The Governance Puzzle! - Piecing Together Our Roles and Responsibilities
Key WIOA Roles and Responsibilities

Disclaimer: Although every effort is made to ensure that the material within this document is accurate and timely, we make no warranties or representations as to the accuracy or completeness of the contents, whether the contents are current, or free from errors. All information is provided "as is" without warranty of any kind. No information provided in this document may be considered legal advice and it is the responsibility of each user of the document to ensure that their materials meet all Federal, state and local requirements. Use of the materials does not imply compliance with ETA requirements. This document is intended to identify sections of the WIOA Regulations that reference key roles and responsibilities related to governance. Users should always refer to the actual text in the Regulation.

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

KEY:

The Governance Puzzle! - Piecing Together Our Roles and Responsibilities
Key WIOA Roles and Responsibilities

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

KEY:
X = Lead(s) ● = In Consultation with or Supports

The Governance Puzzle! - Piecing Together Our Roles and Responsibilities
Key WIOA Roles and Responsibilities

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

KEY:

X = Lead(s) ● = In Consultation with or Supports

The Governance Puzzle! - Piecing Together Our Roles and Responsibilities
Key WIOA Roles and Responsibilities

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

KEY:
X = Lead(s) ● = In Consultation with or Supports

The Governance Puzzle! - Piecing Together Our Roles and Responsibilities
Key WIOA Roles and Responsibilities

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

KEY:
X = Lead(s) ● = In Consultation with or Supports

The Governance Puzzle! - Piecing Together Our Roles and Responsibilities
Key WIOA Roles and Responsibilities

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

KEY:

X = Lead(s) ● = In Consultation with or Supports

The Governance Puzzle! - Piecing Together Our Roles and Responsibilities
Key WIOA Roles and Responsibilities

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

KEY:

X = Lead(s) ● = In Consultation with or Supports

The Governance Puzzle! - Piecing Together Our Roles and Responsibilities
Key WIOA Roles and Responsibilities

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

KEY:
X = Lead(s) ● = In Consultation with or Supports