

To: Indiana's Workforce System

From: Indiana Department of Workforce Development (DWD)

Date: December 12, 2023

Subject: DWD Policy 2020-09, Change 1
One-Stop American Job Center Certification

Purpose

To communicate the process and criteria for evaluating and certifying Indiana's comprehensive and affiliate One-Stop American Job Centers (AJCs) pursuant to the Workforce Innovation and Opportunity Act (WIOA).

Change 1 Summary

This policy includes the following changes:

- *TEGL 04-15 Vision for the One-Stop Delivery System under WIOA* and *DWD Policy 2022-05 Local WIOA Governance: Single Entity Fulfilling Multiple Roles in Local Workforce Areas* have been added as references.
- The policy now clarifies that DWD will conduct certification reviews for local areas whose staff to the Local Workforce Development Board (local WDB) serve as the one-stop operator.
- Although encouraged to do so, local certification teams are no longer required to include a local WDB member.
- The 20 percent threshold for frontline staff interviews has been removed.
- Coronavirus provisions specific to the 2021 certification process have been removed.
- The certification dates have been updated to reflect the current cycle.
- The *Indiana One-Stop Center Certification Review Form* in **Attachment B** has been updated to meet accessibility standards and exists within a separate Microsoft Word document on DWD's policy webpage. The link to the form is in **Attachment B** within this document.
- In the *Indiana One-Stop Center Certification Review Form* in **Attachment B**, certification teams must review the Customer Satisfaction Report for the previous four quarters rather than the previous calendar year. Additionally, a separate certification sheet has been added for DWD certification teams.

Rescission

DWD Policy 2020-09 *One-Stop American Job Center Certification*

References

See **Attachment A**.

Definitions

Comprehensive One-Stop Center

WIOA requires at least one comprehensive center in each LWDA. A comprehensive one-stop center is a physical location where job seeker and employer customers can access the programs, services, and activities of all required one-stop partners. A comprehensive one-stop center must have at least one WIOA title I staff person physically present.

The comprehensive one-stop center must provide:

- Career services described in WIOA regulations 20 CFR § 678.430;
- Access to training services described in WIOA regulations 20 CFR § 680.200;
- Access to any employment and training activities carried out under sec. 134(d) of WIOA;
- Access to programs and activities carried out by one-stop partners listed in WIOA regulations 20 CFR §678.400 through 678.410, including the Employment Service program authorized under the Wagner-Peyser Act, as amended by WIOA title III (Wagner-Peyser Act Employment Service program); and
- Workforce and labor market information.

Access to partner programs is defined as¹:

- Having a program staff member physically present at the one-stop center;
- Having a staff member from a different partner program physically present at the one-stop center appropriately trained to provide information to customers about the programs, services, and activities available through partner programs; or
- Making available a direct linkage through technology to program staff who can provide meaningful information or services.
 - A “direct linkage” means providing direct connection at the one-stop center, within a reasonable time, by phone or through a real-time Web-based communication to a program staff member who can provide program information or services to the customer.
 - A “direct linkage” cannot exclusively be providing a phone number or computer Web site or providing information, pamphlets, or materials.

All comprehensive one-stop centers must be physically and programmatically accessible to individuals with disabilities, as described in 29 CFR part 38, the implementing regulations of WIOA sec. 188.

Affiliate One-Stop Center

WIOA also allows for affiliate one-stop centers in each LWDA. An affiliated site, or affiliate one-stop center, is a site that makes available to job seeker and employer customers one or more of the one-stop

¹ 20 CFR §678.305 (d).

partners' programs, services, and activities. An affiliated site does not need to provide access to every required one-stop partner program. The frequency of program staff's physical presence in the affiliated site will be determined at the local level. Affiliated sites are access points in addition to the comprehensive one-stop center(s) in each local area. If used by local areas as a part of the service delivery strategy, affiliate sites must be implemented in a manner that supplements and enhances customer access to services. Wagner-Peyser employment services cannot be provided as a stand-alone service at an affiliated site. In addition to the above requirements for an affiliate center, affiliate centers mean physical buildings owned and/or operated by the local WDB and its designees that have combined program staff present more than 50% of the time the center is open.

All affiliated sites must be physically and programmatically accessible to individuals with disabilities, as described in 29 CFR part 38, the implementing regulations of WIOA sec. 188.

Content

Background

Title I of WIOA requires the State Board (Governor's Workforce Cabinet or GWC), in consultation with Chief Elected Officials (CEOs) and local WDBs, to establish objective criteria and procedures for the local WDBs to evaluate and certify the comprehensive and affiliate one-stop centers located within their Local Workforce Development Areas (LWDAs).² The evaluation and certification process examines effectiveness (including customer satisfaction), physical and programmatic accessibility, and continuous improvement.³ Each site must be certified to be designated as a "one-stop center" to receive funding. The certification of one-stop centers is essential in setting a minimum level of quality and consistency of services in the workforce system across the state.

Roles and Responsibilities

Because 20 CFR 678.620 states that a one-stop operator cannot be responsible for oversight of itself, DWD, on behalf of the GWC, is responsible for oversight of the one-stop center certification process. In consultation with the GWC, DWD must see that the one-stop certification criteria are reviewed and updated every two years as part of the review and modification of the WIOA State Plan. DWD conducts the certification of one-stop centers when the local board (including staff to board or the staffing entity) serve as the one-stop operator in a LWDA.⁴

The local WDBs are responsible for oversight of the one-stop center certification process at the local level and for the appointment of a certification team to conduct the one-stop certification reviews for each one-stop center in its LWDA (unless the local WDB or its staff serve as the one-stop operator, discussed more fully below and in DWD Policy 2022-05 *Local WIOA Governance Single Entity Fulfilling Multiple Roles in Local Workforce Areas*). The local WDB must use the *Indiana One-Stop Center Certification Review Form (Attachment B)* and the corresponding criteria established by the State.

² Comprehensive and Affiliate one-stop centers will be collectively referred to throughout this policy as "one-stop center(s)."

³ TEGL 04-15.

⁴ 20 CFR 679.410.

The local WDB may set higher standards for service coordination beyond those identified in the one-stop certification criteria established by the State. However, the additional criteria must be clearly identified in an addendum to the *Indiana One-Stop Center Certification Review Form*.

Review Process

Certification Teams

If the local WDB does not serve in the role of the one-stop operator for its LWDA, the local WDB must appoint a team of three or more individuals to conduct the one-stop certification review. Local teams may include local WDB members, as local WDB engagement and participation is encouraged during the certification review process. Selection of review team members must ensure no conflicts of interest. The local WDB shall notify the Regional Chief Elected Official (RCEO) of the certification team selection.

If the local WDB or staff to the local WDB serve in the role of one-stop operator for a LWDA, DWD shall be responsible for conducting the one-stop center certification for each one-stop center in that LWDA. DWD will appoint a review team of three or more state staff to conduct the certification and ensure there are no conflicts of interest.

The individuals selected to be on either the local WDB or DWD certification team must be able to conduct an objective evaluation of the one-stop centers and make a recommendation to the local WDB (if local WDB certification team) or the GWC (if DWD certification team). One individual on the certification team must serve as the “team lead” for contact purposes.

Certification Process

The certification team shall contact each center to schedule a time to conduct the one-stop certification review. The certification team shall conduct staff interviews, including, where applicable⁵, the Center Manager, the local Equal Opportunity Officer, and a sample of frontline (state and partner) staff at the one-stop center to determine their level of knowledge pertaining to the following:

- WIOA partner programs/services;
- Local initiatives;
- One-stop center policies and procedures;
- Staff roles and contributions to performance; and
- Awareness of accessibility requirements and available assistive technologies.

The certification team shall review all necessary documentation including the following:

- The local MOU;
- Business and/or Local Plan;
- Marketing and other printed materials;
- Training schedules;
- Customer feedback reports;

⁵ An affiliate center will likely not have all the identified staff for the purpose of staff interviews. The certification team should interview the available staff in those centers.

- Customer employment plans/case notes;
- Local policies, procedures, manuals; and
- Complaints and compliance findings.

Certification teams shall use the *Indiana One-Stop Center Certification Review Form* provided in **Attachment B**, which includes a *Determination* sheet, for each center reviewed. A completed form for each One-Stop Center must be submitted to policy@dwd.in.gov and the local WDB (if a local WDB certification team conducted the review) within thirty (30) days of conducting the one-stop center certification review. For certifications conducted by DWD, DWD will provide certification information to the GWC within thirty (30) days of conducting the one-stop center certification review. Upon GWC review, DWD will communicate the outcomes and next steps (if any) to the local WDB to complete the certification process.

Non-Certification

In the event of non-certification, an action plan and timetable will be prepared by DWD, in consultation with the one-stop operator, to bring the one-stop center into compliance, with a follow-up review set within ninety (90) days from the determination date.

If a one-stop center fails to achieve certification after the ninety (90) day follow-up review, the center shall be deemed probationary, and DWD will notify the RCEO. The local WDB shall have six months to bring a probationary one-stop center into compliance (infrastructure cost-funding will not be impacted during this time frame). If a local WDB fails to certify any one-stop center after the six month probationary period, that one-stop center will not be eligible for infrastructure-cost funding for the ensuing program year.⁶ Local WDBs and the GWC, if the WDB is also the one-stop operator, may consider additional ramifications for failing one-stop certifications in their one-stop operator contracts.

Submitting Documentation

Documentation regarding the one-stop center certification should be emailed to policy@dwd.in.gov.

Action

All comprehensive and affiliate one-stop center reviews shall be completed no later than March 31, 2024. Once certified, the certification status will remain in effect for three years. Future certifications shall be completed no later than March 31 immediately preceding the beginning of the third program year (i.e., March 31, 2027, for the next round of certifications).

Effective Date

Immediately.

⁶ WIOA Sec. 121(g)(4).

Ending Date

Upon rescission.

Attachments

- **Attachment A** - *References*
- **Attachment B** - *Indiana One-Stop Center Certification Review Form*

Additional Information

Questions regarding the content of this publication should be directed to policy@dwd.in.gov.

Attachment A References

- WIOA Sec. 121, 134, 188
- 20 CFR 678.300 – 320, 678.400 - 678.415, 678.430, 678.800, 678.900 and 680.200
- 2 CFR parts 200 and 2900
- 29 CFR part 38
- TEGL 04-15 *Vision for the One-Stop Delivery System under WIOA*
- TEGL 16-16 *One-Stop Operations Guidance for the American Job Center Network*
- DWD Policy 2022-05 *Local WIOA Governance: Single Entity Fulfilling Multiple Roles in Local Workforce Areas*

Attachment B
Indiana One-Stop Center Certification Review Form

Please follow this link to access the [Indiana One-Stop Center Certification Review Form](#).