

**Planning Guidance for State Unified Plans and Unified Plan Modifications**  
**Submitted under Section 501 of the Workforce Investment Act (WIA)**

OMB Control Number 1205-0398

Expiration Date: Nov 30, 2011. This document is draft, available for public comments, during the Department of Labor’s request to extend approval for this information collection under the Paperwork Reduction Act.

Table of Contents

**Part I. State Planning Instructions**

- A. Purpose and Background
- B. Section 501 Programs and Activities
- C. Submission of State Unified Plans
- D. Federal Government Review and Approval of Unified Plan
- E. How to Use “Attachment A”
- F. Negotiated WIA and Wagner-Peyser Act Performance Indicators
- G. Modifications to State Plan
- H. Inquiries

**Part II. Unified Planning Instructions**

- A. State Vision and Priorities
- B. One-Stop Delivery System
- C. Plan Development and Implementation
- D. Needs Assessment
- E. State and Local Governance

- F. Funding
- G. Activities to Be Funded
- H. Coordination and Non-Duplication
- I. Special Populations and Other Groups
- J. Professional Development and System Improvement
- K. Performance Accountability
- L. Data Collection
- M. Corrective Action
- N. Waiver and Work-Flex Requests

### **Part III. Certifications and Assurances**

#### **Attachments**

- A. ETA Regional Administrators (for reference only)
- B. Checklist, Contacts and Signatures
- C. Optional Table for WIA State Performance Indicators and Goals

### State Unified Plan Planning Guidance

#### **Part I. State Planning Instructions**

##### **A. Purpose and Background**

The purpose of this document is to provide guidance to states which submit a State Unified Plan authorized by title V, section 501 of the Workforce Investment Act of 1998 (WIA). The State Unified Plan Planning Guidance facilitates the development and submission of such a Plan, which addresses two or more of the programs or activities

specified at WIA section 501(b)(2). The State Unified Plan Planning Guidance provides a framework for the collaboration of governors, local elected officials, businesses and other partners to design and build workforce investment systems that address customer needs; deliver integrated, user-friendly services; and are accountable to the customers and the public. An approved Strategic State Plan is required in order for states to receive formula allotments under WIA title I and the Wagner-Peyser Act. States which choose to submit the WIA title I/Wagner-Peyser Plan as part of a Unified Plan must comply with the requirements of these guidelines. Guidelines for the submission of a Stand-Alone WIA title I Plan are published separately.

#### **B. Section 501 Programs and Activities**

Below is a listing of the programs and activities covered in section 501 of WIA, along with the commonly used name. In this document, we generally refer to the activities and programs by their commonly used names. Should state staff need information on the programs listed, a staff contact is provided here also.

- Secondary Career and Technical Education programs (Perkins IV/Secondary)  
Note that inclusion of this program in the Unified Plan requires prior approval of state legislature. Administered by Department of Education, Office of Vocational and Adult Education. *Staff Contact:* Dale King: 202-245-7405 (phone); 202-245-7837 (fax); (E-mail: Dale.king2@ed.gov).
- Postsecondary Career and Technical Education programs (Perkins IV/Postsecondary) Administered by Department of Education, Office of

Vocational and Adult Education. *Staff Contact:* Dale King: 202-245-7405 (phone); 202-245-7837 (fax); (E-mail: Dale.king2@ed.gov).

- Tech-Prep Education (title II of Perkins IV) Administered by Department of Education, Office of Vocational and Adult Education. *Staff Contact:* Dale King: 202-245-7405 (phone); 202-245-7837 (fax); (E-mail: Dale.king2@ed.gov).
- Activities authorized under title I, Workforce Investment Systems (Workforce Investment Activities for Youth, or WIA title I Youth) Administered by Department of Labor, Employment and Training Administration. *Staff Contact:* Gregg Weltz: 202-693-3527 (phone); 202-693-3861 (fax); (E-mail: Weltz.Gregg@dol.gov).
- Activities authorized under title I, Workforce Investment Systems (Workforce Investment Activities for Adults, and Dislocated Workers, or WIA title I) Administered by Department of Labor, Employment and Training Administration. *Staff Contact:* Christine D. Ollis: 202-693-3937 (phone); 202-693-3015 (fax); (E-mail: Ollis.Christine@dol.gov).
- Activities authorized under title II of WIA, Adult Education and Family Literacy (Adult Education and Family Literacy Programs) Administered by Department of Education, Office of Vocational and Adult Education. *Staff Contact:* Dale King: 202-245-7405 (phone); 202-245-7837 (fax); (E-mail: Dale.king2@ed.gov).
- Supplemental Nutrition Assistance Program (SNAP), formerly known as Food Stamp Employment and Training Program (FSET) Administered by USDA, Food and Nutrition Service. *Staff Contact:* Jackie Windfeldt: 703-305-2390 (phone); 703-305-2486 (fax); (E-mail: jackie.windfeldt@fns.usda.gov).

- Activities authorized under chapter 2 of title II of the Trade Act of 1974 (Trade Act Programs) Administered by Department of Labor, Employment and Training Administration. *Staff Contact:* Terry Clark: 202-693-3707 (phone); 202-693-3585 (fax); (E-mail: [Clark.Terry@dol.gov](mailto:Clark.Terry@dol.gov)).
- Programs authorized under the Wagner-Peyser Act (Employment Service) Administered by Department of Labor, Employment and Training Administration. *Staff Contact:* Christine Ollis: 202-693-3937 (phone); 202-693-3787 (fax); (E-mail: [Ollis.Christine@dol.gov](mailto:Ollis.Christine@dol.gov)).
- Programs authorized under Part B of title I of the Rehabilitation Act of 1973, other than section 112 of such Act (Vocational Rehabilitation) Administered by Department of Education, Rehabilitation Services Administration. *Staff Contact:* Jerry Elliott: 202-245-7335 (phone); 202-245-7590 (fax); (E-mail: [jerry.elliott@ed.gov](mailto:jerry.elliott@ed.gov)).
- Programs authorized under chapters 41 and 42 of Title 38, USC, and 20 CFR 1001 and 1005 (Veterans Programs, including Veterans Employment, Disabled Veterans' Outreach Program, and Local Veterans' Employment Representative Program) Administered by Department of Labor, Veterans' Employment and Training Service. *Staff Contact:* Patrick J. Hecker: 202-693-4709 (phone); 202-693-4755 (fax); (E-mail: [Hecker.Patrick@dol.gov](mailto:Hecker.Patrick@dol.gov)).
- Programs authorized under state unemployment compensation laws (Unemployment Insurance) Administered by Department of Labor, Employment and Training Administration. *Staff Contacts:* Mary Vransy: 202-693-3357

(phone); 202-693-3975 (fax); (E-mail: [Vrany.Mary@dol.gov](mailto:Vrany.Mary@dol.gov)); or Delores Mackall: 202-693-3183 (phone); (E-mail: [Mackall.Delores@dol.gov](mailto:Mackall.Delores@dol.gov)).

- Programs authorized under part A of title IV of the Social Security Act (Temporary Assistance for Needy Families (TANF) Administered by Health and Human Services, Administration for Children and Families. *Staff Contact:* Robert Shelbourne: 202-401-5150 (phone); 202-401-5554 (fax); (E-mail: [Robert.Shelbourne@acf.hhs.gov](mailto:Robert.Shelbourne@acf.hhs.gov)).
- Programs authorized under title V of the Older Americans Act of 1965 (Senior Community Service Employment Program) Administered by Department of Labor, Employment and Training Administration. *Staff Contact:* Judith Gilbert: 202-693-3938 (phone); 202-693-3587 (fax); (E-mail: [Gilbert.Judith@dol.gov](mailto:Gilbert.Judith@dol.gov)).
- Training activities funded by Department of Housing and Urban Development under Community Development Block Grants and Public Housing Programs. *Contacts:* Dep Asst Secy, Off. of Public Housing and Voucher Programs, Off. of Public and Indian Housing. 202-708-1380. Director, Off. of Block Grant Assistance, Off. of Community Planning and Development. 202-708-3587.
- Programs authorized under the Community Services Block Grant Act (CSBG) Administered by Health and Human Services, Administration for Children and Families. *Staff Contact:* Brandy RayNor: 202-205-5926 (phone); 202-402-5718 (fax); (E-mail: [BRayNor@acf.hhs.gov](mailto:BRayNor@acf.hhs.gov)).

While the statute specifies that states may submit a Unified Plan that includes “training activities” carried out by the Department of Housing and Urban Development (HUD), for

a number of reasons, the Federal Partners agree that the unique nature of HUD's training activities warrants special treatment in a Unified Plan.

Accordingly, the Unified Plan guidance provides for informal inclusion of HUD's programs. Since HUD programs are generally funded and implemented through local communities, and HUD's relevant state formula grant programs are not specifically employment and training programs, states that follow the Unified Planning guidance will not automatically receive funding for HUD's formula programs through their Unified Plans. However, to encourage states to think strategically about developing a comprehensive workforce investment system--including how that system relates to the housing and workforce investment needs of the population receiving housing assistance--the guidance includes references to HUD customers and services, as well as local housing agencies, in the overarching questions pertaining to the Unified Plan's vision and goals, One-Stop service delivery, and needs assessment.

### **C. Submission of State Unified Plans**

#### **1. Requirements for Submission and Points of Contact:**

States have the option of submitting a Unified Plan to meet the requirements for submission of a State Plan.

- a. AEFLA Extensions. A state's request to extend subsections of a Unified Plan related to programs under AEFLA must be submitted directly to the U.S. Department of Education. See Guide for the Development of a State Plan under

the Adult Education and Family Literacy Act (OMB Control number 1830-0026).

- b. Federal Coordinator. To reduce the reporting and processing burden, states have the option of submitting their Unified Plan to either [WIA.PLAN@DOL.GOV](mailto:WIA.PLAN@DOL.GOV) or to the designated Federal Coordinator for Plan Review and Approval (hereafter, “Federal Coordinator”), depending upon the submission option chosen by the state (as discussed below). The Federal Coordinator is Christine Ollis, E-mail: [Ollis.Christine@dol.gov](mailto:Ollis.Christine@dol.gov); phone: 202-693-3937.
- c. Federal Departments. States also have the option of submitting their Unified Plans directly to each Federal Department whose programs are included in the Unified Plan, except for AEFLA simple extensions, which must be submitted to the U.S. Department of Education as stated above. States choosing this option are only required to send the Plan to the designated Federal Departmental State Unified Plan Contact (hereafter, “Departmental Contact”). The Departmental Contact will be responsible for ensuring that affected agencies and appropriate Regional Offices in that Department receive copies of the Unified Plan. For example, if a Unified Plan contains plans for both the Vocational Rehabilitation and the Adult Education programs, both of which are administered by different agencies within the United States Department of Education, the State need only submit the Plan to the U.S. Department of Education once, and it should be sent to the Departmental Contact. E-mail addresses for the Departmental Contacts are as follows:



Department of Labor: Ollis.Christine@dol.gov

Department of Education: Jerry.Elliott@ed.gov

Department of Health and Human Services: Robert.Shelbourne@acf.hhs.gov

Department of Agriculture: Jackie.Windfeldt@fns.usda.gov

Department of Housing and Urban Development: Manuel.T.Ochoa@hud.gov

## 2. Submission Options - Electronic, CD-ROM or Hard Copy Format:

States have the option to submit Unified Plans in an electronic, hard copy, or CD-ROM format. The Federal Government is encouraging states to submit Unified Plans in electronic format to reduce the reporting and process burden and to ensure timely receipt by each Federal agency whose programs are included in the Unified Plan.

- a. Electronic Submission. States can submit a Unified Plan electronically either by posting it on an Internet Web site that is accessible to the Department of Labor or by transmitting it through E-mail to the Department. Unified Plan certifications with electronic signatures are acceptable. If a state chooses not to use an electronic signature, then the Plan Signature(s) Page (Attachment A) must be submitted in hard copy.
  - i. Posting Unified Plans on an Internet Web Site. Under this option, a state should post its Plan on an Internet Web site; inform the Federal Coordinator through electronic mail of the URL and the location of the document on the Web site; provide contact information in the event of problems with accessing the Web

site; and certify that no changes will be made to the version of the Plan posted on the Web site after it has been submitted to the Department, unless the Federal Coordinator or Federal agency overseeing the portion to be changed gives prior approval. The Federal Coordinator will ensure that Federal agencies whose programs are included in the Unified Plan, and the appropriate DOL Regional Office, receive the relevant information.

- ii. Transmitting Unified Plans by E-Mail. Any state submitting its Plan by E-mail should send it to [WIA.PLAN@DOL.GOV](mailto:WIA.PLAN@DOL.GOV). The Federal Coordinator will ensure that Federal agencies whose programs are included in the Unified Plan receive a copy. The Federal Coordinator will also provide a copy to the appropriate DOL Regional Office. If a state chooses to submit its Unified Plan by transmitting it through electronic mail, the state must submit it in Microsoft Word or PDF format.
  
- b. Hard Copy or CD-ROM Submission. States choosing to submit a hard copy should submit one copy of the Plan with an original signature to the Federal Coordinator for Plan Review and Approval, at the following address:

Office of Workforce Investment  
Employment and Training Administration  
U.S. Department of Labor  
200 Constitution Ave., NW, Room S-4231

Washington, D.C. 20210

ATTN: Federal Coordinator

States submitting a Unified Plan on CD-ROM should submit one copy of the Plan to the Federal Coordinator for Plan Review and Approval. The Federal Coordinator will ensure that each Federal agency whose programs are included in the Unified Plan, and the appropriate DOL Regional Office, receive copies of the Plan.

If the Plan on the CD-ROM does not include the signature of the governor on the signature page, the state must submit separately an electronic signature or a signature page in hard copy. Plans submitted on a CD-ROM must be in Microsoft Word or PDF format.

States submitting a hard copy of their Plan are encouraged to provide an unbound copy to facilitate duplication.

### 3. Table of Contents:

States are encouraged to include a table of contents at the beginning of the State Unified Plan. This will provide easy reference on the Plan's details to the public as well as aid the Federal Government in the review of the Unified Plan.

### 4. Receipt Confirmation:

The Federal Coordinator, without regard to which option the state uses for submission, will confirm receipt of the State Unified Plan within two workdays of receipt and indicate the date for the start of the review period. When a state submits an incomplete Plan, the period for review will not start until all required components of the Unified Plan have been received.

#### **D. Federal Government Review and Approval of Unified Plan**

Section 501(d)(2) of WIA states that a portion of a State Unified Plan covering an activity or program is to be considered to be approved by the appropriate Secretary at the end of the 90-day period beginning on the day the appropriate Secretary receives the portion unless the appropriate Secretary makes a written determination, during the 90-day period, that the portion is not consistent with the requirements of the Federal statute authorizing the activity or program or section 501(c)(3) of WIA.

The appropriate Secretary, or his/her representative, will advise the state by letter, as soon as possible, that the portion of the Unified Plan over which his/her agency exercises administrative authority is approved or disapproved. If the Plan is not approved, the appropriate Secretary, or his/her representative, will advise the state by letter that the portion of the Unified Plan over which his/her agency exercises administrative authority is not consistent with the requirements of the Federal statute authorizing the activity or program, or with section 501(c)(3) of WIA, and clearly indicate the reasons for disapproval and specify what additional information is required or what action needs to

be taken for the Unified Plan to be approved.

## **E. How To Use “Attachment A” – Checklist, Contacts and Signatures**

### 1. Forms for State Use:

In Attachment A you will find three forms for use in submitting the State Unified Plan.

These forms are available for electronic download, along with this entire guidance, at

[www.doleta.gov/usworkforce](http://www.doleta.gov/usworkforce).

a. Unified Plan Activities and Programs Checklist: Please provide a list of the section 501 programs and activities you have included in the Plan. Use of this specific format is optional.

b. Contact Information: Please provide the contact information requested for each of the Section 501 programs and activities that you have included in the Plan. Programs and activities may be combined on one form if they have the same contact information. Use of this specific format is optional.

c. Plan Signature(s): Please provide the required signatures as appropriate for the programs and activities you have included in the State Unified Plan. Use of this specific format is optional, but the wording on the signature page must be identical to that provided here.

### 2. Program Descriptions:

Please respond fully to the general questions in the program descriptions section, as well as the additional questions that relate to the programs and activities that are included in the State's Unified Plan.

3. Certifications and Assurances:

By signing the signature page(s), you are assuring or certifying those items in the Certifications and Assurances section that apply to the programs and activities you have included in the State's Unified Plan.

**F. Negotiated WIA Title I and Wagner-Peyser Act Performance Indicators**

WIA allows considerable flexibility in system design and service delivery, in exchange for both accountability for a key set of outcomes and improving those outcomes over time. To accomplish this, the Secretary of Labor and the governor of each state must reach agreement on the state's negotiated performance levels for the core indicators of performance, and for customer satisfaction indicators of employers' and participants' satisfaction. These levels of performance become the basis for sanctions for failed performance and, with additional performance levels for WIA title II Adult Education and Family Literacy Act programs and Carl D. Perkins Career and Technical Education Act of 2006 programs, the basis for incentive grants.

At a minimum, the State Plan should include proposed performance goals for WIA and Wagner-Peyser Act programs for each of the performance indicators for each program year covered by the Plan. While the State Plan is under review, the ETA Regional

Administrator and the state will discuss the performance levels, and negotiate on them as appropriate. The Department expects states to enter into preliminary discussions with the Local Workforce Investment Boards and the ETA Regional Administrators before submitting the State Plan. States are expected to come to the negotiating table with support from their Local Workforce Investment Boards for the proposed performance goals. Entering into preliminary discussions prior to Plan submission will maximize the time available to states, local areas, and the Department to develop a shared set of goals. ETA Regional Administrators will coordinate with other DOL program administrators, including the Veterans' Employment and Training Service (VETS) Regional Administrators, to assure comprehensive Departmental participation.

States should note that the proposed levels of performance are subject to public review and comment requirements. States that have completed negotiations with ETA should include their agreed-upon levels of performance for each program year covered by the Plan for the WIA and Wagner-Peyser Act programs.

In cases where final agreement on performance goals is reached after the State Plan is submitted to ETA for review and approval, but before ETA approval of the State Plan, the letter advising the states of approval of the State Plan will include ETA's approval of the agreed-upon goals.

In cases where final agreement on performance goals has not been reached until after the State Plan has been approved, the ETA Regional Administrator's letter advising the state

of the agreed-upon goals will constitute a modification to the State Plan. For subsequent revisions to performance goals during the life of the State Plan, the ETA Regional Administrator's letter advising the state of the agreed upon goals will also constitute a modification to the State Plan. The state must ensure that the agreed-upon goals are included in the state's official copy of the State Plan, and that any published State Plan, on the state's Web site or through other forums, includes the agreed-upon goals. ETA will incorporate these performance goals into the Regional and National Office copies of the State's Plan.

#### **G. Modifications to State Plan**

##### 1. Reasons for Modifications:

Modifications may be needed in any number of areas to keep the Unified Plan a viable, living document over its life span. WIA regulations permit states to modify their Plan at any time and 20 CFR 652.212 and 661.230 outline the circumstances under which modifications must be submitted. Modifications are required when:

- a. Changes in Federal or state law or policy substantially change the assumptions upon which the Plan is based.
- b. There are changes in the statewide vision, strategies, policies, performance indicators, the methodology used to determine local allocation of funds, reorganizations which change the working relationship with system employees,



changes in organizational responsibilities, changes to the membership structure of the state board or alternative entity and similar substantial changes to the state's workforce investment system.

- c. The state has failed to meet performance goals, and must adjust service strategies.

The WIA regulations, at 20 CFR 652.212, which relate to the Wagner-Peyser Act portions of the Plan, also require modifications when there is any reorganization of the state agency designated to deliver services under the Wagner-Peyser Act, any change in service delivery strategy, any change in levels of performance when performance goals are not met, or any change in services delivered by state merit-staff employees. In general, it is substantial changes to the Unified Plan that require a modification, i.e., any change that significantly impacts the operation of the state's workforce investment system.

## 2. Submitting a Modification:

Plan modifications must be submitted to the Federal Coordinator, who will ensure that Federal agencies whose programs are included in the unified plan receive a copy, in accordance with the procedures of the affected agency. Prior to submission of the modification for review and approval by the Federal Government, the designated state agency must circulate the modifications among the other state and/or local agencies that may be affected by the changes. Inclusion of a program in the State Unified Plan does not

remove the statutory requirement for certain programs to annually review the Plan and submit modifications as needed.

Modifications to the Unified Plan are subject to the same public review and comment requirements that apply to the development of the original Plan. States wishing to submit a State Plan modifications should follow the submission guidelines listed in Section D “Submission of Unified Plans.” States should direct any questions about the need to submit a Plan modification to the Federal Coordinator, the Departmental Contacts listed above, or to the Regional Administrator or Regional Commissioner who exercises administrative authority over the activity or program(s) impacted by the modification.

#### **H. Inquiries**

General inquiries about the State Unified Plan process may be directed to Kimberly Vitelli, the Federal Coordinator for Plan Review and Approval. The electronic mail address for the Federal Coordinator is [Vitelli.Kimberly@dol.gov](mailto:Vitelli.Kimberly@dol.gov). The Federal Coordinator may be contacted by phone at 202-693-33639. Inquiries related to specific activities and programs can be directed to the staff contacts listed above.

#### **Part II. Unified Planning Instructions**

**Note:** The statutes cited in parentheses refer to the authorizing legislation for each respective program. This Unified Planning guidance only relates to planning requirements; it does not affect the statutory and regulatory requirements relating to other

aspects of programs included in the Plan.

### **A. State Vision and Priorities**

Describe the governor's vision for a statewide workforce investment system. Provide a summary articulating the governor's vision for utilizing the resources of the workforce investment system in support of the state's economic development that address the issues and questions below. States are encouraged to attach more detailed documents to expand upon any aspect of the summary response if available. (WIA §112(a) and (b)(4)(A-C).)

1. What are the state's economic development goals for attracting, retaining and growing business and industry within the state? (§112(a) and (b)(4)(A-C).)
2. Given that a skilled workforce is a key to the economic success of every business, what is the governor's vision for maximizing and leveraging the broad array of Federal and state resources available for workforce investment flowing through the state's cabinet agencies and/or education agencies in order to ensure a skilled workforce for the state's business and industry? (§112(a) and (b)(4)(A-C).)
3. Given the continuously changing skill needs that business and industry have as a result of innovation and new technology, what is the governor's vision for ensuring a continuum of education and training opportunities that support a skilled workforce? (§112(a) and (b)(4)(A-C).)

4. What is the governor's vision for bringing together the key players in workforce development including business and industry, economic development, education, and the workforce system to continuously identify the workforce challenges facing the state and to develop innovative strategies and solutions that effectively leverage resources to address those challenges? (§112(b)(10).)
5. What is the governor's vision for ensuring that every youth has the opportunity to develop and achieve career goals through education and workforce training, including youth most in need, such as youth who are: out of school, homeless, in foster care or aging out of foster care, offenders, children of incarcerated parents, migrant and seasonal farmworker youth, have disabilities, or are other youth at risk? (§112 (a).)
6. Describe the governor's vision for how it will ensure that older individuals receive workforce training that will prepare them to reenter the labor market and become a workforce solution for employers. (§112 (b)(17)(A)(iv).)

**B. One-Stop Delivery System**

1. Describe the state's comprehensive vision of an integrated service delivery system, including the role each program incorporated in the Unified Plan in the delivery of services through that system.

In answering this question, if the Unified Plan includes *WIA title I and Wagner-Peyser Act and/or Veterans Programs*:

- a. Identify how the state will use WIA title I funds to leverage other Federal, state, local, and private resources in order to maximize the effectiveness of such resources and to expand the participation of business, employees, and individuals in the statewide workforce investment system? (§112(b)(10).)
- b. What strategies are in place to address the national strategic direction discussed in Part II of this guidance, the governor’s priorities, and the workforce development issues identified through the analysis of the state’s economy and labor market? (§112(a) and 112(b)(4)(D).)
- c. Based on the state’s economic and labor market analysis, what strategies has the state implemented or does the state plan to implement to identify and target industries and occupations within the state that are high growth, high demand, and vital to the state’s economy? (§112(a) and 112(b)(4)(A).) The state may want to consider:
  - Industries projected to add a substantial number of new jobs to the economy;
  - Industries that have a significant impact on the overall economy;
  - Industries that impact the growth of other industries;
  - Industries that are being transformed by technology and innovation that require new skill sets for workers; or
  - Industries that are new and emerging and are expected to grow.
- d. What strategies are in place to promote and develop ongoing and sustained strategic partnerships that include business and industry, economic development, the workforce system, and education partners (K-12, community colleges, and

- others) for the purpose of continuously identifying workforce challenges and developing solutions to targeted industries' workforce challenges? (§112(b)(8).)
- e. What state strategies are in place to ensure that sufficient system resources are being spent to support training of individuals in high growth/high demand industries? (§112(b)(4)(A) and 112(b)(17)(A)(i).)
  - f. What workforce strategies does the state have to support the creation, sustainability, and growth of small businesses and support for the workforce needs of small businesses as part of the state's economic strategy? (§112(b)(4)(A) and 112(b)(17)(A)(i).)
  - g. How are the funds reserved for statewide activities used to incent the entities that make up the state's workforce investment system at the state and local levels to achieve the governor's vision and address the national strategic direction identified in Part I of this guidance? (§112(a).)
  - h. Describe the state's strategies to promote collaboration between the workforce system, education, human services, juvenile justice, and others to better serve youth that are most in need and have significant barriers to employment, and to successfully connect them to education and training opportunities that lead to successful employment. (§112(b)(18)(A).)
  - i. Describe the state's strategies to identify state laws, regulations, policies that impede successful achievement of workforce development goals and strategies to change or modify them. (§112(b)(2).)

- j. Describe how the state will take advantage of the flexibility provisions in WIA for waivers and the option to obtain approval as a workflex state pursuant to §189(i) and §192.
2. Describe the actions the state has taken to ensure an integrated One-Stop service delivery system statewide. (§§112(b)(14) and 121.)
- a. What state policies and procedures are in place to ensure the quality of service delivery through One-Stop Career Centers such as development of minimum guidelines for operating comprehensive One-Stop Career Centers, competencies for One-Stop Career Center staff or development of a certification process for One-Stop Career Centers? (§112(b)(14).)
  - b. What policies or guidance has the state issued to support maximum integration of service delivery through the One-Stop delivery system for both business customers and individual customers? (§112(b)(14).)
  - c. What actions has the state taken to promote identifying One-Stop infrastructure costs and developing models or strategies for local use that support integration? (§112(b)(14).)
  - d. How does the state use the funds reserved for statewide activities pursuant to §§129(b)(2)(B) and 134(a)(2)(B)(v) to assist in the establishment and operation of One-Stop delivery systems? (§112(b)(14).)
  - e. How does the state ensure the full spectrum of assets in the One-Stop delivery system support human capital solutions for businesses and individual customers broadly? (§112(b)(14).)

### **C. Plan Development and Implementation**

1. Describe the methods used for joint planning and coordination of the programs and activities included in the Unified Plan. (WIA §501(c)(3)(A).)

The authorizing statutes for many of the programs that may be included in a Unified Plan require that the State Plan be developed in consultation with various public and private entities, as well as members of the general public. Some statutes also require formal public hearings. Depending upon the programs that a state chooses to include in its Unified Plan, it may be possible for the state to satisfy many of these consultation requirements through a single set of processes.

2. Describe the process used by the state to provide an opportunity for public comment and participation for each of the programs covered in the Unified Plan.

In addition, if the Unified Plan includes:

- a. *WIA Title I and Wagner-Peyser Act and/or Veterans Programs*, describe the process used by the state, consistent with section 111(g) of WIA, to provide an opportunity for public comment, including comments by representatives of business and representatives of labor organizations, and input into development of the Plan, prior to submission of the Plan.
- b. *AEFLA*, describe the process that will be used for public participation and comment with respect to the AEFLA portion of the Unified Plan. (§224(b)(9).)



- c. *TANF*, the state shall make available to the public a summary of any Plan or Plan amendment submitted by the state under this section. With respect to the TANF plan design, the state should describe how local governments and private sector organizations have been consulted regarding the plan and design of welfare services in the state so that the services are provided in a manner appropriate to local populations; and have had at least 45 days to submit comments on the plan and the design of such services. (§402(c).)
  - d. *CSBG*, provide evidence that the public participation requirements were met, including documents which confirms that a legislative public hearing on the State Plan was conducted as required by subsection 675(b) and that the Plan was also made available for public inspection and review as required by subsection 675(d) (2).
3. Describe the types of activities and outcomes that were conducted to meet the consultation requirement. Demonstrate, as appropriate, how comments were considered in the Plan development process including specific information on how the various WIA agency and program partners were involved in developing the Unified State Plan.

The following agencies, groups, or individuals must be consulted if the Unified Plan includes:

- a. *WIA title I, Wagner-Peyser Act, or Veterans Programs*: (§112(b)(1) and 112(b)(9))

- The governor of the state
- State board
- Local chief elected officials
- Business community
- Labor organizations

The following agencies, groups and individuals should also be consulted for WIA title I, Wagner-Peyser, or Veterans Programs: local boards and youth councils, educators, vocational rehabilitation agencies, service providers, welfare agencies, faith and community-based organizations and the state employment security agency.

In addition, describe the role of the state board and local boards in planning and coordination in the Unified Plan (§501(c)(3).)

**NOTE:** While WIA only requires the involvement of state board and local boards in the planning and coordination of the programs and activities authorized under title I, the intent of the Unified Plan approach is to enable all the relevant parties in an area, if they so choose, to come together more readily to coordinate their activities in the best interests of the population to be served. However coordination is achieved, nothing in the Unified Plan or in WIA itself permits a Board or any other entity to alter the decisions made by another program grantee in accord with that grantee's statutes.

b. *AEFLA* (§224(d)) :

- Governor of the state (any comments made by the governor must be included in the Plan)

c. *Vocational Rehabilitation* (§101(a)(21)(A)(ii)(III.):

- State Rehabilitation Council (include the response of the designated state unit to such input and recommendations)

d. *CSBG*:

- Low-income individuals
- Community organizations
- Religious organizations
- Representatives of low-income individuals

e. *TANF*:

- Local governments
- Private sector organizations

States must consult local governments and private sector organizations regarding the plan and design of services in the state so that services are provided in a manner appropriate to local populations. Local governments and private sector organizations must have had at least 45 days to submit

comments on the plan and the design of such services.

#### **D. Needs Assessment**

1. Many of the programs that may be included in a Unified Plan require a needs assessment. State agencies should fulfill these assessment responsibilities collaboratively or, at a minimum, create a planning process that promotes the sharing of needs assessment information among all agencies involved in preparing the Unified Plan. Sharing of assessment data can create a framework for the coordination and integration of services that are to be provided through the One-Stop delivery system. The state may organize the presentation of assessment data in its Unified Plan in a manner it deems most appropriate and useful for planning, such as on a program-by-program basis, by geographic region, or by special population.

Describe the educational and job-training needs of individuals in the overall state population and of relevant subgroups of all the programs included in the Unified Plan.

In answering this question, if the Unified Plan includes:

- a. *WIA Title I and Wagner-Peyser Act and/or Veterans Programs*, identify the types and availability of workforce investment activities currently in the state. (§112(b)(4)(A-D).)
- b. *AEFLA*, objectively assess the adult education and literacy needs of individuals,

including an assessment of those most in need and hardest to serve, including low income students, individuals with disabilities, single parents, displaced homemakers, and individuals with multiple barriers to educational enhancement (including individuals with limited English proficiency, criminal offenders in correctional institutions and other institutionalized individuals.) (§§224(b)(10) and 225.)

- c. *SNAP Employment and Training (E&T)*, explain the method used to:
- i. Estimate the number and characteristics of the expected pool of work registrants during the fiscal year;
  - ii. Estimate the number of work registrants the state agency intends to exempt from E&T, along with a discussion of the proposed exemption criteria;
  - iii. Estimate the number of placements into E&T components during the fiscal year;
  - iv. Estimate the number of ABAWDs (able-bodied adults without dependents) in the state during the fiscal year;
  - v. Estimate the number of ABAWDs in both waived and unwaived area of the state during the fiscal year;
  - vi. Estimate the average monthly number of ABAWDs included in the state's 15 percent exemption allowance, along with a discussion of how the state intends to apply the exemption;
  - vii. Estimate the number of qualifying education/training and workfare opportunities for ABAWDs the state will create during the fiscal year.

d. *Vocational Rehabilitation:*

- i. Assess the needs of individuals with disabilities in the state, particularly the vocational rehabilitation needs of individuals with the most significant disabilities (including their need for supported employment services), individuals with disabilities who have been unserved or under-served by the vocational rehabilitation program, and individuals with disabilities served through other components of the statewide workforce investment system. (§§101(a)(15)(A)(i)(I-III) and 625(b)(2).)
- ii. Include state estimates of the number of individuals in the state who are eligible for services under title I of the Rehabilitation Act, the number of such individuals who will receive services provided with funds provided under part B of title I and under part B of title VI (including, if the designated state agency uses an order of selection, estimates of the number of individuals to be served under each priority category within the order), and the costs of the services provided (including, if the designated state agency uses an order of selection, the service costs for each priority category within the order.) (§101(a)(15)(B).)
- iii. Provide an assessment of the need to establish, develop, or improve community rehabilitation programs within the state. (§101(a)(15)(A)(ii).)

- e. *HUD Employment and Training Programs*: Address the educational and training needs of public housing residents and other families receiving housing assistance.

Reminder: this question is a suggestion for incorporating HUD programs into the State Unified Plan. However, following this guidance will not trigger funding for HUD programs.

- 2. *WIA Title I and Wagner-Peyser Act Economic and Labor Market Analysis (§112(b) (4))*: As a foundation for this Plan and to inform the strategic investments and strategies that flow from this Plan, provide a detailed analysis of the state's economy, the labor pool, and the labor market context. Elements of the analysis should include the following:
  - a. What is the current makeup of the state's economic base by industry?
  - b. What industries and occupations are projected to grow and/or decline in the short term and over the next decade?
  - c. In what industries and occupations is there a demand for skilled workers and available jobs, both today and projected over the next decade? Estimate projected demand.
  - d. What jobs/occupations are most critical to the state's economy?
  - e. What are the skill needs for the available, critical and projected jobs?
  - f. What is the current and projected demographics of the available labor pool (including the incumbent workforce) both now and over the next decade?

- g. Is the state experiencing any “in migration” or “out migration” of workers that impact the labor pool?
- h. Based on an analysis of both the projected demand for skills and the available and projected labor pool, what skill gaps is the state experiencing today and what skill gaps are projected over the next decade?
- i. Based on an analysis of the economy and the labor market, what workforce development issues has the state identified?
- j. What workforce development issues has the state prioritized as being most critical to its economic health and growth?

**E. State and Local Governance**

- 1. What is the organization, structure, and role/function of each state and local entity that will govern the activities of the Unified Plan?

In answering this question, if the Unified Plan includes:

a. *WIA Title I and Wagner-Peyser Act and/or Veterans Programs:*

- i. Organization of state agencies:

a. Provide an organizational chart that delineates the relationship to the governor of the agencies involved in the workforce investment system, including education and economic development and the required and optional One-Stop partner programs managed by each agency.



b. In a narrative describe how the agencies involved in the public workforce investment system interrelate on workforce and economic development issues and the respective lines of authority.

ii. State Workforce Investment Board:

a. Describe the organization and structure of the state board. (§111.)

b. Include a description of the process by which state and local boards were created.

c. Identify the organizations or entities represented on the state board. If you are using an alternative entity which does not contain all the members required under section 111(b)(1), describe how each of the entities required under this section will be involved in planning and implementing the state's workforce investment system as envisioned in WIA. How is the alternative entity achieving the state's WIA goals? (§§111(a-c), 111(e), and 112(b)(1).)

d. Describe the process the state used to identify the state board members. How did you select board members, including business representatives, who have optimum policy-making authority and who represent diverse regions of the state as required under WIA? Describe how the board's membership enables you to achieve the vision described above. (20 CFR 661.200)

e. Describe how the board carries out its functions as required in section 111(d) and 20 CFR 661.205. Include functions the board has assumed that

are in addition to those required. Identify any functions required in section 111(d) the board does not perform and explain why.

f. How will the state board ensure that the public (including people with disabilities) has access to Board meetings and information regarding State Board activities, including membership and meeting minutes? (20 CFR 661.207.)

g. Identify the circumstances which constitute a conflict of interest for any state or local workforce investment board 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. (§§111(f), 112(b)(13), and 117(g).)

h. What resources does the state provide the board to carry out its functions, e.g., staff, funding, etc.?

iii. What is the structure/process for the state agencies and state board to collaborate and communicate with each other and with the local workforce investment system (§112(b)(8)(A).):

a. 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 (e.g., joint activities, memoranda of understanding, planned mergers, coordinated policies, etc.). How will the state board and agencies eliminate any existing state-level barriers to coordination? (§§111(d)(2) and 112(b)(8)(A).)

b. Describe the lines of communication established by the governor to ensure open and effective sharing of information among the state agencies responsible for implementing the vision for the workforce system and between the state agencies and the state workforce investment board.

c. Describe the lines of communication and mechanisms established by the governor to ensure timely and effective sharing of information between the state agencies/state board and local workforce investment areas and local boards. Include types of regularly issued guidance and how Federal guidance is disseminated to local boards and One-Stop Career Centers. (§112(b)(1).)

iv. Describe any cross-cutting organizations or bodies at the state level designed to guide and inform an integrated vision for serving youth in the state within the context of workforce investment, social services, juvenile justice, and education. Describe the membership of such bodies and the functions and responsibilities in establishing priorities and services for youth? How is the state promoting a collaborative cross-agency approach for both policy development and service delivery at the local level for youth? (§112(b)(18) (A).)

v. 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 as outlined below. (§112(b)(2).)

a. What state policies and systems are in place or planned to support common data collection and reporting processes, information

management, integrated service delivery, and performance management?  
(§§111(d)(2) and 112(b)(8)(B).)

b. What state policies are in place that promote efficient use of administrative resources such as requiring more co-location and fewer affiliate sites in local One-Stop systems to eliminate duplicative facility and operational costs or to require a single administrative structure at the local level to support local boards and to be the fiscal agent for WIA funds to avoid duplicative administrative costs that could otherwise be used for service delivery and training? Include any specific administrative cost controls, plans, reductions, and targets for reductions, if the state has established them. (§§111(d)(2) and 112(b)(8)(A).)

c. What state policies are in place to promote universal access and consistency of service statewide? (§112(b)(2).)

d. What policies support a demand-driven approach to workforce development, such as training on the economy and labor market data for Local Board and One-Stop Career Center staff? (§§112(b)(4) and 112(b)(17)(A)(iv).)

e. What policies are in place to ensure that the resources available through the Federal and/or state Registered Apprenticeship programs, the Job Corps and SCSEP are fully integrated with the state's One-Stop delivery system? (§§112(b)(17)(A)(iv) and (b)(18)(C).)

vi. Local Area Designations -- Identify the state's designated local workforce investment areas and the date of the most recent area designation, including

whether the state is currently re-designating local areas. (§§112(b)(5).)

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 education agencies, post-secondary education 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 §116(a)(4). (§§112(b)(5) and 116(a)(1).) Describe the appeals process used by the state to hear appeals of local area designations referred to in §116(a)(5) and 112(b)(15).

- vii. Local Workforce Investment Boards -- 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. (§§112(b)(6), 117(b).)
- viii. Identify the circumstances which constitute a conflict of interest for any state or local workforce investment board 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. (§§111(f), 112(b)(13), and 117(g).)
- ix. Identify the policies and procedures to be applied by local areas for determining eligibility of local level training providers, how performance information will be used to determine continuing eligibility and the agency responsible for carrying out these activities. Describe how the state solicited

recommendations from Local Boards and training providers and interested members of the public, including representatives of business and labor organizations, in the development of these policies and procedures.

x. Individual Training Accounts (ITAs):

a. What policy direction has the state provided for ITAs?

b. Describe innovative training strategies used by the state to fill skills gaps.

Include in the discussion the state's effort to broaden the scope and reach of ITAs through partnerships with business, education, economic development, and industry associations and how business and industry involvement is used to drive this strategy.

c. Discuss the state's plan for committing all or part of WIA title I funds to training opportunities in high-growth, high-demand, and economically vital occupations.

d. Describe the state's policy for limiting ITAs (e.g., dollar amount or duration).

e. Describe the state's current or planned use of WIA title I funds for the provision of training through Registered Apprenticeship.

f. Identify state policies that permit the use of WIA title I financial assistance to employ or train participants in religious activities when the assistance is provided indirectly, such as through an ITA.

xi. Identify the criteria to be used by Local Boards in awarding grants for Youth activities, including criteria that the governor and Local Boards will use to identify effective and ineffective Youth activities and providers of such

activities. (§112(b)(18)(B).)

- xii. Describe the competitive and non-competitive processes 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. (§112(b)(16).)
  
- b. *Vocational Rehabilitation*, designate a state agency as the sole state agency to administer the plan, or to supervise the administration of the plan by a local agency, in accordance with section 101(a)(2)(A). (§101(a)(2)(A).)
  
- c. *TANF*, describe the objective criteria for the delivery of benefits and the determination of eligibility and for fair and equitable treatment, including an explanation of how the state will provide opportunities for recipients who have been adversely affected to be heard in a state administrative or appeal process. (§ 402(a)(1)(B)(iii).)

## **F. Funding**

What criteria will the state use, subject to each program's authorizing law, to allocate funds for each of the programs included in the Unified Plan? Describe how the state will use funds the state receives to leverage other Federal, state, local, and private resources, in order to maximize the effectiveness of such resources, and to expand the participation of business, employees, and individuals in the statewide workforce investment system. (WIA §112(b)(10).)

In answering this question, if the Unified Plan includes:

1. *WIA Title I and Wagner-Peyser Act and/or Veterans Programs (§112(b)(12)):*

- a. If applicable, describe the methods and factors (including weights assigned to each factor) the state will use to distribute funds to local areas for the 30 percent discretionary formula Adult employment and training funds and Youth funds pursuant to sections 128(b)(3)(B) and 133(b)(3)(B).
- b. Describe how the allocation methods and factors help ensure that funds are distributed equitably throughout the state and that there will be no significant shifts in funding levels to a local area on a year-to-year basis.
- c. Describe the state's allocation formula for dislocated worker funds under 133(b)(2)(B).
- d. Describe how the individuals and entities on the state board were involved in the development of the methods and factors, and how the state consulted with chief elected officials in local areas throughout the state in determining such distribution.
- e. Describe the procedures and criteria that are in place under 20 CFR 663.600 for the governor and appropriate local boards to direct One-Stop operators to give priority of service to public assistance recipients and other low-income individuals for intensive and training services if funds allocated to a local area for adult employment and training activities are determined to be limited. (§§112(b)(17)(A)(iv) and 134(d)(4)(E).)



f. Specify how the state will use the 10 percent Wagner-Peyser Act funds allotted to it under section 7(b) in accordance with the three provisions of allowable activities: performance incentives; services for groups with special needs; and extra costs of exemplary service delivery models. (§112(b)(7) and 20 CFR 652.204.)

2. *Adult Education and Family Literacy:*

- a. Describe how the eligible agency will fund local activities in accordance with the considerations described in section 231(e) and the other requirements of title II of WIA. (§ 224(b).)
- b. Describe the process to show that public notice was given of the availability of Federal funds to eligible recipients and the procedures for submitting applications to the state, including approximate time frames for the notice and receipt of applications. (§231(c).)
- c. Describe how the eligible agency will use funds made available under section 222(a)(2) for state leadership activities. (§223(a).)
- d. Describe the steps the eligible agency will take to ensure direct and equitable access, as required in section 231(c). (§224(b)(12).)

3. *SNAP Employment and Training:* Estimate the total cost of the state's E&T program and identify the source of funds according to the format for Table 5, Planned Fiscal Year Costs, contained in the most current release of "The Handbook on Preparing State Plans for Food Stamp Employment and Training Programs."

4. *TANF*: Indicate the name, address, and EIN number of the TANF administering agency and estimate for each quarter of the fiscal year by percentage the amount of TANF grant that it wishes to receive.

5. *Vocational Rehabilitation*:

- a. Describe how the state will utilize funds reserved for the development and implementation of innovative approaches to expand and improve the provision of vocational rehabilitation services to individuals with disabilities under the state Plan, particularly individuals with the most significant disabilities. (§101(a)(18)(B).)
- b. Describe the quality, scope, and extent of supported employment services authorized under the Act to be provided to individuals who are eligible under the Act to receive the services. (§625(b)(3).)
- c. In the event that vocational rehabilitation services cannot be provided to all eligible individuals with disabilities in the state who apply for services, indicate the order to be followed in selecting eligible individuals to be provided vocational rehabilitation services and provide the justification for the order. (§101(a)(5)(A)-(B).)

6. *CSBG*: Describe how the state intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b), including a description of how the local entity will use the funds to support innovative

community and neighborhood-based initiatives.

### **G. Activities To Be Funded**

For each of the programs in the Unified Plan, provide a general description of the activities the state will pursue using the relevant funding.

In answering the above question, if the Unified Plan includes:

1. *WIA Title I and Wagner-Peyser Act and/or Veterans Programs:*

Describe the approaches the state will use to provide direction and support to Local Boards and the One-Stop Career Center delivery system on the strategic priorities to guide investments, structure business engagement, and inform service delivery approaches for all customers. (§112(b)(17)(A).)

a. One-Stop Service Delivery Strategies: (§111(d)(2) and 112(b)(2).)

i. 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?

(§112(b)(8)(A).)

ii. How are Youth formula programs funded under §128(b)(2)(A) integrated in the One-Stop system?

iii. What minimum service delivery requirements does the state mandate in a comprehensive One-Stop Career Centers or an affiliate site?

iv. What tools and products has the state developed to support service delivery in

all One-Stop Career Centers statewide?

- v. What models/templates/approaches does the state recommend and/or mandate for service delivery in the One-Stop Career Centers? For example, do all One-Stop Career Centers have a uniform method of organizing their service delivery to business customers? Is there a common individual assessment process utilized in every One-Stop Career Center? Are all One-Stop Career Centers required to have a resource center that is open to anyone?
  
- b. Workforce Information – A fundamental component of a demand-driven workforce investment system is the integration and application of the best available state and local workforce information including, but not limited to, economic data, labor market information, Census data, private sources of workforce information produced by trade associations and others, educational data, job vacancy surveys, transactional data from job boards, and information obtained directly from businesses. (§§111(d)(8), 112(b)(1), and 134(d)(2)(E).)
  - i. Describe how the state will integrate workforce information into its planning and decision-making at the state and local level, including state and local boards, One-Stop operations, and case manager guidance.
  - ii. Describe the approach the state will use to disseminate accurate and timely workforce information to businesses, job seekers, and employment counselors, in easy to use formats that are readily accessible within One-Stop Career Centers and at remote locations such as libraries, schools, worksites, and at home.

- iii. Describe how the activities funded through the Workforce Information grants are aligned with other workforce investment activities to ensure that the investments in core products and services support the state's overall strategic direction for workforce investment.
  - iv. Describe how state workforce information products and tools are coordinated with the national electronic workforce information tools.
- c. Adults and Dislocated Workers
- i. Core Services. (§112(b)(17)(a)(i).)
    - a. Describe state strategies and policies to ensure adults and dislocated workers have universal access to the minimum required core services as described in §134(d)(2).
    - b. Describe how the state will ensure the three-tiered service delivery strategy for labor exchange services for job seekers and employers authorized by the Wagner-Peyser Act includes (1) self-service, (2) facilitated self-help service, and (3) staff-assisted service, and is accessible and available to all customers at the local level.
    - c. Describe how the state will integrate resources provided under the Wagner-Peyser Act and WIA title I for adults and dislocated workers as well as resources provided by required One-Stop partner programs, to deliver core services.
  - ii. Intensive Services. Describe state strategies and policies to ensure adults and dislocated workers who meet the criteria in §134(d)(3)(A) receive intensive

services as defined.

- iii. Training Services. Describe the governor's vision for increasing training access and opportunities for individuals including the investment of WIA title I funds and the leveraging of other funds and resources.
- iv. Eligible Training Provider List. Describe the state's process for providing broad customer access to the statewide list of eligible training providers and their performance information including at every One-Stop Career Center.  
(§112(b)(17)(A)(iii).)
- v. On-the-Job (OJT) and Customized Training (§ 112(b)(17)(A)(i) and 134(b).)  
Based on the outline below, describe the state's major directions, policies and requirements related to OJT and customized training.
  - a. Describe the governor's vision for increasing training opportunities to individuals through the specific delivery vehicles of OJT and customized training.
  - b. Describe how the state:
    - 1. Identifies OJT and customized training opportunities;
    - 2. Markets OJT and customized training as incentives to untapped employer pools including new business to the state and employer groups;
    - 3. Partners with high-growth, high-demand industries and economically vital industries to develop potential OJT and customized training strategies;
    - 4. Taps business partners to help drive the strategy through joint planning,

competency and curriculum development; and determining appropriate lengths of training, and

5. Leverages other resources through education, economic development and industry associations to support OJT and customized training ventures.

vi. Veterans' Priority of Service. What policies and strategies does the state have in place for the state workforce agency or agencies, local workforce investment boards, and One-Stop Career Centers to ensure that priority of service is provided to veterans and eligible spouses for all employment and training programs funded by DOL, pursuant to the Jobs for Veterans Act (P.L.107-288) (38 USC 4215) and the requirements of the Jobs for Veterans Act regulations 20 CFR 1010.230? The description must include:

- a. How the state policies ensure that covered persons are identified at the point of entry and given an opportunity to take full advantage of priority of service.
- b. How the state policies ensure that covered persons are aware of:
  - a. Their entitlement to priority of service;
  - b. The full array of employment, training, and placement services available under priority of service; and
  - c. Any applicable eligibility requirements for those programs and/or services.
- c. A description or copy of the state's policy requiring Local Workforce Investment Boards to develop and include policies in

their Local Plan to implement priority of service for the local One-Stop Career Centers and for service delivery by local workforce preparation and training providers.

vii. Rapid Response. Describe how the state provides Rapid Response services with the funds reserved under section 133(a)(2).

a. Identify the entity responsible for providing Rapid Response services.

Describe how Rapid Response activities involve Local Boards and Chief Elected Officials. If Rapid Response activities are shared between the state and local areas, describe the functions of each and how funds are allocated to the local areas.

b. Describe the process involved in carrying out Rapid Response activities.

1. What methods are involved in receiving notice of impending layoffs (include WARN Act notice as well as other sources)?
2. What efforts does the Rapid Response team make to ensure that rapid response services are provided, whenever possible, prior to layoff date, onsite at the company, and on company time?
3. What services are included in Rapid Response activities? Does the Rapid Response team provide workshops or other activities in addition to general informational services to affected workers? How do you determine what services will be provided for a particular layoff (including layoffs that may be trade-affected)?
4. How does the state ensure a seamless transition between Rapid



Response services and One-Stop activities for affected workers?

5. Describe how Rapid Response functions as a business service. Include whether Rapid Response partners with economic development agencies to connect employees from companies undergoing layoffs to similar companies that are growing and need skilled workers. How does Rapid Response promote the full range of services available to help companies in all stages of the economic cycle, not just those available during layoffs? How does the state promote Rapid Response as a positive, proactive, business-friendly service, rather than only as a reactive service?
6. What other partnerships does Rapid Response engage in to expand the range and quality of services available to companies and affected workers and to develop an effective early layoff warning network?
7. What systems does the Rapid Response team use to track its activities? Does the state have a comprehensive, integrated management information system that includes Rapid Response, Trade Act programs, National Emergency Grants, and One-Stop activities?
8. Are Rapid Response funds used for other activities not described above; e.g., the provision of additional assistance to local areas that experience increased workers or unemployed individuals due to dislocation events?

d. Veterans Programs. For the grant period FY 2005 - FY 2009, states submitted

five year strategic plans to operate Disabled Veterans' Outreach Programs (DVOP) and Local Veterans' Employment Representative (LVER) programs under the Jobs for Veterans Act. These plans may be incorporated by reference as part of a state's Unified Plan. Modifications to these five year Jobs for Veterans Act plans will be managed in accordance with policy guidance from the Veterans' Employment and Training Service.

- e. Youth. ETA's strategic vision identifies youth most in need, such as youth who are: out-of-school, at risk, in foster care or aging out of foster care, offenders, children of incarcerated parents, homeless, and migrant and seasonal farmworker youth as those most in need of service. State programs and services should take a comprehensive approach to serving these youth, including basic skills remediation; helping youth stay in or return to school, employment, or internships; and helping youth attain a high school diploma or GED, post-secondary vocational training, Registered Apprenticeship, or enrollment in community and four-year colleges. (§112(b)(18).)
- i. Describe the state's strategy for providing comprehensive, integrated services to eligible youth, including those most in need as described above. Include any state requirements and activities to assist youth who have special needs or barriers to employment, including those who are pregnant, parenting, or have disabilities. Include how the state will coordinate across state agencies responsible for workforce investment, foster care, education, human services, juvenile justice, and other relevant resources as part of the strategy. (§112(b)

(18).)

- ii. Describe how coordination with Job Corps and other youth programs will occur. (§112(b)(18)(C).)
  - iii. How does the State Plan to utilize the funds reserved for statewide activities to support the state’s vision for serving youth? Examples of activities that would be appropriate investments of these funds include:
    - a. utilization of the funds to promote cross agency collaboration;
    - b. demonstration of cross-cutting models of service delivery;
    - c. development of new models of alternative education leading to employment; or
    - d. development of demand-driven models with business and industry working collaboratively with the workforce investment system and education partners to develop strategies for bringing these youth successfully into the workforce pipeline with the right skills.
  - iv. Describe in general how the state will meet the Act's provisions regarding Youth program design. (§§112(b)(18) and 129(c).)
- f. Business Services.
- i. Describe how the needs of employers will be determined in the local areas and on a statewide basis.
  - ii. Describe how integrated business services, including Wagner-Peyser Act services, will be delivered to employers through the One-Stop system.
  - iii. How will the system streamline administration of Federal tax credit programs

within the One-Stop system to maximize employer participation (20 CFR 652.3(b), §112(b)(17)(A)(i).)

g. **Innovative Service Delivery Strategies.** Describe innovative service delivery strategies the state has or is planning to undertake to maximize resources, increase service levels, improve service quality, achieve better integration or meet other key state goals. Include in the description the initiative's general design, anticipated outcomes, partners involved and funds leveraged (e.g., title I formula, statewide reserve, employer contributions, education funds, non-WIA state funds). (§112(b)(17)(A).)

h. **Strategies for Faith-Based and Community Organizations**

i. Describe those activities to be undertaken to:

a. increase the opportunities for participation of faith-based and community organizations as committed and active partners in the One-Stop delivery system; and

b. expand the access of faith-based and community organizations' clients and customers to the services offered by the One-Stops in the state.

ii. Outline those action steps designed to strengthen state collaboration efforts with local workforce investment areas in conducting outreach campaigns to educate faith-based and community organizations about the attributes and objectives of the demand-driven workforce investment system.

iii. Indicate how these resources can be strategically and effectively leveraged in

the state's workforce investment areas to help meet the objectives of the Workforce Investment Act. (§112(b)(17)(i).)

2. *Adult Education and Literacy Services, including workplace literacy services:*

- a. Describe the state's family literacy services.
- b. Describe the state's English literacy programs.

3. *SNAP Employment and Training:*

- a. Describe the components of the state's E&T program.
- b. Discuss the weekly/monthly hours of participation required of each program component.
- c. Describe planned combinations of components to meet the statutory requirement of 20 hours of participation per week to qualify as a work program for ABAWDS.

4. *TANF:* Outline how the state intends to:

- a. Conduct a program, designed to serve all political subdivisions in the state (not necessarily in a uniform manner), that provides assistance to needy families with (or expecting) children and provides parents with job preparation, work, and support services to enable them to leave the program and become self-sufficient. (§402(a)(1)(A)(i).)
- b. Require a parent or caretaker receiving assistance under the program to engage in work (as defined by the state) once the state determines the parent or caretaker is ready to engage in work, or once the parent or caretaker has received assistance

- under the program for 24 months (whether or not consecutive,) whichever is earlier, consistent with section 407(e)(2). (§402(a)(1)(A)(ii).)
- c. Ensure that parents and caretakers receiving assistance under the program engage in work activities in accordance with section 407. (§ 402(a)(1)(A)(iii).)
  - d. Take such reasonable steps as deemed necessary to restrict the use and disclosure of information about individuals and families receiving assistance under the program attributable to funds provided by the Federal government. (§402(a)(1)(A)(iv).)
  - e. Describe the financial eligibility criteria and corresponding benefits and services covered with state Maintenance of Effort (MOE) funds. This description applies to state MOE funds that are used in the state's TANF program or used to fund a separate state program.
5. *SCSEP*: Provide a description of each project function or activity and how the state will implement the project. The following activities should be discussed separately: (title V of the Older Americans Act, as amended.)
- a. Describe how the services proposed support the State Senior Employment Services Coordination Plan.
  - b. Describe how recruitment and selection of participants will be achieved under Training and Employment Guidance Letter 13-04 and the regulations at 20 CFR 641.500 and 641.525. Include a description of the new recruitment strategies that will be used to reach the target population.

- c. Describe how participant income will be recertified each year, including where eligibility records will be maintained.
- d. Describe the arrangements that will be made to offer physical examinations as a required fringe benefit.
- e. Describe the orientation procedures for participants and host agencies.
- f. Describe the procedures for assessing job aptitudes, job readiness, and job preferences of participants and their potential for transition into unsubsidized employment.
- g. Describe how the assessment will be used to develop the participant's Individual Employment Plan (IEP).
- h. Describe how the participant will be assigned to community service including: the types of community service activity that will be emphasized and how they were chosen; methods used to match participants with community service training; the extent to which participants will be placed in the administration of the project itself; the types of host agencies used and the procedures and criteria for selecting the assignments; the average number of hours in a participant's training week; the average wage paid during training; the fringe benefits offered (if any); procedures for ensuring adequate supervision.
- i. Describe the training that will be provided during community service training and any other types of training provided, including linkages with local One-Stop Career Centers, the Registered Apprenticeship Program, and the Disability Program Navigators.

- j. Describe the supportive services that will be offered to help participants obtain and retain an unsubsidized job.
- k. Describe arrangements that will be made to provide transportation assistance to participants.
- l. Describe the steps that will be taken to move or place participants into unsubsidized employment, including cooperative measures that will be taken with the One-Stop delivery system, and that support high-growth industries. Any grantee that failed to meet at least 20 percent unsubsidized placements in program year 2004 must submit a corrective action plan.
- m. Describe any policy for maximum duration of enrollment or maximum time in community service.
- n. Describe procedures for terminating a participant, including Individual Employment Plan terminations and the grievance procedures that will address termination from the program.
- o. Describe the procedures for addressing and resolving participant complaints.
- p. Describe procedures for over enrolling participants, including how over enrollments will be balanced with equitable distribution requirements.
- q. Describe steps that will be taken to ensure compliance with the maintenance of effort provision of section 501(b)(1)(F).
- r. Describe payroll procedures and how workers' compensation premiums are paid.
- s. Describe collaboration efforts with the One-Stop System and with other partner programs under the Workforce Investment Act to maximize opportunities for SCSEP participants.



- t. Describe efforts to work with local economic development offices in rural locations.
- u. Describe current slot imbalances and proposed steps to correct inequities to achieve equitable distribution.
- v. List the cities and counties where the project and subprojects will be conducted. Include the number of SCSEP authorized positions and indicate where the positions changed from the prior year.
- w. Describe the organizational structure of the project and how subprojects will be managed, including assurances that adequate resources for administrative costs will be provided. Also describe the training that will be provided to local staff and describe how projects will be monitored for program and financial compliance, including audit plans.
- x. Describe how the state will manage its providers and how it will transfer participants if new providers are selected to serve in the state.
- y. Include a proposed level for each performance measure for each of the program years covered by the plan. While the plan is under review or through a subsequent modification, the state will negotiate with the Employment and Training Administration to set the appropriate levels for the next year. At a minimum, states must identify the performance indicators required under the SCSEP Final Rule published on September 1, 2010, and, for each indicator, the state must develop an objective and quantifiable performance goal for the next year. The performance measures include: entered employment, employment

- retention, average earnings, service level, service to most-in-need, and community service.
- z. Describe any request for an increase in administrative costs consistent with section 502(c)(3) of the Older Americans Act.
  - aa. Describe plans to provide a copy of this section to Area Agencies on Aging consistent with section 502(d) of the Older American Act.
6. *CSBG*, explain how the activities funded will:
- a. Remove obstacles and solve problems that block the achievement of self-sufficiency, including those families and individuals who are attempting to transition off a state program carried out under part A of title IV of the Social Security Act.
  - b. Secure and retain meaningful employment.
  - c. Attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives.
  - d. Make better use of available income.
  - e. Obtain and maintain adequate housing and a suitable living environment.
  - f. Obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs.
  - g. Achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law

- enforcement agencies, local housing authorities, private foundation, and other public and private partners.
- h. Create youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime.
  - i. Provide supplies, services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.

#### **H. Coordination and Non-Duplication**

Describe how the state will coordinate and integrate the services provided through all of the programs identified in the Unified Plan in order to meet the needs of its customers, ensure there is no overlap or duplication among the programs, and ensure collaboration with key partners and continuous improvement of the workforce investment system.

(States are encouraged to address several coordination requirements in a single narrative, if possible.)

In answering the above question, if the Unified Plan includes:

1. *WIA Title I and Wagner-Peyser Act and/or Veterans Programs*

Structure/process for state agencies and state board to collaborate and communicate with each other and with the local workforce investment system. (§112(b)(8)(A).)

- a. 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 (e.g., joint activities, memoranda of understanding, planned mergers, coordinated policies, etc.). How will the state board and agencies eliminate any existing state-level barriers to coordination? (§§111(d)(2) and 112(b)(8)(A).)
- b. Describe the lines of communication and mechanisms established by the governor to ensure timely and effective sharing of information between the state agencies/state board and local workforce investment areas and local boards. Include types of regularly issued guidance and how Federal guidance is disseminated to local boards and One-Stop Career Centers. (§112(b)(1).)
- c. Describe any cross-cutting organizations or bodies at the state level designed to guide and inform an integrated vision for serving youth in the state within the context of workforce investment, social services, juvenile justice, and education. Describe the membership of such bodies and the functions and responsibilities in establishing priorities and services for youth. How is the state promoting a collaborative cross-agency approach for both policy development and service delivery at the local level for youth? (§112(b)(18)(A).)

2. *Adult Education and Family Literacy*, describe how the Adult Education and Family Literacy activities that will be carried out with any funds received under AEFLA will

be integrated with other adult education, career development, and employment and training activities in the state or outlying area served by the eligible agency. (§224(b)(11).)

3. *Vocational Rehabilitation:*

Describe the state agency's plans policies, and procedures for coordination with the following agencies or programs:

- a. Federal, state and local agencies and programs, including programs carried out by the Under Secretary for Rural Development of the Department of Agriculture and state use of contracting programs to the extent that such agencies and programs are not carrying out activities through the statewide workforce investment system. (§101(a)(11)(C).)
- b. Education officials responsible for the public education of students with disabilities, including a formal interagency agreement with the state educational agency. (§101(a)(11)(D).)
- c. Private, non-profit vocational rehabilitation service providers through the establishment of cooperative agreements. (§101(a)(24)(B).)
- d. Other state agencies and appropriate entities to assist in the provision of supported employment services. (§625(b)(4).)
- e. Other public or nonprofit agencies or organizations within the state, employers, natural supports, and other entities with respect to the provision of extended services. (§625(b)(5).)

4. *Unemployment Insurance*, summarize requests for any Federal partner assistance (primarily non-financial) that would help the SWA attain its goal.
  
5. *CSBG*, describe how the state and eligible entities will coordinate programs to serve low-income residents with other organizations, including:
  - a. Religious organizations.
  - b. Charitable groups.
  - c. Community organizations.

## **I. Special Populations and Other Groups**

1. Describe how the state will develop program strategies to target and serve special populations. States may present information about their service strategies for those special populations that are identified by multiple Federal programs as they deem most appropriate and useful for planning purposes, including by special population or on a program by program basis.

In providing this description, if the Unified Plan includes any of the programs listed below, please address the following specific relevant populations:

- a. *WIA Title I and Wagner-Peyser Act and/or Veterans Programs* (§112(b)(17)(A) (iv) and 112(b)(17)(B)):
  - i. Describe the state's strategies to ensure that the full range of employment and training programs and services delivered through the state's One-Stop

delivery system are accessible to and will meet 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, public assistance recipients and individuals with multiple barriers to employment (including older individuals, limited English proficiency (LEP) individuals, and people with disabilities.) (§112(b)(17)(iv).)

- ii. Describe the reemployment services you will provide to unemployment insurance claimants and the Worker Profiling services provided to claimants identified as most likely to exhaust their unemployment insurance benefits in accordance with section 3(c)(3) of the Wagner-Peyser Act.
- iii. Describe how the state administers the unemployment insurance work test and how feedback requirements (under §7(a)(3)(F) of the Wagner-Peyser Act) for all UI claimants are met.
- iv. Describe the state's strategy for integrating and aligning services to dislocated workers provided through the WIA rapid response, WIA dislocated worker, and Trade Adjustment Assistance (TAA) programs. Does the state have a policy supporting co-enrollment for WIA and TAA? (§112(b)(17)(A)(ii and iv).)
- v. How is the state's workforce investment system working collaboratively with business and industry and the education community to develop strategies to overcome barriers to skill achievement and employment experienced by the

populations listed above in section (b)(i)(a.) of this section and to ensure they are being identified as a critical pipeline of workers?

- vi. Describe how the state will ensure that the full array of One-Stop services are available to individuals with disabilities and that the services are fully accessible.
- vii. Describe the role LVER/DVOP staff have in the One-Stop delivery system. How will the 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? (§§112(b)(7), 322, 38 U.S.C. Chapter 41 and 20 CFR 1001.120.)
- viii. Department of Labor regulations at 29 CFR 37 require all recipients of Federal financial assistance from DOL to provide meaningful access to LEP individuals. Federal financial assistance includes grants, training, equipment usage, donations of surplus property, and other assistance. The regulations also apply to sub-recipients when Federal DOL funds are passed through from one recipient to a sub-recipient. Describe how the state will ensure access to services through the state's One-Stop delivery system by persons with limited English proficiency and how the state will meet the requirements of ETA Training and Employment Guidance Letter (TEGL) 26-02 (May 29, 2003) which provides guidance on methods of complying with the Federal rule.
- ix. Each state workforce agency shall operate an outreach program in order to locate and to contact migrant and seasonal farmworkers (MSFWs) who are



not being reached by the normal intake activities conducted by the local offices. To this end, each state agency must include an annual agricultural outreach plan, setting forth numerical goals, policies, and objectives.

Regulations at 20 CFR 653.107 require that the outreach plan include the following elements:

- o Assessment of need
- o Proposed outreach activities
- o Services provided to agricultural employers and MSFWs through the One-Stop delivery system
- o Numerical goals
- o Data analysis

*b. Adult Education and Family Literacy:*

- i. Low income students (§224(b)(10)(A).)
- ii. Individuals with disabilities (§224(b)(10)(B).)
- iii. Single parents and displaced homemakers (§224(b)(10)(C).)
- iv. Individuals with multiple barriers to educational enhancement, including individuals with limited English proficiency (§ 224(b)(10)(D).)
- v. Criminal offenders in correctional institutions and other institutionalized individuals (§ 225.)

*c. TAA and NAFTA-TAA*, describe how rapid response and basic readjustment services authorized under other Federal laws will be provided to trade-impacted

workers.

d. *Vocational Rehabilitation*:

- i. Minorities with most significant disabilities. (§21(c).)

e. *TANF*: indicate whether the state intends to:

- i. Treat families moving into the state from another state differently than other families under the program, and if so, how the state intends to treat such families under the program;
- ii. Provide assistance under the program to individuals who are not citizens of the United States, and if so, shall include an overview of such assistance (§402(a)(1)(B) (i) and (ii)); and
- iii. Outline how the state intends to conduct a program designed to reach state and local law enforcement officials, the education system, and relevant counseling services, that provides education and training on the problem of statutory rape so that teenage pregnancy prevention programs may be expanded in scope to include men. (§401(a)(1)(A)(vi).)

f. *SCSEP* (§3(a)(1).): Indicate how the state will meet the priority for serving

individuals age 65 and older and individuals

- i. with a disability;
- ii. with limited English proficiency or low literacy skills;
- iii. who live in a rural area;

- iv. who are veterans;
- v. who have low employment prospects;
- vi. who have failed to find employment after utilizing services under WIA;
- vii. who are homeless or at risk for homelessness.

g. *CSBG*: Please address the following specific relevant populations in answering question 1:

- i. Low-income families.
- ii. Families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.).
- iii. Homeless families and individuals.
- iv. Migrant or seasonal farmworkers.
- v. Elderly low-income individuals and families.
- vi. Youth in low-income communities.

h. *HUD Employment and Training Programs*: (Reminder: the following is a suggestion for incorporating HUD programs into the state's Unified Plan. However, following this guidance will not trigger funding for HUD programs):

- i. Public housing residents
- ii. Homeless and other groups

2. Identify the methods of collecting data and reporting progress on the special populations described in question 1 of this section.

3. If the Plan includes *Adult Education and Family Literacy or Vocational Rehabilitation*, describe the steps the eligible agency will take to ensure equitable access to, and equitable participation in, projects or activities carried out with the respective funds by addressing the special needs of student, teachers, and other program beneficiaries in order to overcome barriers to equitable participation, including barriers based on gender, race, color, national origin, disability, and age. (§427(b) General Education Provisions Act.)

#### **J. Professional Development and System Improvement**

How will the state develop personnel to achieve the performance indicators for the programs included in the Plan?

In answering this question, if the Unified Plan includes:

1. *WIA Title I and Wagner-Peyser Act and/or Veterans Programs:*

- a. Capacity of Local Boards -- How will the state build the capacity of local boards to develop and manage high performing local workforce investment system?  
(§§111(d)(2) and 112(b)(14).)
- b. Local Planning Process -- Describe the state mandated requirements for local workforce areas' strategic planning. What assistance does the state provide to local areas to facilitate this process, (§112(b)(2) and 20 CFR 661.350(a)(13)), including:

- i. What oversight of the local planning process is provided, including receipt and review of plans and negotiation of performance agreements? and
  - ii. How does the local plan approval process ensure that local plans are consistent with state performance goals and state strategic direction?
- c. Oversight/Monitoring Process -- Describe the monitoring and oversight criteria and procedures the state utilizes to move the system toward the state's vision and achieve the goals identified above, such as the use of mystery shoppers, performance agreements. (§112(b)(14).)

2. *Vocational Rehabilitation*, describe the designated state agency's policies, procedures and activities to establish and maintain a comprehensive system of personnel development designed to ensure an adequate supply of qualified state rehabilitation professional and paraprofessional personnel for the designated state unit pursuant to section 101(a)(7) of the Act. (§101(a)(7).)

### **K. Performance Accountability**

Nothing in this guidance shall relieve a state of its responsibilities to comply with the accountability requirements of WIA titles I and II, including, for example, the requirements to renegotiate performance levels at statutorily defined points. The appropriate Secretary will negotiate adjusted levels of performance with the state for these programs prior to approving the State Plan.

1. What are the state's performance methodologies, indicators and goals in measurable,

quantifiable terms for each program included in the Unified Plan and how will each program contribute to achieving these performance goals? (Performance indicators are generally set out by each program's statute.)

In answering the above question, if the Unified Plan includes:

a. *WIA Title I and Wagner-Peyser Act and/or Veterans Programs:*

Improved performance and accountability for customer-focused results are central features of WIA. To improve, states need not only reporting systems in place to collect data and track outcomes based on service delivery, but also performance management and accountability systems to analyze the information and modify strategies to improve performance. See Training and Employment Guidance Letter (TEGL) No. 17-05, Common Measures Policy for the Employment and Training Administration's (ETA) Performance Accountability System and Related Performance Issues, issued February 17, 2006.)

In this section, describe how the state measures the success of its strategies in achieving its goals, and how the state uses these data to continuously improve the system.

- i. Describe the state's performance accountability system, including any state-system measures and the state's performance goals established with local areas. 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. For each of the core indicators, explain how the state worked with local boards to determine the level of the performance goals. Include a discussion of how the levels compare with the state's previous outcomes as well as with the state-adjusted levels of performance established for other states (if available), taking into account differences in economic conditions, the characteristics of participants when they entered the program and the services to be provided. Include a description of how the levels will help the state achieve continuous improvement over the life of the plan. (§§112(b)(3) and 136(b)(3).)

- ii. Describe any targeted applicant groups, such as TANF recipients, Veterans, ex-offenders, and migrant and seasonal farmworkers, under WIA title I, the Wagner-Peyser Act or Title 38 Chapters 41 and 42 (Veterans Employment and Training Programs) that the state tracks. (§§111(d)(2), 112(b)(3) and 136(b)(2)(C).)
- iii. Identify any performance outcomes or measures in addition to those prescribed by WIA and what process is the state using to track and report them.
- iv. Describe the state's common data system and reporting processes in place to track progress. Describe what performance information will be collected from the various One-Stop partners (beyond that required by DOL), use of quarterly wage records, and how the statewide system will have access to the information needed to continuously improve. (§112(b)(8)(B).)

- v. Describe any actions the governor and state board will take to ensure collaboration with key partners and continuous improvement of the statewide workforce investment system. (§§111(d)(2) and 112(b)(1).)
- vi. How do the state and local boards evaluate performance? What corrective actions (including sanctions and technical assistance) will the state take if performance falls short of expectations? How will the state and local boards use the review process to reinforce the strategic direction of the system? (§§111(d)(2), 112(b)(1), and 112(b)(3).)
- vii. Include a proposed level for each performance measure for each program year covered by the plan. While the plan is under review, the state will negotiate with the respective ETA Regional Administrator to set the appropriate levels for the applicable year. States must identify the performance indicators required under section 136, and, for each indicator, the state must develop an objective and quantifiable performance goal for each program year covered by the plan. States are encouraged to address how the performance goals for local workforce investment areas and training providers will help them attain their statewide performance goals. (§§112(b)(3) and 136).)

*b. Adult Education and Family Literacy:*

- i. Include a description of how the eligible agency will evaluate annually the effectiveness of the Adult Education and Family Literacy activities, such as a comprehensive performance accountability system, based on the performance measures in section 212.



- ii. Identify levels of performance for the core indicators of performance described in section 212(b)(2)(A) for the first three program years covered by the Plan (§ 212(b)(3)(A)(ii).), and any additional performance indicators selected by the eligible agency. (§ 212 (b)(2)(B).)
  - iii. Describe how such performance indicators or measures will be used to ensure the improvement of Adult Education and Family Literacy activities in the state or outlying area. (§ 224(b)(4).)
- c. *TANF*, outline how the state intends to establish goals and take action to prevent and reduce the incidence of out of wedlock pregnancies, with special emphasis on teenage pregnancies. (§402(a)(1)(A)(v).)
- d. *SCSEP*: Provisions on performance are set forth in section G.1. (g)(xxv) of these instructions.
- e. *CSBG*:
- i. Describe how the state and all eligible entities in the state will participate in the Results Oriented Management and Accountability System, a performance measure system pursuant to section 678E(b) of the Act, or an alternative system for measuring performance and results that meets the requirements of that section, and a description of outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.

- ii. Describe the standards and procedures that the state will use to monitor activities carried out in furtherance of the plan and will use to ensure long-term compliance with requirements of the programs involved, including the comprehensive planning requirements. (§91.330)
2. Has the state developed any common performance goals applicable to multiple programs? If so, describe the goals and how they were developed.

#### **L. Data Collection**

1. What processes does the state have in place to collect and validate data to track performance and hold providers/operators/sub-grantees accountable?

In answering the above question, if the Unified Plan includes:

- a. *WIA Title I and Wagner-Peyser Act and/or Veterans Programs*, describe the state's common data system and reporting processes in place to track progress. Describe what data will be collected from the various One-Stop partners (beyond that required by DOL), use of quarterly wage records, and how the statewide system will have access to the information needed to continuously improve. (§112(b)(8) (B).)
- b. *SNAP Employment & Training*, describe how employment and training data will be compiled and where responsibility for employment and training reporting

is organizationally located at the state level. Include the department, agency, and telephone number for the person(s) responsible for both financial and non-financial employment & training (E&T) reporting.

2. What common data elements and reporting systems are in place to promote integration of Unified Plan activities?

### **M. Corrective Action**

Describe the corrective actions the state will take for each program, as applicable, if performance does not meet expectations.

In answering the above question, if the Unified Plan includes:

1. *Vocational Rehabilitation*, include the results of an evaluation of the effectiveness of the vocational rehabilitation program, and a report jointly developed with the State Rehabilitation Council (if the state has such a council) on the progress made in improving effectiveness from the previous year including:
  - a. An evaluation of the extent to which program goals were achieved and a description of the strategies that contributed to achieving the goals.
  - b. To the extent the goals were not achieved, a description of the factors that impeded that achievement.
  - c. An assessment of the performance of the state on the standards and indicators established pursuant to section 106 of the Act. (§101(a)(15)(E)(i).)

## 2. *Unemployment Insurance,*

- a. Explain the reason(s) for the measurement areas in which the state's performance is deficient.
- b. Include a description of the actions/activities which will be undertaken to improve performance.
- c. If a Corrective Action Plan was in place the previous fiscal year, provide an explanation of why the actions contained in that plan were not successful in improving performance, and an explanation of why the actions now specified will be more successful.
- d. Describe plans for monitoring and assessing accomplishments of planned actions and for controlling quality after achieving performance goals.

## **N. Waiver and Work-Flex Requests**

Will the state be requesting waivers as a part of this Unified Plan?

In answering this question, the following waiver provisions apply if the Unified Plan includes:

1. *WIA Title I and Wagner-Peyser Act:* States wanting to request waivers as part of their Unified Plan submission must attach a waiver plan, as required by 20 CFR 661.420(c), that includes the following information for each waiver requested:

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

2. *Vocational Rehabilitation*: If a state requests a waiver of the statewide requirement identified in assurance number 13 for the vocational rehabilitation program in Section III of this Unified Planning guidance, the request must be made in accordance with the provisions of 34 CFR 361.26(b).

### **Part III. Certifications and Assurances**

The following certifications and assurances apply to the extent that the programs and activities are included in the State Unified Plan.

## **A. General Certifications and Assurances**

By signing the Unified Plan signature page, you are certifying that:

1. The methods used for joint planning and coordination of the programs and activities included in the Unified Plan included an opportunity for the entities responsible for planning or administering such programs and activities to review and comment on all portions of the Unified Plan. (WIA, §501(c)(3)(B).)

If you submit the Unified Plan by posting it on an Internet Web site, you are certifying that:

2. The content of the submitted Plan will not be changed after it is submitted. Plan modifications must be approved by the reviewing State agency. It is the responsibility of the designated agency to circulate the modifications among the other agencies that may be affected by the changes.

## **B. Non-construction Programs**

By signing the Unified Plan signature page, you are certifying that the grantee has filed the Government-wide standard assurances for non-construction programs (SF 424).

States can print SF 424 from <http://ocfo.ed.gov/grntinfo/appforms.htm>.

## **C. EDGAR Certifications**

You must include the following certifications for each of the State agencies that administer one of these programs: Adult Education and Literacy or Vocational Rehabilitation. A state may satisfy the EDGAR requirement by having all responsible

State agency officials sign a single set of EDGAR certifications.

By signing the Unified Plan signature page, you are certifying that:

1. The plan is submitted by the state agency that is eligible to submit the Plan. [34 CFR 76.104(a)(1).]
2. The state agency has authority under state law to perform the functions of the state under the program. [34 CFR 76.104(a)(2)]
3. The state legally may carry out each provision of the Plan. [34 CFR 76.104(a)(3)]
4. All provisions of the Plan are consistent with State law. [34 CFR 76.104(a)(4)]
5. A state officer, specified by title in the certification, has authority under state law to receive, hold, and disburse Federal funds made available under the Plan. [34 CFR 76.104(a)(5)]
6. The state officer who submits the plan, specified by title in the certification, has authority to submit the Plan. [34 CFR 76.104(a)(6)]
7. The agency that submits the plan has adopted or otherwise formally approved the plan. [34 CFR 76.104(a)(7)]
8. The plan is the basis for state operation and administration of the program. [34 CFR 76.104(a)(8)]
9. A copy of the State Plan was submitted into the State Intergovernmental Review Process. [Executive Order 12372]

#### **D. Debarment, Drug-Free Work Place, and Lobbying Certification**

By signing the Unified Plan signature page, you are certifying that the Department of

Education grantee has filed ED 80-0013. This form also applies to AEFLA and RSA. States can print ED 80-0013 from <http://ocfo.ed.gov/grntinfo/appforms.htm>.

#### **E. WIA Title I/Wagner-Peyser Act/Veterans Programs**

By signing the Unified Plan signature page, you are certifying that:

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. 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).)
3. 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).)



4. The state assures that veterans will be afforded employment and training activities authorized in section 134 of the Workforce Investment Act, and the activities authorized in chapters 41 and 42 of Title 38 US code. The state assures that it will comply with the veterans priority established in the Jobs for Veterans Act. (38 USC 4215.)
5. 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).)
6. The state assures that it will comply with the confidentiality requirements of section 136(f)(3).
7. 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).)
8. 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.).
9. The state assures that it will collect and maintain data necessary to show compliance with the nondiscrimination provisions of section 188. (§185.).
10. The state certifies that the Wagner-Peyser Act Plan, which is part of this document, has been certified by the State Employment Security Administrator.
11. 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.
12. The state certifies that Wagner-Peyser Act-funded labor exchange activities will be provided by merit-based public employees in accordance with Department of Labor regulations.

13. The state assures that it will comply with the MSFW significant office requirements in accordance with 20 CFR part 653.
14. The state certifies it has developed this plan in consultation with local elected officials, local workforce boards, the business community, labor organizations and other partners.
15. The state assures that funds will be spent in accordance with the Workforce Investment Act and the Wagner-Peyser Act and their regulations, written Department of Labor guidance implementing these laws, and all other applicable Federal and state laws.
16. The state ensures compliance with the uniform administrative requirements in WIA through annual, onsite monitoring of each local area.
17. As a condition to the award of financial assistance from the Department of Labor under title I of WIA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:
  - a. Section 188 of the Workforce Investment Act of 1998 (WIA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA title I--financially assisted program or activity;
  - b. Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color and national origin;

- c. Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities;
  - d. The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and
  - e. Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.
  - f. The grant applicant also assures that it will comply with 29 CFR part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA title I-financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.
18. The state afforded the State Monitor Advocate an opportunity to approve and comment on the Agricultural Outreach Plan. The state solicited information and suggestions from WIA 167 National Farmworker Jobs Program grantees, other appropriate MSFW groups, public agencies, agricultural employer organizations, and other interested organizations. At least 45 days before submitting its final outreach, the State provided a proposed plan to the organizations listed above and allowed at least 30 days for review and comment. The State considered any comments received in formulating its final proposed plan, informed all commenting parties in writing whether their comments have been incorporated and, if not, the reasons therefore, and included the comments and recommendations received and its responses with the submission of the plan. (WIA Sections 112(b)(9), 111(g),20

**F. Adult Education and Family Literacy**

By signing the Unified Plan signature page, you are certifying that:

1. The eligible agency will award not less than one grant to an eligible provider who offers flexible schedules and necessary support services (such as child care and transportation) to enable individuals, including individuals with disabilities, or individuals with other special needs, to participate in Adult Education and Literacy activities, which eligible provider shall attempt to coordinate with support services that are not provided under this subtitle prior to using funds for Adult Education and Literacy activities provided under AEFLA for support services. (§224(b)(5).)
2. The funds received under subtitle A of title II of WIA will not be expended for any purpose other than for activities under subtitle A of title II of WIA. (§224(b)(6).)
3. The eligible agency will expend the funds under subtitle A of title II of WIA only in a manner consistent with fiscal requirements in section 241. (§224(b)(8).)

**G. SNAP Employment and Training**

By signing the Unified Plan signature page, you are certifying that:

1. Federal funds allocated by the Department of Agriculture to the state under section 16(h)(1) of the Food Stamp Act of 1977 (the Act), or provided to the state as reimbursements under sections 16(h)(2) and 16(h)(3) of the Act will be used only for

- operating an employment and training program under Section 6(d)(4) of the Act.
2. The State will submit to the Food and Nutrition Service (FNS) annual updates to its Employment and Training Plan for the coming fiscal year. The updates are due by August 15 of each year. The annual update must include any changes the state anticipates making in the basic structure or operation of its program. At a minimum, the annual update must contain revisions to Tables 1 (Estimated Participant Levels), 2 (Estimated E&T Placement Levels), 4 (Operating Budget), and 5 (Funding Categories).
  3. If significant changes are to be made to its E&T program during the fiscal year, the state will submit to FNS a request to modify its plan. FNS must approve the modification request before the proposed change is implemented. The state may be liable for costs associated with implementation prior to approval. See “The Handbook on Preparing State Plans for Food Stamp Employment and Training Programs” for additional information.
  4. The state will submit a quarterly E&T report, FNS-583. Reports are due no later than 45 days after the end of each Federal fiscal quarter. The information required on the FNS-583 is listed in Exhibit 3 of the “The Handbook on Preparing State Plans for Food Stamp Employment and Training Programs.”
  5. The state will submit E&T program financial information on the SF-269, Financial Status Report. It must include claims for the 100 percent Federal grant, 50 percent matched funding, and participant reimbursements. The SF-269 is due 30 days after the end of each Federal fiscal quarter.
  6. The state will deliver each component of its E&T program through the One-Stop

delivery system, an inter-connected strategy for providing comprehensive labor market and occupational information to job seekers, employers, core services providers, other workforce employment activity providers, and providers of workforce education activities. If the component is not available locally through such a system, the State may use another source.

## **H. Vocational Rehabilitation**

By signing the Unified Plan signature page, you are certifying that:

1. As a condition for the receipt of Federal funds under title I, part B of the Rehabilitation Act for the provision of vocational rehabilitation services, the designated state agency agrees to operate and administer the State Vocational Rehabilitation Services Program in accordance with provisions of this title I State Plan, the Act and all applicable regulations, policies and procedures established by the Secretary. Funds made available under section 111 of the Act are used solely for the provision of vocational rehabilitation services under title I and the administration of the title I State Plan.
2. As a condition of the receipt of Federal funds under title VI, part B of the Act for supported employment services, the designated State agency agrees to operate and administer the State Supported Employment Services Program in accordance with the provisions of the supplement to this State Plan, the Act, and all applicable regulations, policies, and procedures established by the Secretary. Funds made available under title VI, part B are used solely for the provision of supported employment services

and the administration of the supplement to the title I State Plan.

3. The designated state agency or designated state unit is authorized to submit this State Plan under title I of the Act and its supplement under title VI, part B of the Act.
4. The state submits only those policies, procedures, or descriptions required under this State Plan and its supplement that have not been previously submitted to and approved by the Commissioner of the Rehabilitation Services Administration.  
(§101(a)(1)(B).)
5. The state submits to the Commissioner at such time and in such manner as the Secretary determines to be appropriate, reports containing annual updates of the information relating to the: comprehensive system of personnel development; assessments, estimates, goals and priorities, and reports of progress; innovation and expansion activities; and requirements under title I, part B or title VI, part B of the Act. (§101(a)(23).)
6. The State Plan and its supplement are in effect subject to the submission of such modifications as the state determines to be necessary or as the Commissioner may require based on a change in state policy, a change in Federal law, including regulations, an interpretation of the Act by a Federal court or the highest court of the state, or a finding by the Commissioner of State noncompliance with the requirements of the Act, until the state submits and receives approval of a new State Plan or plan supplement. (§101(a)(1)(C).)
7. The state has an acceptable plan for carrying out part B of title VI of the Act, including the use of funds under that part to supplement funds made available under part B of title I of the Act to pay for the cost of services leading to supported employment.

(§101(a)(22).)

8. The designated state agency, prior to the adoption of any policies or procedures governing the provision of vocational rehabilitation services under the State Plan and supported employment services under the supplement to the State Plan, including making any amendment to such policies and procedures, conducts public meetings throughout the state after providing adequate notice of the meetings, to provide the public, including individuals with disabilities, an opportunity to comment on the policies or procedures, and actively consults with the director of the client assistance program, and, as appropriate, Indian tribes, tribal organizations, and Native Hawaiian organizations on the policies or procedures. (§101(a)(16)(A).)
9. The designated state agency takes into account, in connection with matters of general policy arising in the administration of the plan, the views of individuals and groups of individuals who are recipients of vocational rehabilitation services, or in appropriate cases, the individual's representatives; personnel working in programs that provide vocational rehabilitation services to individuals with disabilities; providers of vocational rehabilitation services to individuals with disabilities; the director of the client assistance program; and the State Rehabilitation Council, if the state has such a council. (§101(a)(16)(B))
10. The designated state agency (or, as appropriate, agencies) is a state agency that is:
  - a. \_\_\_\_ primarily concerned with vocational rehabilitation, or vocational and other rehabilitation, of individuals with disabilities; or
  - b. \_\_\_\_ not primarily concerned with vocational rehabilitation, or vocational and other rehabilitation, of individuals with disabilities, and includes within the State



agency a vocational rehabilitation bureau, or division, or other organizational unit that: is primarily concerned with vocational rehabilitation, or vocational and other rehabilitation, of individuals with disabilities, and is responsible for the designated state agency's vocational rehabilitation program; has a full-time director; has a staff, all or substantially all of whom are employed full time on the rehabilitation work of the organizational unit; and is located at an organizational level and has an organizational status within the designated state agency comparable to that of other major organizational units of the designated state agency. (§101(a)(2)(B).)

11. The designated state agency (or, as appropriate, agencies):

a. \_\_\_\_ is an independent commission that is responsible under state law for operating, or overseeing the operation of, the vocational rehabilitation program in the state; is consumer-controlled by persons who are individuals with physical or mental impairments that substantially limit major life activities; and represent individuals with a broad range of disabilities, unless the designated state unit under the direction of the commission is the state agency for individuals who are blind; includes family members, advocates, or other representatives, of individuals with mental impairments; and undertakes the functions set forth in section 105(c)(4) of the Act; or

b. \_\_\_\_ has established a State Rehabilitation Council that meets the criteria set forth in section 105 of the Act and the designated state unit: jointly with the Council develops, agrees to, and reviews annually state goals and priorities, and jointly submits annual reports of progress with the Council, in accordance with

the provisions of section 101(a)(15) of the Act; regularly consults with the Council regarding the development, implementation, and revision of state policies and procedures of general applicability pertaining to the provision of vocational rehabilitation services; includes in the State Plan and in any revision to the State Plan, a summary of input provided by the Council, including recommendations from the annual report of the Council described in section 105(c)(5) of the Act, the review and analysis of consumer satisfaction described in section 105(c)(4), and other reports prepared by the Council, and the response of the designated state unit to such input and recommendations, including explanations for rejecting any input or recommendation; and transmits to the Council all Plans, reports, and other information required under this title to be submitted to the Secretary; all policies, and information on all practices and procedures, of general applicability provided to or used by rehabilitation personnel in carrying out this title; and copies of due process hearing decisions issued under this title, which shall be transmitted in such a manner as to ensure that the identity of the participants in the hearings is kept confidential. (§101(a)(21).)

12. The state provides for financial participation, or if the state so elects, by the state and local agencies, to provide the amount of the non-Federal share of the cost of carrying out title I, part B of the Act. (§101(a)(3).)
13. The Plan is in effect in all political subdivisions of the state, except that in the case of any activity that, in the judgment of the Commissioner, is likely to assist in promoting the vocational rehabilitation of substantially larger numbers of individuals with disabilities or groups of individuals with disabilities, the Commissioner may waive

compliance with the requirement that the Plan be in effect in all political subdivisions of the state to the extent and for such period as may be provided in accordance with regulations prescribed by the Commissioner, but only if the non-Federal share of the cost of the vocational rehabilitation services involved is met from funds made available by a local agency (including funds contributed to such agency by a private agency, organization, or individual); and in a case in which earmarked funds are used toward the non-Federal share and such funds are earmarked for particular geographic areas within the state, the earmarked funds may be used in such areas if the State notifies the Commissioner that the state cannot provide the full non-Federal share without such funds. (§101(a)(4).)

14. The state agency employs methods of administration found by the Commissioner to be necessary for the proper and efficient administration of the State Plan. (§101(a)(6)(A).)
15. The designated state agency and entities carrying out community rehabilitation programs in the State, who are in receipt of assistance under title I of the Act, take affirmative action to employ and advance in employment qualified individuals with disabilities covered under and on the same terms and conditions as set forth in section 503 of the Act. (§101(a)(6)(B).)
16. Facilities used in connection with the delivery of services assisted under the State Plan comply with the provisions of the Act entitled “An Act to insure that certain buildings financed with Federal funds are so designed and constructed as to be accessible to the physically handicapped,” approved on August 12, 1968 (commonly known as the “Architectural Barriers Act of 1968”), with section 504 of the Act and

with the Americans with Disabilities Act of 1990. (§101(a)(6)(C).)

17. If, under special circumstances, the State Plan includes provisions for the construction of facilities for community rehabilitation programs--

a. The Federal share of the cost of construction for the facilities for a fiscal year will not exceed an amount equal to 10 percent of the State's allotment under section 110 for such year;

b. The provisions of section 306 (as in effect on the day before the date of enactment of the Rehabilitation Act Amendments of 1998) shall be applicable to such construction and such provisions shall be deemed to apply to such construction; and

c. There shall be compliance with regulations the Commissioner shall prescribe designed to assure that no state will reduce its efforts in providing other vocational rehabilitation services (other than for the establishment of facilities for community rehabilitation programs) because the plan includes such provisions for construction. (§101(a)(17).)

18. The designated state unit submits, in accordance with section 101(a)(10) of the Act, reports in the form and level of detail and at the time required by the Commissioner regarding applicants for and eligible individuals receiving services under the State Plan and the information submitted in the reports provides a complete count, unless sampling techniques are used, of the applicants and eligible individuals in a manner that permits the greatest possible cross-classification of data and ensures the confidentiality of the identity of each individual. (§101(a)(10)(A) and (F).)

19. The designated state agency has the authority to enter into contracts with for-profit

organizations for the purpose of providing, as vocational rehabilitation services, on-the-job training and related programs for individuals with disabilities under part A of title VI of the Act, upon the determination by the designated state agency that such for-profit organizations are better qualified to provide such vocational rehabilitation services than non-profit agencies and organizations. (§101(a)(24)(A).)

20. The designated state agency has cooperative agreements with other entities that are components of the statewide workforce investment system of the state in accordance with section 101(a)(11)(A) of the Act and replicates these cooperative agreements at the local level between individual offices of the designated State unit and local entities carrying out activities through the statewide workforce investment system. (§101(a)(11)(A) and (B).)

21. The designated state unit, the Statewide Independent Living Council established under section 705 of the Act, and the independent living centers described in part C of title VII of the Act within the state have developed working relationships and coordinate their activities. (§ 101(a)(11)(E).)

22. If there is a grant recipient in the state that receives funds under part C of the Act, the designated state agency has entered into a formal agreement that meets the requirements of section 101(a)(11)(F) of the Act with each grant recipient. (§101(a)(11)(F).)

23. Except as otherwise provided in part C of title I of the Act, the designated state unit provides vocational rehabilitation services to American Indians who are individuals with disabilities residing in the state to the same extent as the designated state agency provides such services to other significant populations of individuals with disabilities

residing in the State. (§101(a)(13).)

24. No duration of residence requirement is imposed that excludes from services under the plan any individual who is present in the state. (§101(a)(12).)
25. The designated state agency has implemented an information and referral system that is adequate to ensure that individuals with disabilities are provided accurate vocational rehabilitation information and guidance, using appropriate modes of communication, to assist such individuals in preparing for, securing, retaining, or regaining employment, and are appropriately referred to Federal and state programs, including other components of the statewide workforce investment system in the State. (§101(a)(20).)
26. In the event that vocational rehabilitation services cannot be provided to all eligible individuals with disabilities in the state who apply for the services, individuals with the most significant disabilities, in accordance with criteria established by the state for the order of selection, will be selected first for the provision of vocational rehabilitation services and eligible individuals, who do not meet the order of selection criteria, shall have access to services provided through the information and referral system implemented under section 101 (a)(20) of the Act. (§101(a)(5)(C) and (D).)
27. Applicants and eligible individuals, or, as appropriate, the applicants' representatives or the individuals' representatives, are provided information and support services to assist the applicants and eligible individuals in exercising informed choice throughout the rehabilitation process, consistent with the provisions of section 102(d) of the Act. (§101(a)(19).)
28. An individualized plan for employment meeting the requirements of section 102(b) of

the Act will be developed and implemented in a timely manner for an individual subsequent to the determination of the eligibility of the individual for services, except that in a state operating under an order of selection, the plan will be developed and implemented only for individuals meeting the order of selection criteria; services under this plan will be provided in accordance with the provisions of the individualized plan for employment. (§101(a)(9).)

29. Prior to providing any vocational rehabilitation services, except:

- Assessment for determining eligibility and vocational rehabilitation needs by qualified personnel, including, if appropriate, an assessment by personnel skilled in rehabilitation technology;
- Counseling and guidance, including information and support services to assist an individual in exercising informed choice consistent with the provisions of section 102(d) of the Act;
- Referral and other services to secure needed services from other agencies through agreements developed under section 101(a)(11) of the Act, if such services are not available under this State Plan;
- Job-related services, including job search and placement assistance, job retention services, follow-up services, and follow-along services;
- Rehabilitation technology, including telecommunications, sensory, and other technological aids and devices; and
- Post-employment services consisting of the services listed under subparagraphs (a) through (e), to an eligible individual, or to members of the individual's family, the state unit determines whether comparable services and benefits exist under

any other program and whether those services and benefits are available to the individual unless the determination of the availability of comparable services and benefits under any other program would interrupt or delay:

- Progress of the individual toward achieving the employment outcome identified in the individualized plan for employment;
- An immediate job placement; or
- Provision of such service to any individual who is determined to be at extreme medical risk, based on medical evidence provided by an appropriate qualified medical professional. (§101(a)(8)(A).)

30. The governor of the state in consultation with the designated state vocational rehabilitation agency and other appropriate agencies ensures that there is an interagency agreement or other mechanism for interagency coordination that meets the requirements of section 101(a)(8)(B)(i)-(iv) of the Act between any appropriate public entity, including the State Medicaid program, public institution of higher education, and a component of the statewide workforce investment system, and the designated state unit so as to ensure the provision of the vocational rehabilitation services identified in section 103(a) of the Act, other than the services identified as being exempt from the determination of the availability of comparable services and benefits, that are included in the individualized plan for employment of an eligible individual, including the provision of such services during the pendency of any dispute that may arise in the implementation of the interagency agreement or other mechanism for interagency coordination. (§101(a)(8)(B).)

31. The state agency conducts an annual review and reevaluation of the status of each



individual with a disability served under this State Plan who has achieved an employment outcome either in an extended employment setting in a community rehabilitation program or any other employment under section 14(c) of the Fair Labor Standards Act (29 U.S.C. 214(c)) for 2 years after the achievement of the outcome (and annually thereafter if requested by the individual or, if appropriate, the individual's representative), to determine the interests, priorities, and needs of the individual with respect to competitive employment or training for competitive employment; provides for the input into the review and reevaluation, and a signed acknowledgment that such review and reevaluation have been conducted, by the individual with a disability, or, if appropriate, the individual's representative; and makes make maximum efforts, including the identification and provision of vocational rehabilitation services, reasonable accommodations, and other necessary support services, to assist such individuals in engaging in competitive employment. (§101(a)(14).)

32. Funds made available under title VI, part B of the Act will only be used to provide supported employment services to individuals who are eligible under this part to receive the services. (§625(b)(6)(A).)
33. The comprehensive assessments of individuals with significant disabilities conducted under section 102(b)(1) of the Act and funded under title I will include consideration of supported employment as an appropriate employment outcome. (§625(b)(6)(B).)
34. An individualized plan for employment, as required by section 102 of the Act, will be developed and updated using funds under title I in order to specify the supported employment services to be provided; specify the expected extended services needed;

and identify the source of extended services, which may include natural supports, or to the extent that it is not possible to identify the source of extended services at the time the individualized plan for employment is developed, a statement describing the basis for concluding that there is a reasonable expectation that such sources will become available. (§625(b)(6)(C))

35. The state will use funds provided under title VI, part B only to supplement, and not supplant, the funds provided under title I, in providing supported employment services specified in the individualized plan for employment. (§625(b)(6)(D).)
36. Services provided under an individualized plan for employment will be coordinated with services provided under other individualized plans established under other Federal or state programs. (§625(b)(6)(E).)
37. To the extent job skills training is provided, the training will be provided on site. (§625(b)(6)(F).)
38. Supported employment services will include placement in an integrated setting for the maximum number of hours possible based on the unique strengths, resources, priorities, concerns, abilities, capabilities, interests, and informed choice of individuals with the most significant disabilities. (§ 625(b)(G).)
39. The state will expend not more than 5 percent of the allotment of the state under title VI, part B for administrative costs of carrying out this part. (§625(b)(7).)
40. The supported employment supplement to the title I State Plan contains such other information and be submitted in such manner as the Commissioner of the Rehabilitation Services Administration may require. (§625(b)(8).)

## **I. Unemployment Insurance (UI)**

By signing the Unified Plan/State Quality Services Plan (SQSP) Signature Page, the state administrator is certifying that the state will comply with the following assurances, and that the state will institute plans or measures to comply with the following requirements.

The assurances are identified and explained below:

A. Assurance of Equal Opportunity (EO). As a condition to the award of financial assistance from ETA, the state must assure that the operation of its program, and all agreements or arrangements to carry out the programs for which assistance is awarded, will comply with the following laws:

- Title VI of the Civil Rights Act of 1964, as amended;
- Sections 504 and 508(f) of the Rehabilitation Act of 1973, as amended;
- Age Discrimination Act (ADA) of 1975, as amended,
- Section 188 of the Workforce Investment Act; and
- Title IX of the Education Amendments of 1972, as amended

Further, the state must assure that it will establish and adhere to Methods of Administration that give a reasonable guarantee of compliance with the above equal opportunity and nondiscrimination laws and regulations regarding the program services it provides and in its employment practices. These Methods of Administration must, at a minimum, include the following:

1. Designation of an Equal Opportunity Officer. The state must designate a senior-level individual to coordinate its EO responsibilities. The person designated must report to the top official on equal opportunity and nondiscrimination matters and be assigned sufficient staff and resources to ensure the capability to fulfill the agency's equal opportunity and nondiscrimination obligations.
2. Equal Opportunity Notice and Communication. The state must take affirmative steps to prominently display the *Equal Opportunity is the Law* poster in all of its facilities and inform applicants for programs, participants, applicants for employment, and employees:
  - a. that the state does not discriminate in admission, access, treatment, or employment; and
  - b. of their right to file a complaint and how to do so.Other than the *Equal Opportunity is the Law* poster, methods of notification of this information may include placement of notices in offices and publication of notices in newsletters, newspapers, or magazines.
3. Assurances. The state must develop and implement procedures for transferring nondiscrimination and EO obligations in sub-contracts and sub-agreements.
4. Universal Access. The state must take appropriate steps to ensure that they are providing universal access to their programs. These steps should include reasonable efforts to include members of both sexes, various racial and ethnic groups, individuals with disabilities and individuals in differing age groups.

5. Compliance with Section 504. The state must take the necessary measures to ensure access to its programs and facilities for persons with disabilities, as well as make certain communication with persons with disabilities is as effective as that with others.
6. Data Collection and Recordkeeping. The state must collect such data and maintain such records in accordance with procedures prescribed by the Director of the U.S. Department of Labor's Civil Rights Center. These characteristics data (e.g., race, sex, national origin, age, disability) are utilized to determine whether the state and its local office are in compliance with Federal nondiscrimination and equal opportunity statutes and regulations.
7. Monitoring. The state must establish a system for periodically monitoring the delivery of program services for compliance.
8. Discrimination Complaint Procedures. The state must develop and follow procedures for handling complaints of discrimination covering all of the regulations applicable to it as a recipient of Federal financial assistance.
9. Corrective Actions and Sanctions. The state must establish procedures for taking prompt corrective action regarding any noncompliance finding relating to the administration, management, and operation of its programs and activities.

B. Assurance of Administrative Requirements and Allowable Cost Standards. The state must comply with administrative requirements and cost principles applicable to grants and cooperative agreements as specified in 20 CFR Part 601 (Administrative Procedure), 29 CFR Part 93 (Lobbying Prohibitions), 29 CFR Part 96 and Part 99

(Audit Requirements), 29 CFR Part 97 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments), and OMB Circular A-87 (Revised), 2 CFR 225, (Cost Principles for State, Local, and Indian Tribal Governments), and with administrative requirements for debarment and suspension applicable to sub-grants or contracts as specified in 29 CFR Part 98 (Debarment and Suspension). The state assures that state staff will attend mandatory meetings and training sessions, or return unused funds.

States that have subawards to organizations covered by audit requirements of 29 CFR Part 99 (Audit of States, Local Governments, and Non-Profit Organizations) must (1) ensure that such subrecipients meet the requirements of that circular, as applicable, and (2) resolve audit findings, if any, resulting from such audits, relating to the UI program.

The state also assures that it will comply with the following specific administrative requirements:

1. Administrative Requirements.

- a. Program Income. Program income is defined in 29 CFR 97.25 as gross income received by a grantee or subgrantee directly generated by a grant supported activity, or earned only as a result of the grant agreement during the grant period. States may deduct costs incidental to the generation of UI program income from gross income to determine net UI program income. UI program income shall be added to the funds committed to the grant by ETA. The

program income must be used only as necessary for the proper and efficient administration of the UI program. Any rental income or user fees obtained from real property or equipment acquired with grant funds from prior awards shall be treated as program income under this grant.

- b. Budget Changes. Except as specified by terms of the specific grant award, ETA, in accordance with the regulations, waives the requirements in 29 CFR 97.30(c)(1)(ii) that states obtain prior written approval for certain types of budget changes.
- c. Real Property Acquired with Reed Act Funds. The requirements for real property acquired with Reed Act or other non-Federal funds and amortized with UI grants are in UIPL 39-97, dated September 12, 1997, 29 CFR 97.31 to the extent amortized with UI grants; and in TEGL 7-04, Issues Related to Real Property Used for ETA Program Purposes.
- d. Equipment Acquired with Reed Act Funds. The requirements for equipment acquired with Reed Act or other non-Federal funds and amortized with UI grants are in UIPL 39-97, and UIPL 39-97 Changes 1 and 2, and in 29 CFR 97.31, to the extent amortized with UI grants.
- e. Real Property, Equipment, and Supplies.
  - 1) Real property, equipment, and supplies acquired under prior awards are transferred to this award and are subject to the relevant regulations at 29 CFR Part 97.
  - 2) For computer systems and all associated components which were installed in states for the purpose of Regular Reports, Benefits Accuracy

Measurement, and other UI Activities, the requirements of 29 CFR Part 97 apply. The National Office reserves the right to transfer title and issue disposition instructions in accordance with paragraph (g) of Federal regulations at 29 CFR 97.32. States also will certify an inventory list of system components which will be distributed annually by ETA.

2. Exceptions and Expansions to Cost Principles. The following exceptions or expansions to the cost principles of OMB Circular No. A-87 (Revised) are applicable to states:

a. Employee Fringe Benefits. As an exception to OMB Circular A-87 (Revised) with respect to personnel benefit costs incurred on behalf of state employees who are members of fringe benefit plans which do not meet the requirements of OMB Circular No. A-87 (Revised), Attachment B, item 8, the costs of employer contributions or expenses incurred for state fringe benefit plans are allowable, provided that:

- 1) For retirement plans, all covered employees joined the plan before October 1, 1983; the plan is authorized by state law; the plan was previously approved by the Secretary; the plan is insured by a private insurance carrier which is licensed to operate this type of plan in the applicable state; and any dividends or similar credits because of participation in the plan are credited against the next premium falling due under the contract.
- 2) For all state fringe benefit plans other than retirement plans, if the Secretary granted a time extension after October 1, 1983, to the existing approval of such a plan, costs of the plan are allowable until such time as



the plan is comparable in cost and benefits to fringe benefit plans available to other similarly employed state employees. At such time as the cost and benefits of an approved fringe benefit plan are equivalent to the cost and benefits of plans available to other similarly employed state employees, the time extension will cease and the cited requirements of OMB Circular A-87 (Revised) will apply.

3) For retirement plans and all other fringe benefit plans covered in (1) and (2) of this paragraph, any additional costs resulting from improvements to the plans made after October 1, 1983, are not chargeable to UI grant funds.

b. UI Claimant's Court Appeals Costs. To the extent authorized by state law, funds may be expended for reasonable counsel fees and necessary court costs, as fixed by the court, incurred by the claimant on appeals to the courts in the following cases:

- 1) Any court appeal from an administrative or judicial decision favorable in whole or in part for the claimant;
- 2) Any court appeal by a claimant from a decision which reverses a prior decision in his/her favor;
- 3) Any court appeal by a claimant from a decision denying or reducing benefits awarded under a prior administrative or judicial decision;
- 4) Any court appeal as a result of which the claimant is awarded benefits;
- 5) Any court appeal by a claimant from a decision by a tribunal, board of review, or court which was not unanimous;

- 6) Any court appeal by a claimant where the court finds that a reasonable basis exists for the appeal.
- c. Reed Act. Payment from the state's UI grant allocations, made into a state's account in the Unemployment Trust Fund for the purpose of reducing charges against Reed Act funds (section 903(c)(2) of the Social Security Act, as amended (42 U.S.C. 1103(c)(2)), are allowable costs provided that:
    - 1) The charges against Reed Act funds were for amounts appropriated, obligated, and expended for the acquisition of automatic data processing installations or for the acquisition or major renovation of state-owned buildings, but not land;
    - 2) With respect to each acquisition or improvement of property, the payments are accounted for as credit against equivalent amounts of Reed Act funds previously withdrawn under the respective appropriation.
  - d. Prior Approval of Equipment Purchases. As provided for in OMB Circular No. A-87 (Revised), Attachment B, item 15, the requirement that grant recipients obtain prior approval from the Federal grantor agency for all purchases of equipment (as defined in 29 CFR 97.3) is waived and approval authority is delegated to the state administrator.
  - e. Federal Cash Transaction Report. The state is exempt from submission of the SF 272, Federal Transactions Report, and the SF 272A, Continuation Sheet, per 29 CFR 97.41 (c) discretion.

C. Assurance of Management Systems, Reporting, and Record Keeping.

The state assures that:

1. Financial systems provide fiscal control and accounting procedures sufficient to permit timely preparation of required reports, and the tracing of funds to a level of expenditure adequate to establish that funds have not been expended improperly (29 CFR 97.20).
2. The financial management system and the program information system provide Federally-required reports and records that are uniform in definition, accessible to authorized Federal and state staff, and verifiable for monitoring, reporting, audit, and evaluation purposes.
3. It will submit reports to ETA as required in instructions issued by ETA and in the format ETA prescribes.
4. It will retain all financial and programmatic records, supporting documents, and other required records at least three years as specified in 29 CFR 97.42(b).
5. The financial management system provides for methods to insure compliance with the requirements applicable to procurement and grants as specified in 29 CFR Part 98 (Debarment and Suspension), and for obtaining the required certifications under 29 CFR 98.510(b) regarding debarment, suspension, ineligibility, and voluntary exclusions for lower tier covered transactions.

D. Assurance of Program Quality. The state assures that it will administer the UI program in a manner that ensures proper and efficient administration. "Proper and efficient administration" includes performance measured by ETA through Core measures, Management Information measures, program reviews, and the administration of the

UI BAM, BTQ, Data Validation (DV), and TPS program requirements.

E. Assurance on Use of Unobligated Funds. The state assures that non-automation funds will be obligated by December 31 of the following fiscal year, and liquidated within 90 days thereafter. ETA may extend the liquidation date upon written request. Automation funds must be obligated by the end of the 3<sup>rd</sup> fiscal year, and liquidated within 90 days thereafter. ETA may extend the liquidation date upon written request. Failure to comply with this assurance may result in disallowed costs from audits or review findings.

Note. Travel costs for state agency personnel are considered obligated when the travel is actually performed.

F. Assurance of Prohibition of Lobbying Costs (29 CFR Part 93). The state assures and certifies that, in accordance with the DOL Appropriations Act, no UI grant funds will be used to pay salaries or expenses related to any activity designed to influence legislation or appropriations pending before the Congress of the United States.

G. Drug-Free Workplace (29 CFR Part 98). The state assures and certifies that it will comply with the requirements at this part. (29 CFR Part 93)

H. Assurance of Disaster Recovery Capability. The state assures that it will maintain a Disaster Recovery plan.

I. Assurance of Conformity and Compliance. The state assures that the state law will conform to, and its administrative practice will substantially comply with, all Federal UI law requirements, and that it will adhere to DOL directives.

J. Assurance of Automated Information Systems Security. The state assures that its automated information systems have security protections commensurate with the risk and magnitude of harm.

K. Assurance of Confidentiality. The state will keep confidential any business information, as defined at 29 CFR 90.33 and any successor provision(s), it obtains or receives in the course of administering the Trade Adjustment Assistance or Alternative Trade Adjustment Assistance programs under this Agreement. The state shall not disclose such information to any person, organization, or other entity except as authorized by applicable state and Federal laws.

**J. Temporary Assistance for Needy Families (TANF)**

By signing the Unified Plan signature page, you are certifying that:

1. During the fiscal year, the state will operate a child support enforcement program under the State Plan approved under part D. (§402(a)(2).)
2. During the fiscal year, the state will operate a foster care and adoption assistance program under the State Plan approved under part E, and that the state will take such actions as are necessary to ensure that children receiving assistance under such part

are eligible for medical assistance under the State Plan under title XIX. (§402(a)(3).)

3. Which state agency or agencies will administer and supervise the TANF program for the fiscal year, which shall include assurances that local governments and private sector organizations have been consulted regarding the plan and design of welfare services in the state so that services are provided in a manner appropriate to local populations; and have had at least 45 days to submit comments on the Plan and the design of such services. (§402(a)(4).)
4. That, during the fiscal year, the state will provide each member of an Indian tribe, who is domiciled in the state and is not eligible for assistance under a tribal family assistance plan approved under section 412, with equitable access to Federally-funded assistance under the state's TANF program (§402(a)(5).)
5. That the state has established and is enforcing standards and procedures to ensure against program fraud and abuse, including standards and procedures concerning nepotism, conflicts of interest among individuals responsible for the administration and supervision of the state program, kickbacks, and the use of political patronage. (§402(a)(6).)
6. (Optional) that the state has established and is enforcing standards and procedures to:
  - a. Screen and identify individuals receiving assistance under this part with a history of domestic violence while maintaining the confidentiality of such individuals;
  - b. Refer such individuals to counseling and supportive services; and
  - c. Waive, pursuant to a determination of good cause, other program requirements such as time limits (for so long as necessary) for individuals receiving assistance, residency requirements, child support cooperation requirements, and family cap

provisions, in cases where compliance with such requirements would make it more difficult for individuals receiving assistance under this part to escape domestic violence or unfairly penalize such individuals who are or have been victimized by such violence, or individuals who are at risk of further domestic violence. (§402(a)(7)(A)(i), (ii), (iii).)

**K. Senior Community Service Employment Program (SCSEP)**

By signing this Unified Plan you also certify that the state agrees to meet the requirements of or submit the following documents as applicable, in addition to the general ETA requirements for receipt of Federal funds:

1. General Administrative Requirements:

- a. 29 CFR part 97 --Uniform Administrative Requirements for State and Local Governments (as amended by the Act)
- b. 29 CFR part 96 (as amended by OMB Circular A-133) --Single Audit Act
- c. OMB Circular A-87 --Cost Principles (as amended by the Act)

2. Assurances and Certifications:

- a. SF 424 – Application for Federal Assistance
- b. SF 424A – Budget Information – Non-construction Programs
- c. SF 424 B --Assurances for Non-construction Programs
- d. Hatch Act Notices must be placed in all work locations
- e. Privacy Statement must be provided to all participants

f. ETA-8705 – Equitable Distribution Report

**L. Community Services Block Grant (CSBG)**

By signing the Unified Plan signature page, you are certifying that:

1. Funds made available through the grant or allotment will be used--
  - a. To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals:
  - b. To remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a state program carried out under part A of title IV of the Social Security Act); to secure and retain meaningful employment;
  - c. To attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;
  - d. To make better use of available income;
  - e. To obtain and maintain adequate housing and a suitable living environment;
  - f. To obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and to achieve greater



- participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to:
- g. Document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.
2. The needs of youth in low-income communities are being met through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
- a. Programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
  - b. After-school child care programs. There is an effective use of, and to coordinate, other programs related to the purposes of this subtitle (including state welfare reform efforts).

3. There is an effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including state welfare reform efforts).
4. A description is provided on how the state intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the state will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.
5. Information is provided by eligible entities in the state, containing--
  - a. A description of the service delivery system, for services provided or coordinated with funds made available through grants made under section 675C(a), targeted to low-income individuals and families in communities within the state;
  - b. A description of how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations;
  - c. A description of how funds made available through grants made under section 675C(a) will be coordinated with other public and private resources; and
  - d. A description of how the local entity will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting.
6. Eligible entities in the state will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income

individuals.

7. The state and the eligible entities in the state will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and a description of how the state and the eligible entities will coordinate the provision of employment and training activities, as defined in section 101 of such Act, in the state and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998.
8. The state will ensure coordination between antipoverty programs in each community in the state, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community.
9. The state will permit and cooperate with Federal investigations undertaken in accordance with section 678D.
10. Any eligible entity in the state that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).
11. The state will require each eligible entity in the state to establish procedures under

which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.

12. The state will secure from each eligible entity in the state, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State Plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.
13. The state and all eligible entities in the state will participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to Section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and a description of outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.
14. The information describing how the state will carry out the assurances is described in this subsection.

#### **M. OMB Burden Statement**

These reporting instructions have been approved under the Paperwork Reduction Act of

1995. Persons are not required to respond to this collection of information unless it displays a valid OMB control number. Public reporting burden for this collection of information includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Submission is required by the Workforce Investment Act section 112(a). Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, Office of Workforce Investment, Room S-4231, 200 Constitution Ave., NW, Washington, DC, 20210.

## **Attachment A –Checklist, Contacts and Signatures**

### **1. Unified Plan Activities and Programs Checklist**

Under section 501 of the Workforce Investment Act, the following activities or programs may be included in a state's Unified Plan. From the list below, please place a check beside the programs and activities the state is including in this Unified Plan.

The State Unified Plan shall cover one or more of the following programs and activities:

- a. Secondary vocational education programs (Perkins IV/Secondary). Note that inclusion of this program requires prior approval of state legislature. (Carl D. Perkins Career and Technical Education Act of 2006 (20 U.S.C. 2301 et seq.))
- b. Postsecondary vocational education programs (Perkins IV/Postsecondary). Note that for the purposes of what the State Unified Plan shall cover, Perkins IV/Secondary and Perkins IV/Postsecondary count as one program. (Carl D. Perkins Career and Technical Education Act of 2006 (20 U.S.C. 2301 et seq.))
- c. Activities authorized under title I, Workforce Investment Systems (Workforce Investment Activities for Adults, Dislocated Workers and Youth, or WIA title I, and the Wagner-Peyser Act) (Workforce Investment Act of 1998 (29 U.S.C. 2801 et seq.))
- d. Activities authorized under title II, Adult Education and Family Literacy (Adult Education and Family Literacy Programs) (Workforce Investment Act of 1998 (20 U.S.C. 9201 et seq.))

The State Unified Plan may cover one or more of the following programs and activities:

- \_\_\_ a. Supplemental Nutrition Assistance Program, or SNAP (7 U.S.C. 2015(d))
- \_\_\_ b. Activities authorized under chapter 2 of title II of the Trade Act of 1974 (Trade Act Programs) (19 U.S.C. 2271 et seq.)
- \_\_\_ c. Programs authorized under Part B of title I of the Rehabilitation Act of 1973 (29 U.S.C. 720 et seq.), other than section 112 of such Act (29 U.S.C. 732) (Vocational Rehabilitation)
- \_\_\_ d. Activities authorized under chapters 41 & 42 of Title 38, USC, and 20 CFR 1001 and 1005 (Veterans Programs, including Veterans Employment, Disabled Veterans' Outreach Program, and Local Veterans' Employment Representative Program)
- \_\_\_ e. Programs authorized under state unemployment compensation laws (Unemployment Insurance) (in accordance with applicable Federal law which is authorized under title III, title IX and Title XII of the Social Security Act and the Federal Unemployment Tax Act)
- \_\_\_ f. Programs authorized under part A of title IV of the Social Security Act (Temporary Assistance for Needy Families (TANF)).
- \_\_\_ g. Programs authorized under title V of the Older Americans Act of 1965 (Senior Community Service Employment Program (SCSEP).) (42 U.S.C. 3056 et seq.)
- \_\_\_ h. Training activities funded by the Department of Housing and Urban Development under the Community Development Block Grants (CDBG) and Public Housing Programs). Note that programs funded by the CDBG and Public Housing programs can only be included in the State Unified Plan if the state is the funds recipient, and approval of the Unified Plan will not trigger funding for these programs.

\_\_\_\_ i. Community Development Block Grants

\_\_\_\_ j. Public Housing

\_\_\_\_ k. Programs authorized under the Community Services Block Grant Act

(Community Services Block Grant, or CSBG) (42 U.S.C. 9901 et seq.)

## 2. Contact Information

Please complete one copy for EACH of the separate activities and programs included in the State Unified Plan.

Program: \_\_\_\_\_

State Name for

Program/Activity: \_\_\_\_\_

Name of Grant Recipient Agency for

Program/Activity: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number:

\_\_\_\_\_

Facsimile Number:

\_\_\_\_\_

E-mail Address:

\_\_\_\_\_



Name of State Administrative Agency (if different from the Grant

Recipient):\_\_\_\_\_

Address:\_\_\_\_\_

Telephone Number:

\_\_\_\_\_

Facsimile Number:

\_\_\_\_\_

E-mail Address:

\_\_\_\_\_

Name of Signatory

Official:\_\_\_\_\_

Address:\_\_\_\_\_

Telephone Number:

\_\_\_\_\_

Facsimile Number:

\_\_\_\_\_

E-mail Address:

\_\_\_\_\_

Name of Liaison:\_\_\_\_\_

Address:\_\_\_\_\_

Telephone Number:

---

Facsimile Number:

---

E-mail Address:

---

**3. Plan Signature(s)**

*Governor (if applicable)*

As the Governor, I certify that for the State/Commonwealth of \_\_\_\_\_, for those activities and programs included in this Plan that are under my jurisdiction, the agencies and officials designated above under "Contact Information" have been duly designated to represent the State/Commonwealth in the capacities indicated for the programs and activities indicated. I will provide subsequent changes in the designation of officials to the designated program or activity contact as such changes occur.

I further certify that, for those activities and programs included in this Plan that are under my jurisdiction, we will operate the workforce development programs included in this Unified Plan in accordance with this Unified Plan and the assurances described in Section III of this Unified Plan.

---

Typed Name and Signature of Governor

Date \_\_\_\_\_

*Responsible State Official for Eligible Agency for Career and Technical Education (if Applicable)*

I certify that for the State/Commonwealth of \_\_\_\_\_, for those activities and programs included in this Plan that are under my jurisdiction, the agencies and officials designated above under "Contact Information" have been duly designated to represent the State/Commonwealth in the capacities indicated for the programs and activities indicated. I will provide subsequent changes in the designation of officials to the designated program or activity contact as such changes occur.

I further certify that, for those activities and programs included in this Plan that are under my jurisdiction, we will operate the programs included in this Unified Plan in accordance with this Unified Plan and the applicable assurances described in Section III of this Unified Plan.

---

–

Typed Name, Title, and Agency of Responsible State Official for Career and Technical Education

Signature\_\_\_\_\_

–

Date\_\_\_\_\_

*Responsible State Official for Eligible Agency for Vocational Rehabilitation (if applicable)*

I certify that for the State/Commonwealth of \_\_\_\_\_, for those activities and programs included in this Plan that are under my jurisdiction, the agencies and officials designated above under "Contact Information" have been duly designated to represent the State/Commonwealth in the capacities indicated for the programs and activities indicated. I will provide subsequent changes in the designation of officials to the designated program or activity contact as such changes occur.

I further certify that we will operate those activities and programs included in this Unified Plan that are under my jurisdiction in accordance with this Unified Plan and the assurances described in Section III of this Unified Plan.

---

Typed Name, Title, and Agency of Responsible State Official for Vocational Rehabilitation

Signature\_\_\_\_\_

Date\_\_\_\_\_

*Responsible State Official for Eligible Agency for Adult Education (if applicable)*

I certify that for the State/Commonwealth of \_\_\_\_\_, for those activities and programs included in this Plan that are under my jurisdiction, the agencies and officials designated above under "Contact Information" have been duly designated to represent the State/Commonwealth in the capacities indicated for the programs and activities indicated. I will provide subsequent changes in the designation of officials to the designated

program or activity contact as such changes occur.

I further certify that, for those activities and programs included in this Plan that are under my jurisdiction, we will operate the programs included in this Unified Plan in accordance with this Unified Plan and the applicable assurances described in Section III of this Unified Plan.

---

Typed Name, Title, and Agency of Responsible State Official for Adult Education

Signature \_\_\_\_\_

Date \_\_\_\_\_

**Attachment B**

**OPTIONAL TABLE FOR WIA TITLE I STATE PERFORMANCE INDICATORS**

**AND GOALS**

<b>WIA requirement at section 136(b)</b>	<b>Previous year performance</b>	<b>Performance goal</b>
<p>Adults:</p> <p>Entered Employment Rate</p> <p>Employment Retention Rate</p> <p>Average Six-Months Earnings</p> <p>Certificate Rate</p> <p>Dislocated Workers:</p> <p>Entered Employment Rate</p> <p>Employment Retention Rate</p> <p>Average Six-Months Earnings</p> <p>Certificate Rate</p> <p>Youth Aged 19-21:</p> <p>Entered Employment Rate</p> <p>Employment Retention Rate</p> <p>Six-Months Earnings Change</p>		

<p>Certificate Rate</p> <p>Youth 14-18:</p> <p>Skill Attainment Rate</p> <p>Diploma or Equivalent Attainment Rate</p> <p>Retention Rate</p> <p>Youth Common Measures<sup>1</sup>:</p> <p>Placement in Employment or Education</p> <p>Attainment of a Degree or Certificate</p> <p>Literacy and Numeracy Gains</p> <p>Participant Customer Satisfaction</p> <p>Employer Customer Satisfaction</p> <p>Additional State-Established Measures</p>		
---	--	--

<sup>1</sup> Goals are negotiated for these measures by states reporting common performance measure outcomes only.

DATED: [            ] *type in date just before signed electronically and then remove this instruction!*

SIGNED:

Jane Oates

Assistant Secretary

Employment and Training Administration

Billing Code: [4510-FN-P]