriers to employment, including those who are pregnant, parenting, or have disabilities:*

Connecticut complies with the federal Individuals with Disabilities Act (IDEA) of 1990, including amendments that addressed the transition planning requirements for inclusion in the Individualized Education Program (IEP) of all students who receive special education services. In addition to the requirement to develop long term goals and annual objectives to assist students with disabilities to meet employment and/or postsecondary education goals, there is strong language that requires school districts to collaborate with, and coordinate services with any agency that could provide assistance or programs to support a student to meet their employment goals. The federal requirements of IDEA are paralleled in state education law.

The Rehabilitation Act of 1973, as amended in 1998, also contains strong language that supports collaboration and coordination among vocational rehabilitation and the state agency responsible for overseeing the provision of special education services. An interagency agreement has been developed among SDE, Bureau of Special Education and Pupil Services, DSS, BRS, and the Board of Education and Services for the Blind. The interagency agreement outlines each agency's commitment and responsibilities to coordinate and enhance transition services for students with disabilities.

Pregnant or parenting teens who are recipients of Temporary Family Assistance (TFA) or state welfare cash assistance are provided employment services through the Department of Social Services (DSS), which determines which teens are required to participate according to the regulations. A pregnant teen is exempt from such participation if her physician certifies that she is unable to work.

Parenting teens are categorically exempt from participation in Jobs First employment services if they are attending elementary or secondary school (including vocational-technical schools) on a full time basis. If they are not enrolled in school, and are not otherwise exempt, they are referred to *Connecticut Works* for Jobs First employment services. Once with *Connecticut Works*, teen parents may receive services similar to those provided to non-teen TFA recipients. Although the program is employment-focused, in many cases clients are able to enroll in adult basic education, GED preparatory classes, or English as a second language. Some may be enrolled in vocational education programs or Job Corps.

*Connecticut's coordination with Job Corps, Youth Opportunity Grants and other youth programs:*

Connecticut has the closest relationship with Job Corps of any state in the nation. Current efforts include quarterly meetings of the State Interagency Job Corps Oversight Advisory Board, which includes representation from BRS, the Connecticut Board of Education and Services for the Blind, DCF,

SDE and CTDOL, as well as the State Judicial Office and OPM. The Board's quarterly meetings focus state agency efforts to support Job Corps in Connecticut, highlight opportunities for continuous improvement in Job Corps services to both the Connecticut Center operator and the Region I Office of Job Corps.

Connecticut maintains the commitment stated in its Memorandum of Understanding (MOU) with Region I Office of Job Corps to contribute up to \$750,000 worth of in-kind services and cash to support Job Corps in Connecticut annually. Services provided at the Connecticut Job Corps Center in New Haven include a pre-GED instructor, a job placement specialist, a student counselor, a student services coordinator, and a child daycare center. In addition, support from CTDOL helped the City of Hartford acquire designation as a site for development of a second center to be named the Capitol Region Job Corps Center.

RWDBs understand Job Corps to be a viable option and include it on the roster of service providers to whom they refer young people. In addition, nearby *Connecticut Works* Centers provide regular workshops for Job Corps student employees, introducing them to the resources available to them for locating employment and other services.

The RWDBs, which will access the Youth Opportunity Grants, will be responsible for ensuring that coordination with the youth services system is an integral component of the plan. The RWDBs, and the Youth Councils they establish, will ensure that coordination occurs among existing activities serving youth in their regions. State agencies will share information about program activities undertaken at the local level and, to the extent possible, will deploy resources in support of RWDB plans. The same will apply to all other youth programs in the region. It will be the responsibility of the RWDBs, and especially that of the Youth Councils, to ensure that effective coordination occurs among all youth programs provided through different entities such as Criminal Justice, Alternative Sanctions, the Bureau of Rehabilitation Services, Youth Services, city programs, etc. Opportunities for cooperation between Job Corps Centers (the existing one in New Haven and the one scheduled to open in Hartford in 2001) and RWDBs around providing training opportunities will be explored. (As one example, the possibility of allowing adult trainees to use vocational training equipment in the New Haven Job Corps Center in the evenings has been discussed.) Possibilities for closer coordination around transportation and child care also will be explored. These and other collaborative opportunities will be considered in Hartford as well.

Services for youth with disabilities will be enhanced through use of a model developed by the Capital Region Workforce Development Board – an interagency Disability Resource Committee whose primary mission is to “...advise *Connecticut Works* staff on processes and materials to ensure universal accessibility and sensitivity to the needs of all customers.” Goals of the committee include:

- To review and critique the service delivery system used at the Capital Region One-Stop Center, insuring sensitivity to the needs of customers with disabilities and compliance with federal and state law;
- To assist staff in the development of materials and formats that are appropriate for persons with disabilities and that create a climate of inclusiveness;
- To serve as consultants to the staff of One-Stop Centers in the state regarding available resources that meet the unique employment and training needs of customers with disabilities;
- To facilitate the linkage and coordination of employment and training resources for people with disabilities, promoting a more comprehensive and cohesive services delivery system; and

- To disseminate information, both to people with disabilities and agencies working in the field of disabilities, regarding services of the One-Stop Centers that are available and accessible to customers with disabilities.

In cooperation with the efforts of the SDE and BRS state interagency Transition Task Force for Students with Disabilities to expand Disability Resource Committees to all *Connecticut Works* Centers in the state, Disability Resource Committees will be developed in the Hamden and Bridgeport *Connecticut Works* Centers during the 1999-2000 FY. Continued expansion of these committees will occur at two per year until all *Connecticut Works* Centers in the state have operational committees.

*15. Describe how your state will, in general, meet the Act's provisions regarding youth program design*

Connecticut will meet the Act's provisions regarding youth program design in the following ways. Of particular importance, the needs of the state's most vulnerable youth – those who are out of school, involved in the juvenile justice system, challenged by disabilities, or living in poverty – will be adequately met.

*Preparation for postsecondary educational opportunities:*

Youth and service providers will have knowledge of and access to the Connecticut Talent Assistance Cooperative (CONNTAC) Educational Opportunity Center (EOC), a federally funded program that provides free educational counseling and career planning services to U.S. citizens living in Connecticut who demonstrate financial, academic, cultural or social need, and are eligible for services. Programs for youth will have information on all forms of post-secondary education available and will stress that college is a viable goal.

*Strong linkages between academic and occupational learning:*

The State will build upon the linkages between academic and occupational learning established under the auspices of the School-to-Work Opportunities Act of 1994, and the Carl D. Perkins Vocational and Applied Technology Education Amendments of 1998 (Perkins III). Examples of programs afforded to students under these acts include work-based learning, such as job shadowing, internships, pre-apprenticeships, vocational education and Tech Prep. In addition, only summer employment worksites that provide direct linkages to academic and occupational learning will be approved.

*Preparation for unsubsidized employment opportunities:*

With assistance from the Youth Councils, the RWDBs will include training and supportive services necessary to prepare appropriately eligible youth for unsubsidized employment in the RWDBs' program design strategies. Youth apprenticeships may be utilized during junior and senior years of high school, after which youth can go into a formal apprenticeship program.

*Effective linkages with intermediaries with strong employer connections:*

RWDBs will link youth providers with intermediaries with strong employer connections, such as local business organizations, Chambers of Commerce, organized labor, *Connecticut Works* Centers, etc.

*Alternative secondary school services:*

Youth will have access to alternative secondary school services, through local providers and the RWDBs. In addition to academic classroom activities, alternative secondary schools provide opportunities for career exploration through computer software programs, videos and presentations, career counseling and referrals, and where appropriate, to existing job opportunities, such as summer youth programs.

*Summer employment opportunities:*

The chief elected officials and the RWDBs are responsible for ensuring that there are summer employment opportunities, providing direct linkages to academic and occupational learning, and for determining how much of the available youth funds will be used for summer activities.

*Paid and unpaid work experiences:*

Work-based opportunities available to youth include both paid and unpaid experiences. Although the emphasis in School-to-Career is on paid work experiences, waivers will be issued to students for unpaid internships only in instances such as service learning and community service projects where there is one-on-one mentoring.

*Occupational skill training:*

One of the major components of services to youth will be a full array of occupational training, particularly in areas requiring high skill levels in math, science and technology. Whenever possible this training will be linked with training in academic and soft skills (teamwork, leadership, communications, decision making, determining priorities). This will include coordination with the state's Regional Vocational Technical School system, and intensified marketing efforts to make young people aware of the value of vocational careers.

*Leadership development opportunities:*

Leadership development opportunities are incorporated into many of the State's youth programs, including exposure to postsecondary educational opportunities; community and service learning projects conducted by local youth service bureaus, as well as summer and year round youth programs; peer mentoring and tutoring; organizational and teamwork training (such as that provided by DCF's Wilderness School); and training in employability and citizenship skills. Another important leadership opportunity for youth is the Connecticut Youth Leadership Forum, sponsored in conjunction with SDE, the Governor's Committee on Employment of People with Disabilities, DSS and BRS.

*Comprehensive guidance and counseling:*

Throughout Connecticut's system of services for youth there will be the opportunity for guidance, including referrals to counseling as appropriate to the needs of the individual youth. Providers will be required to have knowledge of and access to counseling options for youth and the ability to make those referrals.

*Supportive services:*

RWDBs will ensure that enough providers are available to provide important support services (assistance with transportation costs, access to medical and mental health and substance abuse treatment, assistance with books and/or tools needed for skills training and other needed supports) to be accessible to participating youth; and

*Follow-up services:*

With RWDBs coordinating the local delivery systems, follow-up services may include but are not limited to continued case management and/or supportive services, continuing contact with a youth's employer, including intervention as needed, additional career development and/or education, and continual tracking of progress following training. The present system lacks adequate capacity to generate and manage longitudinal data on youth. If eligibility criteria of other funding streams allow, RWDBs can pay for augmented follow-up activities through Welfare-to-Work (or, where applicable, through Youth Opportunity Grants).

## C. System Infrastructure

1. *How will the locally operated ITA system be managed in the State to maximize usage and improve the performance information on training providers? How will the State ensure the quality and integrity of the performance data?*

In preparation for the first year of WIA implementation, Connecticut will enhance its current JTPA MIS system to collect the data elements necessary to produce mandated reports and performance measures. This system has a series of edit checks, to be enhanced, which ensure logical consistency of the information being entered. As part of the performance monitoring process, a random sample of cases will be reviewed to validate that the information contained in the data system is accurate. The considerable work done by the RWDBs in planning for ITA system implementation will position the local system well to maximize usage and continuously improve performance.

The data collected by the above system will, when necessary for calculating performance measures, be combined with UI wage file information. CTDOL's Office of Research has developed an archive of wage records on a Microsoft NT server which will be utilized for this purpose using a data warehouse approach. Partner client data, whether contained in enhanced JTPA system or partner legacy systems, will also cross-matched against the UI wage file using this data warehouse approach.

During the first year of WIA implementation, Connecticut will develop an integrated One-Stop operating system. Connecticut is looking to model this operating system after one of the national models being developed with federal support, such as the One-Stop Operating System (OSOS). This system will provide, to the extent possible, a common front end for the one-stop system, and will facilitate a greater degree of case management and partner data sharing.

2. *How will your State improve its technical and staff capacity to provide services to customers and improve entered employment outcomes in accordance with section 7(A)(3)(F) of the Wagner-Peyser Act? How will your State use technology such as jobline, "swipe card" technology, a community voice mail system or other methods to build a mediated and electronic labor exchange network? How will the State use America's Job Bank/ State Job Bank Internet linkages to encourage employers to enter their own job orders on the Internet?*

CTDOL has established a capacity building workgroup to develop a training plan to fulfill its responsibilities under WIA. The group has identified ten general competencies for all front-line staff and ten competencies required by those providing core Wagner Peyser services. Additional work is in progress to determine competencies for intensive and training services and techniques for improving service to employers. Once the competencies have been determined, validated by field staff, and ranked with respect to criticality and frequency staff's current skill levels will be evaluated to determine the capacity gap. CTDOL will develop a comprehensive training strategy that leverages resources to avoid duplication. In particular, Account Executives will be trained to provide employers with information regarding training assistance programs administered by various agencies as well as the kinds and quality of training offered by the state's public and private training institutions.

As CTDOL continues to analyze and develop its training strategy, it is offering the Career Development Facilitator (CDF) certification to Profilers as a pilot project to determine the program's effectiveness as a front-line training program. In addition, CTDOL training initiatives for this current budget year focus on providing front-line staff with training on barrier identification, job development, résumé writing certification, and learning disabilities awareness as well as generic computer software literacy.

CTDOL, along with DSS and the Board of Education and Services for the Blind, plans to improve access for individuals with visual impairments to the State's electronic labor exchange by implementing the National Federation of the Blind's Jobline product in 1999.

The *Connecticut Works* system will use bar-coded membership cards as the primary method of tracking the provision of core services. Everyone entering a *Connecticut Works* center will be asked to provide his/her name, address, ZIP code, social security number, and veteran status. This information will be linked to a bar coded "membership" card that will be issued to each individual. Each time the individual enters a *Connecticut Works* center, he will be asked to swipe this membership card through a reader that will be linked to a database. This will permit the generation of data for use by the Workforce Investment Act administrator to track the number of individuals using the center, the number of repeat visits, and will allow cross matching of this information against the UI Wage file to produce WIA core performance measures. Connecticut has already begun using barcode technology to track usage of the *Connecticut Works* resource centers, and will build upon this experience to develop this membership system. The results sought through implementation of a bar code data collection system include better customer service, improved tracking of service use by categories of customers, and improved accuracy and consistency in performance measurement and statistical reporting.

The State's 19 *Connecticut Works* centers, Electronic Resource Information Centers in 132 state libraries, and 121 statewide kiosks, provide both job seekers and employers with greater convenience and access to staff-assisted labor exchange services. Service providers located outside actual *Connecticut Works* facilities will be able to participate in the delivery of mediated labor exchange services through this wide-ranging network of technological resources.

The Connecticut Job Bank unit is responsible for assisting employers of Connecticut with the registration and entry of employment opportunities onto America's Job Bank. This is achieved by offering direct linkage to America's Job Bank / Talent Bank through CTDOL's home page as well as providing an on-line job order questionnaire where employers can enter their listings. In addition, the Job Bank unit uses public forums such as Job Fairs and job search seminars to explain the services offered by America's Job Bank and encourage employer and job seeker registration.

The above-referenced aspects of the *Connecticut Works* system, implemented in partnership with the RWDBs at the local level and incorporating locally-developed strategies for service delivery, will contribute to improving customer service and outcomes, thus enhancing the continuous improvement efforts of the system.

3. *How will the State improve its employment statistics system to ensure that One-Stop customers receive timely, accurate and relevant information about local, state and national labor markets?* Connecticut has already initiated actions that will promote improvements to the state's employment statistics system and provide increased assurances that timely, accurate and relevant information about local, state and national labor markets will be available.

The transition of the State Occupational Information Coordinating Committee (SOICC) to a body that has broader responsibilities for both Section 309 of WIA and Section 118 of the Perkins Act has been proposed. With active participation of many of the major State agencies for many years, the continued participation of the current SOICC members will ensure a continuation of the work that has been accomplished under that group. In addition to these members, representatives of the RWDBs, businesses and business organizations, and others will be encouraged to participate on the new workforce information advisory committee. This group will work to coordinate the information and

efforts of various contributors and attract new resources in order to expand and enhance the data available to the workforce investment system in Connecticut. CTDOL's Office of Research has a central role on this committee and an ongoing commitment to improving the quality and availability of labor market information in the State.

The Office of Research will continue to:

- solicit and respond to feedback from customers to improve and enhance the delivery and content of its products and services to make them meaningful and practical for users.
- strive for universal access by making information available over the Internet in easily useable form, while continuing to make hard-copy products available as needed.
- make efforts to increase the LMI knowledge of the workforce investment system's service providers (e.g., employment counselors, guidance counselors, business service representatives, etc.) serving both individual and employer customers of the Connecticut Works system.
- participate on and contribute to State and national research and development efforts working towards the enhancement of information available for the workforce investment system.
- work with the Workforce Information Council to influence the development of the national employment statistics system and to obtain the support of Congress for the knowledge that this information brings to the providers and customers of the State's workforce investment system.

## **V. Performance Measurement**

### **Negotiation of Performance Levels:**

Two sets of negotiations took place under WIA. First, the Governor reached a preliminary agreement with each RWDB to determine its level of performance for each measure that will be its contribution to the state levels. Second, the Governor reached agreement with the regional office of USDOL/ETA representing the Secretary of Labor. The actual sequence and process used is described below.

For the negotiations, the RWDBs were asked to use three elements: 1) information on their previous performance in the same or related activities; 2) a current customer needs assessment for employers and participants; and 3) a strategic service plan with goals and procedures for how they will shape and deliver services in the coming year to meet critical customer needs. Taken together, these elements allowed each RWDB to determine its focus and attainable levels of performance on the core indicators and customer satisfaction. The major task for the RWDBs was to ensure that local needs are fulfilled in the context of the direction set by the Governor and CETC.

Part of the State's negotiations with the RWDBs included a determination of what other measures the RWDBs and the State will need to monitor progress toward the proposed levels. The "other measures" (referenced in the legislation as potentially necessary) may be the only way in the early years of WIA implementation that states and locals will have any idea of their progress. Even after they have experience with quarterly data, other measures will be needed to complement customer satisfaction information to support continuous improvement. The WIA core measures, especially given the built in time lag from the UI wage records, will always be trailing indicators of success. Trailing indicators are the information that is available only after service is completed and the results either have or have not been achieved. Leading indicators provide information while service is in progress and there is time to make changes.

The negotiations were designed as a bottom-up process based on each region's needs among potential participants and employers. The negotiation process began with the WIA administrative entity (CTDOL) producing approximations of core indicators and customer satisfaction in September, 1999,

using historical data from JTPA PY1997, Employment Service PY1997, and TANF PY1998. The process continued with RWDBs reviewing and commenting on measures indicating what levels of performance they would expect to achieve in their region based on these initial numbers by October 28, 1999. The next step was for CETC and RWDB representatives to resolve any discrepancies in state and local expectations. Local plans and performance levels were adjusted based on other state levels and response from USDOL; this task was completed by March 24, 2000. Negotiations with Federal representatives took place during April and May, 2000. Finally, CETC and the RWDBs reviewed and adjusted performance levels as necessary, following the Federal negotiations.

The time frame is very short this year. Therefore, the approach and timeline for negotiations in this first year will be adjusted in subsequent years. For example, it would be expected that negotiations in subsequent years would begin earlier (July or August) with a review of goals and performance levels of the previous year. Future negotiations will also include an improvement plans and review process.

The end of the negotiation process is the beginning of an ongoing review of performance on a quarterly basis between the state and local entities. This quarterly review process will enable the state and the RWDBs to manage to the results. To support this effort, Connecticut has developed a quarterly reporting system for the *Connecticut Works* centers that incorporates four distinct types of measurement:

- Outcome Measures
- Process Measures
- Customer Satisfaction from exit surveys
- Workload/cost information

Together, these components provide a comprehensive picture of the *Connecticut Works* center, its activities and the quality of services to its customers.

This comprehensive measurement picture allows the State to view improvement as more than the “ratcheting up” of results on the core indicators. Process measures can capture improvements in timeliness, coordination, responsiveness to customer needs, and improvements in efficiency and optimization of resources. In conjunction with the measures described above, CETC will include a continuous improvement component, based on the Baldrige criteria, to ensure that the pursuit of quality is an ongoing part of Connecticut’s system.

### **Performance Indicators:**

Building on its prior experience, the Performance Measurement Unit has assisted the CETC Performance Measurement Committee in WIA activities regarding the formulation and development of all the WIA performance indicators: performance measures, consumer reports and the system report card. When the data from the various sources has been collected, cleansed and matched, the Performance Measurement Unit will evaluate and summarize the data in the forms needed by the State's workforce investment system, reporting the results of its ongoing efforts to the CETC Performance Measurement Committee

Several parallel data system development efforts are taking place. These include development of a case management system, accessing and matching participant data against UI wage records, the Eligible Training Program List (ETPL), and the Consumer Report System (CRS).

For the case management system during the first year of WIA implementation, Connecticut will use the legacy system used to collect data for JTPA throughout the state. The system is currently being modified to meet the basic requirements for WIA reporting.

Planning is in process to develop a new system that provides better tracking capability and improved data management tools for the second year of WIA. The decision to delay introduction of a new case management system was based on uncertainty about the final data reporting requirements and the recognition that the state's experience with the development of the Welfare-to-Work case management system could provide important guidance for development of the WIA system. The Welfare-to-Work system is being implemented and will be assessed, and that information will be used to inform the planning process for a new WIA case management system with the appropriate data collection and reporting capabilities. In addition, a comprehensive study of data needs under WIA was conducted between fall 1999 and spring 2000, and is now complete. The results of that study will also inform the planning process. We plan for the new WIA case management system to be operational in July 2001.

The CTDOL Office of Research has been developing the software for administration and display of the Eligible Training Provider List (ETPL). The basic system is already in place and contains information on about 1,000 training programs to assist customers in selecting training programs. The companion program, the Consumer Reports System, will enhance the ETPL information in quantity and formatting to ensure that customers can make informed choices. The development of these enhancements is due to be completed in October 2000, in time to begin accepting and displaying performance data from the first year of WIA.

The Office of Research is conducting a parallel effort to build a data warehouse, which will facilitate the accessibility of data needed for WIA reporting (including multiple years of data to increase the capacity for longitudinal studies). The data warehouse will be designed to store and link data from other data bases, such as customer records, UI wage records, and data from the ETPL and CRS.

In addition, coordination with the community colleges is focusing on ensuring that the colleges are collecting the data necessary to report on training program performance in order to determine subsequent eligibility. Data elements are currently being reviewed by the colleges' MIS manager to ensure that all necessary information will be available in a timely manner.

### **Proposed Timeline for WIA Case Management System Development**

May 30, 2000	Develop specifications for new WIA case management system
July 1, 2000	Implement modified JTPA system for use during the first year
July 15, 2000	Identify contractor for new case management system
September 15, 2000	Identify data elements beyond those required under USDOL's final reporting requirements
November 15, 2000	Review final list of data elements and functional design for case management system
January 15, 2001	Delivery of Version 1.0
Jan. 16 - Feb. 28, 2001	Review and report on system functionality
February 28, 2001	Design of report formats

May 15, 2001	Implementation of system, Version 1.0
June 1, 2001	Review of all reports
May 15 - July 1, 2001	Training of staff

**Data Warehouse Development and Maintenance:**

Part of the effort that needs to be expended in the next couple of years will be to improve the accuracy and value of what is being reported. For example, Connecticut UI wage records provide an incomplete representation of who is employed. Missing from these records is information on persons working for the military, federal civil service, the postal service, or themselves. Also missing is information on Connecticut residents who work in other states (especially the bordering states of New York, Massachusetts, and Rhode Island). Future development will include gaining access to these additional sources of employment information.

There are a number of other areas that will need to be addressed to ensure the proper development and ongoing production of the WIA performance measures and consumer reports. The Office of Research has experience maintaining large confidential databases and has worked with the JTPA Administration Unit and the Performance Measurement Unit in using wage records for producing summary outcome measures for several population groups. The task list below identifies data maintenance efforts that will be required to produce the WIA performance measures and reports from year to year:

- Provide for coordination and security of data transfers between the reporting agencies and programs and CTDOL
- Establish standard record formats to facilitate data integration from multiple sources
- Define and add program and agency identifiers and other required database elements
- Perform required data management activities, including cleaning, recoding, and archiving
- Arrange for and manage the inclusion of wage records from other sources (e.g., records from other states, postal service, military, federal civil service)
- Engage in ongoing developments related to data formatting and reporting
- Maintain security of the data received
- Ensure back-up and recovery capabilities
- Perform related hardware and software maintenance responsibilities

**Consumer Reports System:**

Title I, Section 122 of WIA requires the State to compile a list of eligible training providers identified by all local areas in the state, including the performance and program cost information these providers are required to report to the RWDBs annually. This information will also be available to employers, through the Account Executives, to help them choose appropriate training services. The State is also required to distribute this list of providers and information to participants in employment and training activities authorized under Section 134 of WIA and others through the *Connecticut Works* delivery system.

Information on employment, education and training programs is augmented through the SOICC inventory, which lists information on public and private education and training organizations and is designed to help users make informed career choices. In addition, it is structured using a widely accepted classification system. This information is currently available in a searchable database on CTDOL’s Web site as the Connecticut Education and Training Inventory (CETI).

SOICC regularly collects data from SDE, DHE, and, as necessary, individual institutions such as hospital schools, private occupational schools, hairdressing/cosmetology schools, real estate schools, and state service academies. The data collected from these organizations are included in automated systems, and the information is maintained in a centralized database. Although the proposed Consumer Reports System is envisioned to be much more comprehensive, SOICC's state training inventory provides an excellent foundation from which to start.

SOICC's database currently contains information on about 350 institutions, including high schools, regional vocational-technical schools, state service academies, private occupational schools, hospital schools, community-technical colleges, and other public and private two-year and four-year colleges and universities. The database also includes about 3,440 programs offered by these institutions. Additional prospective providers will be identified as the ITA system progresses.

**Classification of Instructional Programs (CIP) Coding System:**

SOICC employs the Classification of Instructional Programs (CIP) coding system to classify programs. Both SDE and DHE currently use the CIP as well. This federally-developed classification system is the established standard for federal surveys. It is also used for reporting state institutional data, including program offerings, program financial data, staffing data, enrollments and completions. It includes codes for instructional programs at the secondary and postsecondary levels as well as for programs offering training in adult basic skills, interpersonal skills, and decision-making skills.

CTDOL will capture customer satisfaction indicator data for job seekers and employers through a telephone survey conducted by a third party contractor. This survey will include the core indicator questions, but will also ask questions regarding key program areas within the *Connecticut Works* system.

Although the size of the survey sample will not allow pinpointing sub-state performance levels, this survey approach will be supplemented with carefully monitored sequence of exit surveys administered semi-annually. RWDBs will also be encouraged to develop telephone surveys to employers utilizing the core indicator questions, supplemented by questions addressing the key program employer-oriented program activities in that region.

These customer satisfaction results will be integrated into the quarterly reporting and review structure described earlier. These results will aid managers and staff in projecting future program performance on the core indicators and identifying potential barriers to achieving desired results.

Demographic questions (e.g., ethnicity, gender, veteran status, age) will be a part of both exit surveys. This will allow analysis of survey results for various sub-populations within each region. Because the information is being collected locally and combined with other operational information from the quarterly reports, managers and staff will be able to identify areas where current service approaches are not living up to the access and equity principles of the *Connecticut Works* system.

The information in the quarterly reports and annual reports will not only be used by local managers and staff, but will inform inter-agency planning at the state level. CETC will encourage the use of the performance information for planning by using a variety of presentation and display methods. For example, the WIA administrator (CTDOL) has developed the capacity to use Geographic Information Systems to produce maps that display both labor market and performance data as part of its initial planning activities with the RWDBs. This and other methods will continue to be used, especially as the system begins to collect the full array of WIA data.

Administrative and general survey data have limitations that will be bolstered by more focused evaluative efforts. Longitudinal follow-up for key client groups, in-depth analysis of specific areas of service provision such as self-service or retention services will allow policy makers and managers to make informed program choices and more effective resource allocation decisions.

Connecticut does not believe that the identification of weak performance should wait for the precipitous application of incentives and sanctions at year's end. The quarterly reporting system is designed to identify problems before they are translated into poor year-end results as reflected by the core indicators. CTDOL's Performance Measurement Unit provides technical assistance to *Connecticut Works* centers by meeting with managers and staff, in addition to producing the quarterly reports. These meetings initially involve formal training in the use of the report card and the detailed tables and graphs that give both current and longitudinal perspectives on performance. Training also includes information on problem identification and problem solving techniques. Another role of the Performance Measurement Unit staff is to facilitate quarterly reviews and help local managers and staff identify and deal with performance barriers. The emphasis is on self-assessment and corrective action based on local priorities. However, WIA administrative staff will also monitor these reports and initiate corrective action when necessary. This proactive approach allows additional resources to be provided when necessary or when a *Connecticut Works* center has identified a creative solution to better service that requires additional resources.

In addition to the reviews in the first three quarters, a more comprehensive annual review will be held to coincide with the RWDBs' planning cycles. In this way, performance information can be examined in the framework of CETC's workforce strategy, the changing needs of the local community, and individual program goals (e.g., Wagner-Peyser, Carl Perkins, Adult Education). The information will help planners define major strengths and weaknesses and prioritize efforts to improve. Needs assessments will allow RWDBs to adjust their service strategies to meet changing local needs and continue to adhere to CETC's strategic direction. The results of the quarterly and annual reviews will be reported to the CETC Performance Measurement Committee so that CETC is kept informed of progress on a regular basis.

These procedures do not preclude the need for evaluating performance by comparing levels on each of the core indicators among the local areas. Such comparisons will be made by defining a normal range of performance (using a standard-deviation-based approach) for each indicator. Local areas whose performance falls below the normal range on any measure despite the quarterly improvement efforts will be required to engage in a rigorous review. WIA administrative staff will be actively involved to ensure the review incorporates insights already gained during quarterly reviews. They will also ensure that best practice information is brought into the review process.

Consistent with WIA, if performance does not improve through these efforts, sanctions will be applied as appropriate.

**(Required assurances and signature, as well as all Appendices, have been provided with the original plan.)**

## VI. Assurances

1. The State assures that it will establish, in accordance with section 184 of the Workforce Investment Act, fiscal control and fund accounting procedures that may be necessary to ensure the proper disbursement of, and accounting for, funds paid to the State through the allotments made under sections 127 and 132. (§112(b)(11).)
2. Members of the Connecticut Employment and Training Commission and the Regional Workforce Development Boards shall comply with Connecticut's ethics laws, the conflict of interest policies outlined in Section III(B)(1)(b) of this plan and the applicable provisions of Sections 111(f) and (g) of the Workforce Investment Act of 1998, P.L. 105-220, as from time to time amended.
3. The State assures that it will comply with section 184(a)(6), which requires the Governor to, every two years, certify to the Secretary, that -
  - (A) the State has implemented the uniform administrative requirements referred to in section 184(a)(3);
  - (B) the State has annually monitored local areas to ensure compliance with the uniform administrative requirements as required under section 184(a)(4); and
  - (C) the State has taken appropriate action to secure compliance pursuant to section 184(a)(5). (§184(a)(6).)
4. The State assures that the adult and youth funds received under the Workforce Investment Act will be distributed equitably throughout the State, and that no local areas will suffer significant shifts in funding from year to year during the period covered by this plan. (§112(b)(12)(B).)
5. The State assures that veterans will be afforded employment and training activities authorized in section 134 of the Workforce Investment Act, to the extent practicable. (§112(b)(17)(B).)
6. The State assures that the Governor shall, once every two years, certify one local board for each local area in the State. (§117(c)(2).)
7. The State assures that it will comply with the confidentiality requirements of section 136(f)(3).
8. The State assures that no funds received under the Workforce Investment Act will be used to assist, promote, or deter union organizing. (§181(b)(7).)
9. The State assures that it will comply with the nondiscrimination provisions of section 188, including an assurance that a Methods of Administration has been developed and implemented (§188.)
10. The State assures that it will collect and maintain data necessary to show compliance with the nondiscrimination provisions of section 188. (§185.).
11. The State assures that it will comply with the grant procedures prescribed by the Secretary (pursuant to the authority at section 189(c) of the Act) which are necessary to enter into grant agreements for the allocation and payment of funds under the Act. The procedures and

agreements will be provided to the State by the ETA Office of Grants and Contract Management and will specify the required terms and conditions and assurances and certifications, including, but not limited to, the following:

- General Administrative Requirements:

- 29 CFR part 97 --Uniform Administrative Requirements for State and Local Governments (as amended by the Act)

- 29 CFR part 96 (as amended by OMB Circular A-133) --Single Audit Act

- OMB Circular A-87 --Cost Principles (as amended by the Act)

- Assurances and Certifications:

- SF 424 B --Assurances for Nonconstruction Programs

- 29 CFR part 31, 32 --Nondiscrimination and Equal Opportunity Assurance (and regulation)

- CFR part 93 --Certification Regarding Lobbying (and regulation)

- 29 CFR part 98 --Drug Free Workplace and Debarment and Suspension Certifications (and regulation)

- Special Clauses/Provisions:

- Other special assurances or provisions as may be required under Federal law or policy, including specific appropriations legislation, the Workforce Investment Act, or subsequent Executive or Congressional mandates.

12. The State certifies that the Wagner-Peyser Act Plan, which is part of this document, has been certified by the State Employment Security Administrator.

13. The State certifies that veterans' services provided with Wagner-Peyser Act funds will be in compliance with 38 U.S.C. Chapter 41 and 20 CFR part 1001.

14. The State certifies that Wagner-Peyser Act-funded labor exchange activities will be provided by merit-based public employees.

15. The State certifies that Workforce Investment Act section 167 grantees, advocacy groups as described in the Wagner-Peyser Act (e.g., veterans, migrant and seasonal farmworkers, people with disabilities, UI claimants), the State monitor advocate, agricultural organizations, and employers were given the opportunity to comment on the Wagner-Peyser Act grant document for agricultural services and local office affirmative action plans and that affirmative action plans have been included for designated offices.

16. The State assures that it will comply with the annual Migrant and Seasonal Farmworker significant office requirements in accordance with 20 CFR part 653.

17. The State assures that it has developed this Plan in consultation with local elected officials, local workforce boards, the business community, labor organizations and other partners.

18. The State assures that it will comply with section 504 of the Rehabilitation Act of 1973 (29 USC 794) and the American's with Disabilities Act of 1990 (42 USC 12101 et seq).

19. The State assures that funds will be spent in accordance with the Workforce Investment Act and the Wagner-Peyser Act legislation, regulations, written Department of Labor Guidance, and all other applicable Federal and State laws.

**VII. Program Administration Designees and Plan Signature**

<p><b>Name of WIA Title I Grant Recipient Agency: Connecticut Dept. of Labor</b> <b>Address: 200 Folly Brook Boulevard</b> <b>Wethersfield, CT 06109</b></p> <p><b>Telephone Number: (860) 263-6505</b> <b>Facsimile Number: (860) 263-6529</b> <b>E-mail Address: james.butler@po.state.ct.us</b></p>
<p><b>Name of State WIA Title I Administrative Agency (if different from the Grant Recipient): (same as Grant Recipient)</b> <b>Address: (same as Grant Recipient)</b></p> <p><b>Telephone Number: (same)</b> <b>Facsimile Number: (same)</b> <b>E-mail Address: (same)</b></p>
<p><b>Name of WIA Title I Signatory Official: James P. Butler, Commissioner</b> <b>Address: Connecticut Department of Labor, 200 Folly Brook Boulevard</b> <b>Wethersfield, CT 06109</b></p> <p><b>Telephone Number: (860) 263-6505</b> <b>Facsimile Number: (860) 263-6529</b> <b>E-mail Address: james.butler@po.state.ct.us</b></p>
<p><b>Name of WIA Title I Liaison: Lorna Joseph</b> <b>Address: Connecticut Department of Labor, 200 Folly Brook Boulevard</b> <b>Wethersfield, CT 06109</b></p> <p><b>Telephone Number: (860) 263-6044</b> <b>Facsimile Number: (860) 263-6579</b> <b>E-mail Address: lorna.joseph@po.state.ct.us</b></p>
<p><b>Name of Wagner-Peyser Act Grant Recipient/State Employment Security Agency: Connecticut Department of Labor</b> <b>Address: 200 Folly Brook Boulevard, Wethersfield, CT 06109</b></p> <p><b>Telephone Number: (860) 263-6505</b> <b>Facsimile Number: (860) 263-6529</b> <b>E-mail Address: james.butler@po.state.ct.us</b></p>

