

## **VII. PROGRAM-SPECIFIC REQUIREMENTS FOR COMBINED STATE PLAN PARTNER PROGRAMS**

States choosing to submit a Combined State Plan must provide information concerning the six core programs—the Adult, Dislocated Worker, Youth, Wagner-Peyser Act, Adult Education and Family Literacy Act, and the Vocational Rehabilitation programs—and also submit relevant information for any of the eleven partner programs that the State chooses to include in its Combined State Plan. When a State includes a partner program in its Combined State Plan, the partner programs are subject to the “common planning elements” in Sections II-IV of that document, where specified, as well as the program-specific requirements for that program provided in this separate supplemental document.<sup>1</sup> The Departments are not seeking comments on these program-specific requirements, which exist under separate OMB control numbers and do not represent requirements under WIOA.

For further details on this overall collection, access the Federal eRulemaking Portal at <http://www.regulations.gov> by selecting Docket ID number ETA-2015-0006.

### **Career and technical education programs authorized under the Carl D. Perkins Career and Technical Education Act of 2006 (Title 20, United States Code (20 U.S.C. 2301 et seq.))**

*NOTE: Unless otherwise noted, statutory references in this section are to P.L.109-270—Carl D. Perkins Career and Technical Education Improvement Act of 2006 (“Perkins IV” or “the Act”). (20 U.S.C. 2301 et seq.) The term “the State” used throughout this section refers to the State Perkins Eligible Agency and “the State Plan” refers to the “Perkins State Plan”.*

(OMB Control Number: 1830-0029)

#### **I. Planning, Coordination, And Collaboration Prior To State Plan Submission**

##### **(a) Part A.**

- (1) The State<sup>2</sup> must conduct public hearings in the State, after appropriate and sufficient notice, for the purpose of affording all segments of the public and interested organizations and groups (including charter school authorizers and organizers consistent with State law, employers, labor organizations, parents, students, and community organizations), an opportunity to present their views and make recommendations regarding the State Plan. (Section 122(a)(3))
- (2) The State must include a summary of the above recommendations and the eligible agency’s response to such recommendations in the State Plan. (Section 122(a)(3))
- (3) The State must develop the State Plan in consultation with academic and career and technical education teachers, faculty, and administrators; career guidance and academic counselors; eligible recipients; charter school authorizers and organizers consistent with State law; parents and students; institutions of higher education; the State tech prep coordinator and representatives of tech prep consortia (if applicable); entities participating in activities undertaken by the State boards under section 101 of WIOA; interested community members (including parents and community organizations); representatives of special populations; representatives of business and industry (including representatives of small business); and representatives of labor organizations in the State. The

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<sup>1</sup> States that elect to include employment and training activities carried out under the Community Services Block Grant (CSBG) Act (42 U.S.C. 9901 et seq.) under a Combined State Plan would submit all other required elements of a complete CSBG State Plan directly to the Federal agency that administers the program. Similarly, States that elect to include employment and training activities carried by the Department of Housing and Urban Development that are included would submit all other required elements of a complete State Plan for those programs directly to the Federal agency that administers the program.

State also must consult the Governor of the State with respect to development of the State Plan. (Section 122)

- (4) The State must develop effective activities and procedures, including access to information needed to use such procedures, to allow the individuals and entities listed in item 3 above to participate in State and local decisions that relate to development of the State Plan. (Section 122(b)(2))
- (5) The State must develop the portion of the State Plan relating to the amount and uses of any funds proposed to be reserved for adult career and technical education, postsecondary career and technical education, tech prep education, and secondary career and technical education after consultation with the State agency responsible for supervision of community colleges, technical institutes, or other 2-year postsecondary institutions primarily engaged in providing postsecondary career and technical education, and the State agency responsible for secondary education. If any of those State agencies finds that a portion of the final State Plan is objectionable, that State agency must file its objections with the eligible State agency. The eligible State agency must respond to any objections it receives in the State Plan that it submits to the Secretary of Education. (Section 122(e)(3))

## II. Program Administration

### (a) Part A.

- (1) The State must prepare and submit to the Secretary a State Plan for a 6-year period. (Section 122(a)(1))
- (2) The State Plan must include information that describes the career and technical education activities to be assisted that are designed to meet or exceed the State adjusted levels of performance, including a description of—
  - (A) The career and technical education programs of study, that may be adopted by local educational agencies and postsecondary institutions to be offered as an option to students (and their parents as appropriate) when planning for and completing future coursework, for career and technical content areas that—
    - (a) Incorporate secondary education and postsecondary education elements;
    - (b) Include coherent and rigorous content, aligned with challenging academic standards, and relevant career and technical content in a coordinated, non-duplicative progression of courses that align secondary education with postsecondary education to adequately prepare students to succeed in postsecondary education;
    - (c) May include the opportunity for secondary education students to participate in dual or concurrent enrollment programs or other ways to acquire postsecondary education credits; and
    - (d) Lead to an industry-recognized credential or certificate at the postsecondary level, or an associate or baccalaureate degree;

- (B) How the State, in consultation with eligible recipients, will develop and implement the career and technical programs of study described in (a) above;
- (C) How the State will support eligible recipients in developing and implementing articulation agreements between secondary education and postsecondary education institutions;
- (D) How programs at the secondary level will make available information about career and technical programs of study offered by eligible recipients;
- (E) The secondary and postsecondary career and technical education programs to be carried out, including programs that will be carried out by the eligible State agency to develop, improve, and expand access to appropriate technology in career and technical education programs;
- (F) The criteria that the eligible State agency will use to approve eligible recipients for funds under the Act, including criteria to assess the extent to which the local plan will—
  - (i) Promote continuous improvement in academic achievement;
  - (ii) Promote continuous improvement of technical skill attainment; and
  - (iii) Identify and address current or emerging occupational opportunities;
- (G) How programs at the secondary level will prepare career and technical education students, including special populations, to graduate from secondary school with a diploma;
- (H) How such programs will prepare career and technical education students, including special populations, academically and technically for opportunities in postsecondary education or entry into high-skill, high-wage, or high-demand occupations in current or emerging occupations, and how participating students will be made aware of such opportunities;
- (I) How funds will be used to improve or develop new career and technical education courses—
  - (i) At the secondary level that are aligned with rigorous and challenging academic content standards and student academic achievement standards adopted by the State under section 1111(b)(1) of the Elementary and Secondary Education Act of 1965, as amended;
  - (ii) At the postsecondary level that are relevant and challenging; and
  - (iii) That lead to employment in high-skill, high-wage, or high-demand occupations;
- (J) How the State will facilitate and coordinate communications on best practices among successful recipients of tech prep program grants under Title II and other eligible recipients to improve program quality and student achievement;
- (K) How funds will be used effectively to link academic and career and technical education at the secondary level and at the postsecondary level

- in a manner that increases student academic and career and technical achievement; and
- (L) How the State will report on the integration of coherent and rigorous content aligned with challenging academic standards in career and technical education programs in order to adequately evaluate the extent of such integration. (Section 122(c)(1)(A)-(L))
- (3) The State Plan must describe how comprehensive professional development (including initial teacher preparation and activities that support recruitment) for career and technical teachers, faculty, administrators, and career guidance and academic counselors will be provided, especially professional development that—
- (A) Promotes the integration of coherent and rigorous academic content standards and career and technical education curricula, including through opportunities for academic and career and technical teachers to jointly develop and implement curricula and pedagogical strategies;
  - (B) Increases the percentage of teachers that meet teacher certification or licensing requirements;
  - (C) Is high quality, sustained, intensive, and focused on instruction, and increases the academic knowledge and understanding of industry standards, as appropriate, of career and technical education teachers;
  - (D) Encourages applied learning that contributes to the academic and career and technical knowledge of the student;
  - (E) Provides the knowledge and skills needed to work with and improve instruction for special populations; and
  - (F) Promotes integration with professional development activities that the State carries out under Title II of the Elementary and Secondary Education Act of 1965, as amended, and Title II of the Higher Education Act of 1965, as amended. (Section 122(c)(2)(A)-(G))
- (4) The State Plan must describe efforts that the eligible State agency and eligible recipients will make to improve—
- (A) the recruitment and retention of career and technical education teachers, faculty, and career guidance and academic counselors, including individuals in groups underrepresented in the teaching profession; and
  - (B) the transition to teaching from business and industry, including small business. (Section 122(c)(3)(A)-(B))
- (5) The State Plan must describe efforts that the eligible State agency and eligible recipients will make to improve the transition of subbaccalaureate career and technical education students into baccalaureate degree programs at institutions of higher education. (Section 122(c)(4))
- (6) The State Plan must describe how the eligible State agency will actively involve parents, academic and career and technical education teachers, administrators, faculty, career guidance and academic counselors, local business (including small businesses), and labor organizations in the planning, development, implementation, and evaluation of career and technical education programs in the State. (Section 122(c)(5))
- (7) The State Plan must describe efforts that the eligible State agency and eligible recipients will make to—

- (A) Improve the academic and technical skills of students participating in career and technical education programs, including by strengthening the academic and career and technical components of career and technical education programs through the integration of academics with career and technical education to ensure learning in—
    - (i) The core academic subjects (as defined in section 9101 of the Elementary and Secondary Education Act of 1965, as amended); and
    - (ii) Career and technical education subjects;
  - (B) Provide students with strong experience in, and understanding of, all aspects of an industry; and
  - (C) Ensure that students who participate in career and technical education programs are taught to the same challenging academic proficiencies as taught to all other students. (Section 122(c)(7)(A)-(C))
- (8) The State Plan must describe how the eligible State agency will provide local educational agencies, area career and technical education schools, and eligible institutions in the State with technical assistance. (Section 122(c)(15))
  - (9) The State Plan must describe how career and technical education in the State relates to the State’s and region’s occupational opportunities. (Section 122(c)(16))
  - (10) The State Plan must describe the methods the eligible State agency proposes for the joint planning and coordination of programs carried out under this legislation with other Federal education programs. (Section 122(c)(17))
  - (11) The State Plan must provide a description and the information specified “in subparagraphs (B) and (C)(iii) of section 102(b)(2), and, as appropriate, section 103(b)(3)(A), and section 121(c), of the Workforce Innovation and Opportunity Act (Public Law 113-128) concerning the provisions of services only for postsecondary students and school.
- (b) Part B.
- (1) The State Plan must include a copy of the eligible State agency’s local applications or plans for secondary and postsecondary eligible recipients, which will meet the requirements in section 134(b) of the Act.
  - (2) The State Plan must provide a description of the State’s governance structure for vocational and technical education.
  - (3) The State Plan must provide a description of the role of postsecondary career and technical education in the one-stop delivery system established by Title I of WIOA.

### III. Provision Of Services For Special Populations

#### (a) Part A.

- (1) The State Plan must describe the eligible State agency’s program strategies for special populations listed in Section 3(29) of the *Perkins IV*, including a description of how individuals who are members of the special populations—
  - (A) Will be provided with equal access to activities assisted under *Perkins IV*.
  - (B) Will not be discriminated against on the basis of their status as members of special populations; and

- (C) Will be provided with programs designed to enable the special populations to meet or exceed State adjusted levels of performance, and how the eligible State agency will prepare special populations for further learning and for high-skill, high-wage, or high-demand occupations. (Section 122(c)(9)(A)-(C))
- (2) The State Plan must describe how the eligible State agency will adequately address the needs of students in alternative education programs, if the agency has such programs. (section 122(c)(14))
- (3) The State Plan must describe how funds will be used to promote preparation for high-skill, high-wage, or high-demand occupations and non-traditional fields. (section 122(c)(18))
- (4) The State Plan must describe how funds will be used to serve individuals in State correctional institutions. (section 122(c)(19))
- (5) The State Plan must describe how the State will require each applicant for funds to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs as contained in section 427(b) of the General Education Provisions Act as amended. For further guidance and examples, see the Notice to All Applicants at [www.law.cornell.edu/uscode/text/20/1228a](http://www.law.cornell.edu/uscode/text/20/1228a)

#### IV. Accountability And Evaluation

##### (a) Part A.

- (1) The State Plan must describe procedures the eligible State agency will use to obtain input from eligible recipients in establishing measurement definitions and approaches for the core indicators of performance for career and technical education students at the secondary and postsecondary levels, as well as for any other additional indicators of performance identified by the eligible agency. (Section 113(b)(1)(A)-(B), sec. 113(b)(2)(A)-(C))
- (2) The State Plan must describe the procedures the eligible State agency will use to obtain input from eligible recipients in establishing a State adjusted level of performance for each of the core indicators of performance for career and technical education students at the secondary and postsecondary levels, as well as State levels of performance for any additional indicators of performance identified by the eligible agency. (section 122(c)(10)(A), sec. 113(b)(3)(B))
- (3) The State Plan must identify, on the forms in Part C of this section, the valid and reliable measurement definitions and approaches that the eligible State agency will use for each of the core indicators of performance for career and technical education students at the secondary and postsecondary/adult levels, as well as any additional indicators of performance identified by the eligible agency, that are valid and reliable. The eligible State agency must describe how its proposed definitions and measures are valid and reliable. (Section 113(b)(2)(A)-(B))

Section 113(b) of *Perkins IV* describes the measures that a State must use for student attainment of challenging academic content standards and student academic achievement standards in reading/language arts and mathematics (1S1 and 1S2, respectively) and student graduation rates (4S1). Based on the

Department of Education's non-regulatory guidance, the measurement definitions on the Final Agreed Upon Performance Levels (FAUPL) form have been pre-populated for the eligible State agency's convenience. The eligible State agency does not need to describe how these definitions and measures are valid and reliable in the State Plan narrative. A State that chooses to propose other student definitions and measurement approaches in its new State Plan would have to describe how its proposed definitions and measures would be valid and reliable.

- (4) The State Plan must describe how, in the course of developing core indicators of performance and additional indicators of performance, the eligible State agency will align the indicators, to the greatest extent possible, so that information substantially similar to that gathered for other State and Federal programs, or for any other purpose, is used to meet the Act's accountability requirements. (section 113(b)(2)(F))
- (5) The State Plan must provide performance levels for each of the core indicators of performance. For performance levels that are required, the States' performance levels, at a minimum, must be expressed in a percentage or numerical form, so as to be objective, quantifiable, and measurable; and require the State to continually make progress toward improving the performance of career and technical education students. (Section 113(b)(3)(A)(i)-(II))

Section 113(b)(2) of *Perkins IV* requires a State to develop valid and reliable core indicators of performance, to propose performance levels in its Perkins State Plan, and to reach agreement with the Department of Education on "adjusted performance levels" for each of the core indicators. In so doing, the Perkins Act prescribes the measures that a State must use for some of the core indicators.

- (A) Section 113(b)(2)(A)(i) of *Perkins IV* requires a State to measure career and technical education students' attainment of "challenging academic content standards" and "student academic achievement standards" that a State adopted pursuant to section 1111(b)(1) of the ESEA. *Perkins IV* further requires a State use its State's academic assessments (i.e. the State's reading/language arts and mathematics tests) implemented under section 1111(b)(3) of the ESEA to measure career and technical education students' attainment of these State standards. Thus, a State's core indicators must include career and technical education students' proficiency in reading/language arts and mathematics as measured under 1111(b)(1) and (3) of the ESEA. Accordingly, under *Perkins IV*, a State must report the number or percent of its career and technical education students who score at the proficient level or above on the State's assessments in reading/language arts and mathematics administered under the ESEA to measure the academic proficiency of secondary career and technical education students against the ESEA standards.

To measure attainment of these standards, a State must develop and reach agreement with the Department of Education on "adjusted performance levels," which constitute the State's performance targets

for a program year. Permissible targets (i.e. “adjusted performance levels”) would be a State’s “annual measurable objectives” (AMOs) from its State’s ESEA accountability workbook. (To ensure that a State’s schools are making “adequate yearly progress” (AYP) as required under section 1111(b)(2)(A) of the ESEA, section 1111(b)(2)(G) of the ESEA requires a State to establish Statewide AMOs, which identify a single minimum percentage of students who are required to meet or exceed the proficient level on the State’s academic assessments each year.) Under *Perkins IV*, a State may propose different performance levels (targets) instead of its AMOs as discussed below.

- (B) Section 113(b)(2)(A)(iv) of *Perkins IV* requires a State to identify a core indicator to measure for its career and technical education students at the secondary level “student graduation rates (as described in section 1111 (b)(2)(C)(vi) of the (ESEA)).” Thus, a State must report the number or percent of its career and technical education students whom the State includes as graduated in its graduation rate described under the ESEA. To ensure that a State’s schools are making AYP as required under section 1111(b)(2)(A) of the ESEA, some States have established Statewide targets for graduation rates under section 1111(b)(2)(C)(vi), and other States have defined AYP only to require improvement in the graduation rate each year.

The Department strongly encourages the State to reach agreement on “adjusted performance levels” required under section 113 of *Perkins IV* for the core indicators discussed in (a) and (b) above that are the same as the State’s AMOs or targets that the State adopted to ensure that the State’s schools are making AYP as required under section 1111(b)(2) of the ESEA. However, as noted above, the State may not have established targets for graduations rates under the ESEA, or the State may wish to propose performance levels for these core indicators that are different from the State’s targets. If so, the State must provide baseline data using the State’s most recent year’s achievement data or graduation rate under the ESEA, propose performance levels, and reach agreement with the Department of Education on “adjusted performance levels.” (The Secretary of Education is considering whether to issue regulations requiring a State to agree to “adjusted performance levels” under *Perkins IV* that are the same as the State’s AMOs or targets for graduation rate under the ESEA. If the Secretary of Education decides to regulate on this issue and adopts final rules, a State may be required to amend its State Plan.

- (6) The State Plan must describe the eligible State agency’s process for reaching agreement on local adjusted levels of performance if an eligible recipient does not accept the State adjusted levels of performance under section 113(b)(3) of *Perkins IV* and ensuring that the established performance levels will require the eligible recipient to continually make progress toward improving the performance of career and technical education students. (section 113(b)(4)(A) (II); section 122(c)(10)(B))



- (7) The State Plan must describe the objective criteria and methods the eligible State agency will use to allow an eligible recipient to request revisions to its local adjusted levels of performance if unanticipated circumstances arise with respect to an eligible recipient. (section 113(b)(4)(A)(vi))
- (8) The eligible State agency must describe how it will report data relating to students participating in career and technical education programs in order to adequately measure the progress of the students, including special populations and students participating in tech prep programs, if applicable, and how the eligible State agency will ensure that the data reported to it from local educational agencies and eligible institutions, and the data that it reports to the Secretary, are complete, accurate, and reliable. (section 122(c)(13); section 205)
- (9) The State Plan must describe how the State plans to enter into an agreement with each consortium receiving a grant under *Perkins IV* to meet a minimum level of performance for each of the performance indicators described in section 113(b) and 203(e). (section 204(e)(1))
- (10) The State Plan must describe how the eligible State agency will annually evaluate the effectiveness of career and technical education programs, and describe, to the extent practicable, how the eligible State agency is coordinating those programs with other Federal programs to ensure nonduplication. (section 122(c)(8))

(b) Part B.

- (1) The State Plan must provide all the information requested on the forms provided in Part C of this section to report accountability data annually to the Secretary of Education under section 113(c)(1)-(2), including:
  - (A) The student definitions that the State will use for the secondary core indicators of performance and the postsecondary/adult core indicators of performance;
  - (B) Baseline data for the core indicators of performance under section 113(b)(2) using data from the most-recently completed program year, except that, for the indicators for which the State must use its standards, assessment, and graduation rates adopted under Title I of the ESEA, if the State chooses to use its AMOs and targets under the ESEA, the eligible State agency will not need to submit baseline data; and
  - (C) Proposed performance levels as discussed above, except that, for the indicators for which the State must use its the eligible State standards, assessments, and graduation rates adopted under Title I of the ESEA, if the State chooses to use its AMOs and targets under the ESEA, the eligible State agency will only have to confirm this information with the State's OCTAE Regional Accountability Specialist. Upon the eligible State

agency's request, the Regional Accountability Specialist will pre-populate the forms in Part C with the State's current AMOs and targets, as appropriate, and send the forms for the eligible State agency to finish completing.

- (2) The eligible State agency must identify the program areas for which the State has technical skill assessments, the estimated percentage of CTE students who take technical skill assessments, and the State's plan for increasing the coverage of programs and students reported in future program years.

## V. Tech Prep Programs

### (a) Part A.

- (1) The State Plan must describe the competitive basis or formula the eligible State agency will use to award grants to tech-prep consortia. (section 203(a)(1))
- (2) The State Plan must describe how the eligible State agency will give special consideration to applications that address the areas identified in section 204(d). (section 204(d)(1)-(6))
- (3) The State Plan must describe how the eligible State agency will ensure an equitable distribution of assistance between urban and rural consortium participants. (section 204(f))
- (4) The State Plan must describe how the eligible State agency will ensure that each funded tech prep program—
  - (A) Is carried out under an articulation agreement between the participants in the consortium, as defined in section 3(4) of *Perkins IV*;
  - (B) Consists of a program of study that meets the requirements of section 203(c)(2)(A)-(G);
  - (C) Includes the development of tech prep programs for secondary and postsecondary education that meet the requirements of section 203(c)(3)(A)-(D);
  - (D) Includes in-service professional development for teachers, faculty, and administrators that meets the requirements of section 203(c)(4)(A)-(F).
  - (E) Includes professional development programs for counselors that meet the requirements of section 203(c)(5)(A)-(F);
  - (F) Provides equal access to the full range of technical preparation programs (including pre-apprenticeship programs) to individuals who are members of special populations, including the development of tech-prep program services appropriate to the needs of special populations (section 203(c)(6));

(G) Provides for preparatory services that assist participants in tech-prep programs (section 203(c)(7)); and Coordinates with activities under Title I. (Section 203(c)(8))

(5) The State Plan must describe how the State Plans to enter into an agreement with each consortium receiving a grant under Perkins IV to meet a minimum level of performance for each of the performance indicators described in sections 113(b) and 203(e). (section 204(e)(1))

(b) Part B.

(1) The State must submit a copy of the local application form(s) used to award tech prep funds to consortia and a copy of the technical review criteria used to select winning consortia, if funds are awarded competitively.

VI. Financial Requirements

(a) Part A.

- (1) The State Plan must describe how the eligible State agency will allocate funds it receives through the allotment made under section 111, including any funds that the eligible State agency chooses to consolidate under section 202(a), will be allocated among career and technical education at the secondary level, or career and technical education at the postsecondary and adult level, or both, including the rationale for such allocation. (Section 122(c)(6)(A); section 202(c))
- (2) The State Plan must provide the specific dollar allocations made available by the eligible agency for career and technical education programs under sections 131(a)-(e) and how these allocations are distributed to local educational agencies, area career and technical education schools, and educational service agencies within the State. (section 131(g); section 202(c))
- (3) The State Plan must provide the specific dollar allocations made available by the eligible agency for career and technical education programs under section 132(a) of the Act and how these allocations are distributed to postsecondary institutions within the State. (section 122(c)(6)(A); section 202(c))
- (4) The State Plan must describe how the eligible State agency will allocate any of those funds among any consortia that will be formed among secondary schools, and how funds will be allocated among the members of the consortia, including the rationale for such allocation. (Section 122(c)(6)(B); section 202(c))
- (5) The State Plan must describe how the eligible State agency will allocate any of those funds among any consortia that will be formed among postsecondary institutions, and how funds will be allocated among the members of the consortia, including the rationale for such allocations. (section 122(c)(6)(B); section 202(c))
- (6) The State Plan must describe how the eligible State agency will adjust the data used to make the allocations to reflect any change in school district boundaries

that may have occurred since the population and/or enrollment data was collected, and include local educational agencies without geographical boundaries, such as charter schools and secondary schools funded by the Bureau of Indian Affairs. (section 131(a)(3))

- (7) The State Plan must provide a description of any proposed alternative allocation formula(s) requiring approval by the Secretary of Education as described in section 131(b) or 132(b). At a minimum, the eligible State agency must provide an allocation run for eligible recipients using the required elements outlined in section 131(a) and/or section 132(a)(2), together with an allocation run using the proposed alternative formula(s). Also the eligible State agency must include a demonstration that the alternative secondary formula more effectively targets funds on the basis of poverty, as described in section 131(b)(1) of the Act; and/or, in the case of an alternative postsecondary formula, a demonstration that the formula described in section 132(a)(2) does not result in a distribution of funds to eligible recipients that have the highest numbers of economically disadvantaged individuals and that an alternative formula would result in such a distribution.

(b) Part B.

- (1) The State Plan must include a detailed project budget, using the forms provided in Part B of this guide.
- (2) The State Plan must provide a listing of allocations made to consortia (secondary and postsecondary) from funds available under sections 112(a) and (c).
- (3) The State Plan must describe the secondary and postsecondary formulas used to allocate funds available under section 112(a), as required by section 131(a) and 132(a).
- (4) The State Plan must describe the competitive basis or formula to be used to award reserve funds under section 112(c).
- (5) The State Plan must describe the procedures used to rank and determine eligible recipients seeking funding under section 112(c).
- (6) The State Plan must include a description of the procedures used to determine eligible recipients in rural and sparsely populated areas under section 131(c)(2) or 132(a)(4) of *Perkins IV*.

**EDGAR CERTIFICATIONS AND OTHER ASSURANCES FOR THE PERKINS CAREER AND TECHNICAL EDUCATIONAL AND TECH PREP PROGRAMS**

States must provide written and signed certifications stating that:

Part A	
1.	<p>(a) The plan is submitted by the State agency that is eligible to submit the plan. (34 CFR 76.104(a)(1)) <i>(Note: The term ‘eligible agency’ means a State board designated or created consistent with State law as the sole State agency responsible for the administration, or the supervision of the administration, of career and technical education in the State. See Sec. 3(12);</i></p> <p>(b) The State agency has authority under State law to perform the functions of the State under the program. (34 CFR 76.104(a)(2));</p> <p>(c) The State legally may carry out each provision of the plan. (34 CFR 76.104(a)(3));</p> <p>(d) All provisions of the plan are consistent with State law. (34 CFR 76.104(a)(4));</p> <p>(e) 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)) <i>(Note: If a State wishes for the Department to continue sending the grant award documents directly to the State director, this individual’s title needs to be listed on this portion of the assurance;</i></p> <p>(f) 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));</p> <p>(g) The agency that submits the plan has adopted or otherwise formally approved the plan. (34 CFR 76.104(a)(7));</p> <p>(h) The plan is the basis for State operation and administration of the program. (34 CFR 76.104(a)(8));</p>
Part B	
1.	The eligible State agency must submit a copy of the State Plan to the State office responsible for the Intergovernmental Review Process if the State implements that review process under Executive Order 12372. (See 34 CFR Part 79);
2.	The eligible State agency must provide a complete and signed ED Form 80-0013 for certifications regarding lobbying; (See 34 CFR Part 82. To download ED Form 80-0013, and the SF LLL Form (Disclosure of Lobbying Activities) referred therein, See: <a href="http://www.ed.gov/fund/grant/apply/appforms/appforms.html">http://www.ed.gov/fund/grant/apply/appforms/appforms.html</a> );
3.	The eligible State agency must provide a complete and signed Assurance for Non-Construction Programs Form. (See <a href="http://www.ed.gov/fund/grant/apply/appforms/appforms.html">http://www.ed.gov/fund/grant/apply/appforms/appforms.html</a> );
4.	The eligible State agency must provide a signed assurance that the eligible State agency will comply with the requirements of the Act and the provisions of the State Plan, including the

	provision of a financial audit of funds received under the Act which may be included as part of an audit of other Federal or State programs. (section 122(c)(11));
5.	The eligible State agency must provide a signed assurance that none of the funds expended under the Act will be used to acquire equipment (including computer software) in any instance in which such acquisition results in a direct financial benefit to any organization representing the interests of the acquiring entity or the employees of the acquiring entity, or any affiliate of such an organization. (section 122(c)(12));
6.	The eligible State agency must provide a signed assurance that the State will waive the minimum allocation as required in section 131(c)(1) in any case in which the local educational agency is located in a rural, sparsely populated area <u>or</u> is a public charter school operating secondary school career and technical education programs <u>and</u> demonstrates that it is unable to enter into a consortium for purposes of providing services under the Act. (section 131(c)(2));
7	The eligible State agency must provide a signed assurance that the State will provide, from non-Federal sources for the costs the eligible agency incurs for the administration of programs under this Act, an amount that is not less than the amount provided by the eligible agency from non-Federal sources for such costs for the preceding fiscal year. (section 323(a));
8.	The eligible State agency must provide a signed assurance that the State and eligible recipients that use funds under this Act for in-service and pre-service career and technical education professional development programs for career and technical education teachers, administrators, and other personnel shall, to the extent practicable, upon written request, permit the participation in such programs of career and technical education secondary school teachers, administrators, and other personnel in nonprofit private schools offering career and technical secondary education programs located in the geographical area served by such eligible agency or eligible recipient. (section 317(a));
9.	The eligible State agency must provide a signed assurance that, except as prohibited by State or local law, that an eligible recipient may, upon written request, use funds made available under this Act to provide for the meaningful participation, in career and technical education programs and activities receiving funds under this Act, of secondary school students attending nonprofit private schools who reside in the geographical area served by the eligible recipient. (section 317(b)(1)); and
10.	The eligible State agency must provide a signed assurance that eligible recipients that receive an allotment under this Act will consult, upon written request, in a timely and meaningful manner with representatives of nonprofit private schools in the geographical area served by the eligible recipient regarding the meaningful participation, in career and technical education programs and activities receiving funding under this Act, of secondary school students attending nonprofit private schools. (section 317(b)(2)).

## TEMPORARY ASSISTANCE FOR NEEDY FAMILIES PROGRAM (TANF)

(OMB Control Number: 0970-0145)

States that include TANF in the Combined State Plan must outline how the State will meet the requirements of section 402 of the Social Security Act including how it will:

- (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, specifically cash assistance, and become self-sufficient (section 402(a)(1)(A)(i) of the Social Security Act).
- (b) Require a parent or caretaker receiving assistance to engage in work (defined by the State) once the State determines the parent or caretaker is ready to engage in work, or once he or she has received 24 months of assistance, whichever is earlier, consistent with the child care exception at 407(e)(2) (section 402(a)(1)(A)(ii) of the Social Security Act)
- (c) Ensure that parents and caretakers receiving assistance engage in work in accordance with section 407 (section 402(a)(1)(A)(iii) of the Social Security Act). Consistent with the required strategic elements discussed in section II (a)(2) herein, provide a specific analysis of how the State's workforce development activities are addressing employment and training services for parents or caretakers receiving assistance.
- (d) Take such reasonable steps as the State deems 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 (section 402(a)(1)(A)(iv) of the Social Security Act)
- (e) Establish goals and take action to prevent and reduce out-of-wedlock pregnancies, with special emphasis on teenage pregnancies (section 402(a)(1)(A)(v) of the Social Security Act)
- (f) 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 to include men (section 402(a)(1)(A)(vi) of the Social Security Act)
- (g) Implement policies and procedures as necessary to prevent access to assistance provided under the State program funded under this part through any electronic fund transaction in an automated teller machine or point-of-sale device located in a place described in section 408(a)(12), including a plan to ensure that recipients of the assistance have adequate access to their cash assistance (section 402(a)(1)(A)(vii) of the Social Security Act)
- (h) Ensure that recipients of assistance provided under the State program funded under this part have the ability to use or withdraw assistance with minimal fees or charges, including an opportunity to access assistance with no fee or charges, and are provided information on applicable fees and surcharges that apply to electronic fund transactions involving the assistance, and that such information is made publicly available (section 402(a)(1)(A)(viii) of the Social Security Act)
- (i) Indicate whether it intends to treat families moving from another State differently from other families under the program, and if so how (section 402(a)(1)(B)(i) of the Social Security Act)
- (j) Indicate whether it intends to provide assistance to non-citizens, and if so include an overview of the assistance (section 402(a)(1)(B)(ii) of the Social Security Act)
- (k) Set forth objective criteria for the delivery of benefits and the determination of eligibility and for fair and equitable treatment, including an explanation of how it will provide opportunities for recipients who have been adversely affected to be heard in a State administrative or appeal process (section 402(a)(1)(B)(iii) of the Social Security Act)

- (l) Indicate whether the State intends to assist individuals to train for, seek, and maintain employment (Section 402(a)(1)(B)(v) of the Social Security Act)—
- (1) providing direct care in a long-term care facility (as such terms are defined under section 1397j of this title); or
  - (2) in other occupations related to elder care, high-demand occupations, or occupations expected to experience labor shortages as, determined appropriate by the State for which the State identifies an unmet need for service personnel, and, if so, shall include an overview of such assistance.
- (m) Provide for all MOE-funded services the following information: the name of the program benefit or service, and the financial eligibility criteria that families must meet in order to receive that benefit or service. In addition, for TANF MOE-funded services (co-mingled or segregated MOE) describe the program benefit provided to eligible families (SSP services do not have to include a description but the Department of Health and Human Services encourages it) (§263.2(b)(3) & §263.2(c) preamble pages 17826-7)

### TANF CERTIFICATIONS

States that include TANF in the Combined State Plan must provide a certification by the chief executive officer of that State, that during the fiscal year, the State will:	
1.	Operate a child support enforcement program under the State Plan approved under part D. (section 402(a)(2) of the Social Security Act);
2.	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. (section 402(a)(3) of the Social Security Act);
3.	Specify which State agency or agencies will administer and supervise the program referred to in paragraph (1) for the fiscal year, which shall include assurances that local governments and private sector organizations (section 402(a)(4) of the Social Security Act)— <ul style="list-style-type: none"> <li>(A) 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</li> <li>(B) have had at least 45 days to submit comments on the plan and the design of such services;</li> </ul>
4.	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 assistance under the State program funded under this part attributable to funds provided by the Federal Government. (section 402(a)(5) of the Social Security Act);
5.	Establish and enforce 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. (section 402(a)(6) of the Social Security Act);
6.	(optional) Establish and Enforcing standards and procedures to (section 402(a)(7) of the Social Security Act).—



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|  | <ul style="list-style-type: none"><li>(i) screen and identify individuals receiving assistance under this part with a history of domestic violence while maintaining the confidentiality of such individuals;</li><li>(ii) refer such individuals to counseling and supportive services; and</li><li>(iii) 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.</li></ul> |
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**SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM, EMPLOYMENT AND TRAINING (SNAP E &T) and WORK PROGRAMS AUTHORIZED UNDER SECTIONS 6(d)(4) and 6(o) OF THE FOOD AND NUTRITION ACT OF 2008**

(OMB Control Number: 0584-0083)

(a) **General Requirements**<sup>3</sup>: The State agency must prepare and submit an Employment and Training (E&T) Plan to its appropriate Food and Nutrition Service (FNS) Regional Office. The E&T Plan must be available for public inspection at the State agency headquarters. A State agency may include its plan for the SNAP E&T program in a Combined Plan under WIOA but will require FNS approval prior to implementation and must continue to make a copy of the plan available for public inspection. If a State includes SNAP E&T in a Combined Plan under WIOA, the State agency will detail the following for each year covered by the Combined Plan:

- (1) The nature of the E&T components the State agency plans to offer and the reasons for such components, including cost information. The methodology for State agency reimbursement for education components must be specifically addressed;
- (2) An operating budget for the Federal fiscal year with an estimate of the cost of operation for each Federal fiscal year covered by the Combined Plan. Any State agency that requests 50 percent Federal reimbursement for State agency E&T administrative costs, other than for participant reimbursements, must include in its plan, or amendments to its plan, an itemized list of all activities and costs for which those Federal funds will be claimed, including the costs for case management and casework to facilitate the transition from economic dependency to self-sufficiency through work. Costs in excess of the Federal grant will be allowed only with the prior approval of FNS and must be adequately documented to assure that they are necessary, reasonable and properly allocated. A State must submit a plan amendment to request budget adjustments at least 30 days prior to planned implementation;
- (3) The categories and types of individuals the State agency intends to exempt from E&T participation, the estimated percentage of work registrants the State agency plans to exempt, and the frequency with which the State agency plans to reevaluate the validity of its exemptions;
- (4) The characteristics of the population the State agency intends to place in E&T;
- (5) The estimated number of volunteers the State agency expects to place in E&T;
- (6) The geographic areas covered and not covered by the E&T Plan and why, and the type and location of services to be offered;
- (7) The method the State agency uses to count all work registrants as of the first day of the new fiscal year;
- (8) The method the State agency uses to report work registrant information on the quarterly Form FNS-583;
- (9) The method the State agency uses to prevent work registrants from being counted twice within a Federal fiscal year. If the State agency universally work registers all SNAP applicants, this method must specify how the State agency excludes those exempt from work registration under 7 C.F.R. §273.7(b)(1). If the State agency work registers nonexempt participants whenever a new application is submitted, this method must also specify how the State agency excludes those participants who may have already been registered within the past 12 months as specified under 7 C.F.R. §273.7(a)(1)(i);

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<sup>3</sup> 7 CFR § 273.7(c)(6).

- (10) The organizational relationship between the units responsible for certification and the units operating the E&T components, including units of the Statewide workforce development system, if available. FNS is specifically concerned that the lines of communication be efficient and that noncompliance by the participant be reported to the certification unit within 10 working days after the noncompliance occurs;
- (11) The relationship between the State agency and other organizations it plans to coordinate with for the provision of services, including organizations in the Statewide workforce development system, if available. Copies of contracts must be available for inspection;
- (12) The availability, if appropriate, of E&T programs for Indians living on reservations after the State agency has consulted in good faith with appropriate tribal organizations;
- (13) If a conciliation process is planned, the procedures that will be used when an individual fails to comply with an E&T program requirement. Include the length of the conciliation period; and
- (14) The payment rates for child care established in accordance with the Child Care and Development Block Grant provisions of 45 CFR 98.43, and based on local market rate surveys.
- (15) The combined (Federal/State) State agency reimbursement rate for transportation costs and other expenses reasonably necessary and directly related to participation incurred by E&T participants. If the State agency proposes to provide different reimbursement amounts to account for varying levels of expenses, for instance for greater or lesser costs of transportation in different areas of the State, it must include them here.
- (16) Information about expenses the State agency proposes to reimburse. FNS must be afforded the opportunity to review and comment on the proposed reimbursements before they are implemented.

(b) Able-bodied Adults without Dependents (ABAWD)<sup>4</sup>: A State agency interested in receiving additional funding for serving able-bodied adults without dependents (ABAWDs) subject to the 3-month time limit, in accordance with 7 C.F.R. §273.7(d)(3), must include the following for each Federal fiscal year covered by the Combined Plan under WIOA:

- (1) Its pledge to offer a qualifying activity to all at-risk ABAWD applicants and recipients;
- (2) Estimated costs of fulfilling its pledge;
- (3) A description of management controls in place to meet pledge requirements;
- (4) A discussion of its capacity and ability to serve at-risk ABAWDs;
- (5) Information about the size and special needs of its ABAWD population; and
- (6) Information about the education, training, and workfare components it will offer to meet the ABAWD work requirement.

(c) Optional Workfare<sup>5</sup>: State agencies or other political subdivisions must describe in detail in the plan how the political subdivision, working with the State agency and any other cooperating agencies that may be involved in the program, will fulfill the provisions of 7 C.F.R. §273.7(m). If a State opts to operate an optional workfare program or modify an existing optional workfare program, through a Combined Plan under WIOA, it must provide the following:

- (1) State agencies or political subdivisions submitting a workfare plan must submit with the plan an operating budget covering the period from the initiation of the workfare program's implementation schedule to the close of the Federal fiscal year for each year covered by the Combined Plan. In addition, an estimate of the cost for one full year of operation must be

<sup>4</sup> 7 CFR § 273.7(c)(7)

<sup>5</sup> 7 CFR § 273.7(m)

submitted together with the workfare plan for each Federal fiscal year covered by the Combined Plan.

- (2) If workfare plans are submitted by more than one political subdivision, each representing the same population (such as a city within a county), FNS will determine which political subdivision will have its plan approved. Under no circumstances will a SNAP recipient be subject to more than one SNAP workfare program. If a political subdivision chooses to operate a workfare program and represents a population which is already, at least in part, subject to a SNAP workfare program administered by another political subdivision, it must establish in its workfare plan how SNAP recipients will not be subject to more than one SNAP workfare program.

- (d) Voluntary Workfare<sup>6</sup>: State agencies and political subdivisions may operate workfare programs whereby participation by SNAP recipients is voluntary. In such a program, the penalties for failure to comply, as provided in 7 C.F.R. §273.7(f), will not apply for noncompliance. The amount of hours to be worked will be negotiated between the household and the operating agency, though not to exceed the limits provided under 7 C.F.R. §273.7(m)(5)(ii). In addition, all protections provided under 7 C.F.R. §273.7(m)(6)(i) shall continue to apply. Those State agencies and political subdivisions choosing to operate such a program shall indicate in their workfare plan how their staffing will adapt to anticipated and unanticipated levels of participation for each Federal fiscal year covered by the Combined Plan under WIOA. FNS will not approve plans which do not show that the benefits of the workfare program, in terms of hours worked by participants and reduced SNAP allotments due to successful job attainment, are expected to exceed the costs of such a program. In addition, if FNS finds that an approved voluntary program does not meet this criterion, FNS reserves the right to withdraw approval.
- (e) Comparable Workfare<sup>7</sup>: The State agency or political subdivision must provide a description of its program, including a methodology for ensuring compliance with 7 C.F.R. §273.7(m)(9)(ii) for each Federal fiscal year covered by the Combined Plan under WIOA.
- (f) Process<sup>8</sup>: The State agency must submit amendments to the SNAP E&T segment of the Combined Plan for FNS approval at least 30 days prior to the planned implementation in order to receive federal SNAP E&T funding for the activities not covered by the approved Combined Plan.
- (g) Plan Modifications<sup>9</sup>: If FNS determines that the performance of a State agency with respect to employment and training outcomes is inadequate, FNS may require the State agency to make modifications to the State E&T plan to improve the outcomes.

**Funding Disclaimer:** Funds may not be available when SNAP E&T portions of a Combined State Plan under WIOA are approved. FNS's obligation after approving a SNAP E&T plan submitted as part of a Combined State Plan is contingent upon the availability of an appropriation from which payment can be made. Any FNS funding resulting from an approval of a SNAP E&T plan submitted as part of a Combined State Plan is subject to FNS receiving sufficient funds (in the Program Financial Control System for FNS) to fund this and all prior approved SNAP E&T plans submitted as part of a Combined State Plan in their entirety in the time

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<sup>6</sup> 7 CFR § 273.7(m)(8)

<sup>7</sup> 7 CFR § 273.7(m)(9)

<sup>8</sup> 7 CFR § 273.7(c)(8)

<sup>9</sup> 7 U.S.C. 2025(h)(5)(E) as amended by Agricultural Act of 2014 .

*and date order received. Federal reimbursement to States for 50 percent of State administrative expenditures and for participant reimbursements is subject to the above conditions.*

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## **TRADE ADJUSTMENT ASSISTANCE**

There are no program-specific state planning requirements for TAA. If the state includes TAA in a Combined State Plan, the state must incorporate TAA in its responses to the common planning elements in sections II, III, IV, and V of the WIOA State Plan requirements instrument.

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## **JOBS FOR VETERANS STATE GRANTS**

(OMB Control Number: 1225-0086)

The Jobs for Veterans' State Grants (JVSG) are mandatory, formula-based staffing grants to (including DC, PR, VI and Guam). The JVSG is funded annually in accordance with a funding formula defined in the statute (38 U.S.C. 4102A (c) (2) (B) and regulation and operates on a fiscal year (not program year) basis, however, performance metrics are collected and reported (VETS-200 Series Reports) quarterly (using four "rolling quarters") on a Program Year basis (as with the ETA-9002 Series). Currently, VETS JVSG operates on a five-year (FY 2015-2019), multi-year grant approval cycle modified and funded annually.

In accordance with 38 U.S.C. § 4102A(b)(5) and § 4102A(c), the Assistant Secretary for Veterans' Employment and Training (ASVET) makes grant funds available for use in each State to support Disabled Veterans' Outreach Program (DVOP) specialists and Local Veterans' Employment Representatives (LVER) staff. As a condition to receive funding, 38 U.S.C. § 4102A(c)(2) requires States to submit an application for a grant that contains a State Plan narrative, which includes:

- (a) How the State intends to provide employment, training and job placement services to veterans and eligible persons under the JVSG;
- (b) The duties assigned to DVOP specialists and LVER staff by the State; specifically implementing DVOP and LVER duties or roles and responsibilities as outlined in 38 U.S.C. § 4103A and 4104. These duties must be consistent with current guidance;
- (c) The manner in which DVOP specialists and LVER staff are integrated into the State's employment service delivery system or one-stop delivery system partner network;
- (d) The Incentive Award program implemented using the 1% grant allocation set aside for this purpose, as applicable;
- (e) The populations of veterans to be served, including any additional populations designated by the Secretary as eligible for services, and any additional populations specifically targeted by the State Workforce Agency for services from one-stop delivery system partners (e.g., Native American veterans; veterans in remote rural counties or parishes);
- (f) How the State implements and monitors the administration of priority of service to covered persons;
- (g) How the State provides or intends to provide and measure, through both the DVOP and one-stop delivery system partner staff: (1) job and job training individualized career services, (2) employment placement services, and (3) job-driven training and subsequent placement service program for eligible veterans and eligible persons;
- (h) The hire date along with mandatory training completion dates for all DVOP specialists and LVER staff; and,
- (i) Such additional information as the Secretary may require.

## UNEMPLOYMENT INSURANCE

(OMB Control Number: 1205-0132)

The Unemployment Insurance (UI) program requires a State Quality Service Plan (SQSP) on a 2-year planning cycle that is a condition of receipt of administrative funding to administer the program. The SQSP is the State's UI performance management and planning process that allows for an exchange of information between Federal and State partners to enhance the UI program's ability to reflect their joint commitment to performance excellence and client-centered services. A formal two-year SQSP is submitted biennially. On the off years, States may be required to modify the SQSP with additional corrective action plans and narrative if they are failing any new performance measures, and they are required to provide updated budget documents, certifications, and assurances. ETA Handbook No. 336, 18th Edition provides detailed guidance for the preparation and submittal of the SQSP and supplemental guidance is provided in an annual UIPL, issued as UIPL 21-14 for the FY 2015 SQSP. The Social Security Act (SSA) sections 302 and 303 authorize the Secretary of Labor to provide funds to administer the UI program and govern the expenditure of those funds. States that choose the option to include UI in a WIOA Combined State Plan will be required to submit their SQSP through the Combined State Plan process. The SQSP must be prepared in accordance to the instructions in ET Handbook 336, 18th Edition and there are no changes to the established SQSP cycle if a State chose to submit their SQSP through the Combined State Plan process.

(a) Contents of a complete UI SQSP package: A complete UI SQSP package includes the following documents, as described in Chapter 1, ETA Handbook 336, 18<sup>th</sup> Edition:

- (1) *Transmittal Letter*: A cover letter to the appropriate Regional Office (RO) transmitting all the required SQSP documents.
- (2) *Budget Worksheets/Forms*: Budget worksheets/forms and plan for program administration based on projected allocations received from the Federal partner. These forms include Worksheet UI-1 and SF 424, SF 424A and SF 424B. The SF 424A is only required if the State vary the quarterly distribution of base claims activity staff years.
- (3) *The State Plan Narrative*: The State Plan Narrative is a vital element of the SQSP that provides a vehicle for sharing with the Federal partner State-specific efforts that affect the administration of the UI Program. The State Plan Narrative allows the State to describe in a single narrative: a) State performance in comparison to the Government Performance Review Act goals; b) actions planned to correct deficiencies regarding UI programs, UI program reviews and reporting requirements; and c) results of customer satisfaction surveys (optional).
- (4) *Corrective Action Plans (CAPs)*: CAPs are expected as a part of the SQSP when State's annual performance does not meet the established criteria for core measures, Secretary's Standards, UI program, assurances, and other program deficiencies identified in the annual SQSP guidance provided by the Department. The CAP must list both specific milestones for key corrective actions or improvement activities, and the completion date for each milestone.



- (5) *UI Program Integrity Action Plan (UI IAP)*: The UI IAP outlines the strategies the State will undertake during the planning period regarding the prevention reduction and recovery of UI improper payments.
- (6) *Organizational Chart*: The organization chart must conform to the requirement for delivery of service through public employment offices, or such other designated providers as the Secretary may authorize; show the State's configuration from the Governor of the State down to the point of Employment Service and UI customer service delivery; and provide sufficient detail to show each organizational unit involved and the title of the unit manager.
- (7) *SQSP Signature Page*. The State administrator must sign and date the SQSP Signature Page. By signing the Signature Page, the State administrator certifies that the State will comply with all the assurances and activities contained in the SQSP guidelines.

Though a State needs to submit the complete SQSP package on a 2-year cycle, there are certain documents contained in the SQSP package which are required to be submitted by States annually as part of the off-year submission. The documents which are required to be submitted annually are considered a modification to the complete SQSP submitted the previous year. Since funds for State UI operations are appropriated each year, each State is required to annually submit the transmittal letter, budget worksheets, organizational chart and the signature page. The modification may also include CAPs for new identified performance deficiencies, and any required modifications to existing CAPs. Since the UI program is a required one-stop partner, States have the option of including UI in the Combined State Plan authorized by WIOA sec. 103.

(b) Requirements for States electing to include UI in the Combined State Plan: States that elect to include UI in the Combined State Plan must:

- (1) Submit an SQSP in the following manner depending on their timing in the SQSP cycle:
  - (A) If a State is in the first year of their 2-year cycle, a complete SQSP package must be submitted. A complete SQSP package will include the Transmittal Letter, Budget Worksheets/Forms, State Plan Narrative, CAPs (including the milestones and the completion date for each milestone), the UI IAP, Organizational Chart, and the SQSP Signature Page. One of the key goals for the UI program is to ensure that claimants are able to successfully return to work. As such, the SQSP State Plan Narrative must provide a discussion of the plan coordination with other WIOA Combined Plan programs to ensure a coordinated effort and integrated service delivery.
  - (B) If a State is in the second year of the 2-year cycle, the State is required to submit the most recently approved complete SQSP package with a modification that must include the Transmittal Letter, Budget Worksheets/Forms, Organizational Chart, and the SQSP Signature page. The modification may also include CAPs for new identified performance deficiencies, and any required modifications to existing CAPs. The CAP must list both specific milestones for key corrective actions or improvement activities, and the completion date for each milestone.
- (2) Submit the required off-year SQSP components as a modification to the Combined State Plan on the same cycle as the regular SQSP process which must be approved by September 30th each year.

## SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)

(OMB Control No. 1205-0040)

### (a) Economic Projections and Impact

- (1) Discuss long-term projections for jobs in industries and occupations in the State that may provide employment opportunities for older workers. (20 CFR 641.302(d)) (May alternatively be discussed in the economic analysis section of strategic plan.)
- (2) Discuss how the long-term job projections discussed in the economic analysis section of strategic plan relate to the types of unsubsidized jobs for which SCSEP participants will be trained and the types of skill training to be provided. (20 CFR 641.302(d))
- (3) Discuss current and projected employment opportunities in the State (such as by providing information available under §15 of the Wagner-Peyser Act (29 U.S.C. 491-2) by occupation), and the types of skills possessed by eligible individuals. (20 CFR 641.325(c))

### (b) Service Delivery and Coordination

- (1) A description of actions to coordinate SCSEP with other programs. This may alternatively be discussed in the State strategies section of the strategic plan, but regardless of placement in document, must include:
  - (A) Planned actions to coordinate activities of SCSEP grantees with WIOA title I programs, including plans for using the WIOA one-stop delivery system and its partners to serve individuals aged 55 and older. (20 CFR 641.302(g), 641.325(e))
  - (B) Planned actions to coordinate activities of SCSEP grantees with the activities being carried out in the State under the other titles of the Older Americans Act (OAA). (20 CFR 641.302(h))
  - (C) Planned actions to coordinate SCSEP with other private and public entities and programs that provide services to older Americans, such as community and faith-based organizations, transportation programs, and programs for those with special needs or disabilities. (20 CFR 641.302(i))
  - (D) Planned actions to coordinate SCSEP with other labor market and job training initiatives. (20 CFR 641.302(j))
  - (E) Actions to ensure that SCSEP is an active partner in the one-stop delivery system and the steps the State will take to encourage and improve coordination with the one-stop delivery system. (20 CFR 641.335)
  - (F) Efforts to work with local economic development offices in rural locations.
- (2) The State's long-term strategy for engaging employers to develop and promote opportunities for the placement of SCSEP participants in unsubsidized employment. (20 CFR 641.302(e)) (May alternatively be discussed in the State strategies section of strategic plan.)
- (3) The State's long-term strategy for serving minority older individuals under SCSEP. (20 CFR 641.302(c))
- (4) A list of community services that are needed and the places where these services are most needed. Specifically, the plan must address the needs and location of those individuals most in need of community services and the groups working to meet their needs. (20 CFR 641.330)

- (5) The State's long-term strategy to improve SCSEP services, including planned long-term changes to the design of the program within the State, and planned changes in the use of SCSEP grantees and program operators to better achieve the goals of the program. This may include recommendations to the Department as appropriate. (20 CFR 641.302(k))
- (6) The State's strategy for continuous improvement in the level of performance for SCSEP participants' entry into unsubsidized employment, and to achieve, at a minimum, the levels specified in OAA Section 513(a)(2)(E)(ii). (20 CFR 641.302(f))

(c) Location and Population Served, including Equitable Distribution

- (1) A description of the localities and populations for which projects of the type authorized by title V are most needed. (20 CFR 641.325 (d))
- (2) List the cities and counties where the project will be conducted. Include the number of SCSEP authorized positions and indicate where the positions changed from the prior year.
- (3) Describe current slot imbalances and proposed steps to correct inequities to achieve equitable distribution.
- (4) The State's long-term strategy for achieving an equitable distribution of SCSEP positions within the State that:
  - (A) Moves positions from over-served to underserved locations within the State in compliance with 20 CFR 641.365.
  - (B) Equitably serves rural and urban areas.
  - (C) Serves individuals afforded priority for service under 20 CFR 641.520. (20 CFR 641.302(a), 641.365, 641.520)
- (5) The ratio of eligible individuals in each service area to the total eligible population in the State. (20 CFR 641.325(a))
- (6) The relative distribution of eligible individuals who:
  - (A) Reside in urban and rural areas within the State
  - (B) Have the greatest economic need
  - (C) Are minorities
  - (D) Are limited English proficient.
  - (E) Have the greatest social need. (20 CFR 641.325(b))
- (7) A description of the steps taken to avoid disruptions to the greatest extent possible, when positions are redistributed, as provided in 20 CFR 641.365; when new Census or other reliable data become available; or when there is over-enrollment for any other reason. (20 CFR 641.325(i), 641.302(b))

(d) SCSEP Operations

- (1) *Administrative*: describe the organizational structure of the project and how subprojects will be managed, including:
  - (A) identification of the key staff, including the primary responsibilities and the amount of time assigned to the SCSEP grant;
  - (B) Include an organization chart depicting any subgrantees or local affiliates implementing the grant. Include a table with authorized positions for each subgrantee or affiliate, if applicable;
  - (C) describe training that will be provided to local staff;
  - (D) describe how projects will be monitored for program and financial compliance, including audit plans; and
  - (E) describe how the State will manage its providers and how it will transfer participants if new providers are selected to serve in the State.

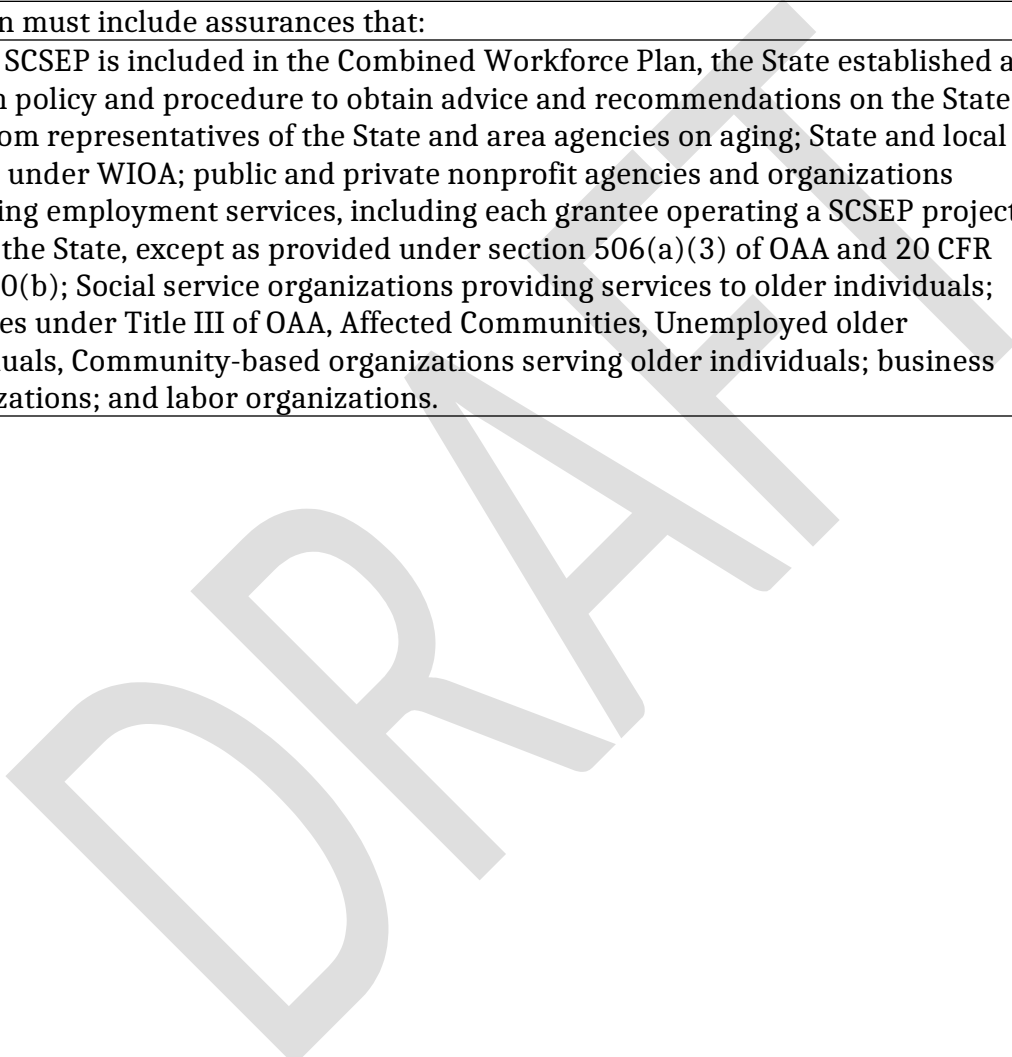
- (2) *Recruitment*: describe how grantee will recruit and select of participants will be achieved. The eligibility of participants is described under 20 CFR 641.500 and 641.525.
- (3) *Income Eligibility*: describe how participant income will be recertified each year, including where eligibility records will be maintained.
- (4) *Orientation*: describe the orientation procedures for:
  - (A) Participants
  - (B) Host Agencies
- (5) *Duration Limits*: describe any policy for maximum duration of enrollment or maximum time in community service and provide a copy of the current Duration Limit policy.
- (6) *Assessments*: describe the procedures for assessing job aptitudes, job readiness, and job preferences of participants and their potential to transition into unsubsidized employment. Also describe how the assessment will be used to develop the participant's Individual Employment Plan (IEP).
- (7) *Community Service Assignments*: describe how the participant will be assigned to community service including:
  - (A) the types of community service activity that will be emphasized and how they were chosen; methods used to match participants with community service training;
  - (B) the extent to which participants will be placed in the administration of the project itself;
  - (C) the types of host agencies used and the procedures and criteria for selecting the assignments;
  - (D) the average number of hours in a participant's training week;
  - (E) the fringe benefits offered (if any); and
  - (F) procedures for ensuring adequate supervision.
- (8) *Training*: describe the training that will be provided during community service assignments and any other types of training provided, including linkages with local one-stop centers, and Registered Apprenticeship.
- (9) *Supportive Services*: describe the supportive services that will be offered to help participants obtain and retain an unsubsidized job, including transportation assistance (if applicable).
- (10) *Termination*: describe procedures for terminating a participant, including Individual Employment Plan(IEP) terminations. Please provide a copy of the current termination procedures.
- (11) *Complaints & Grievances*: describe the procedures for addressing and resolving participant complaints and grievances related to program termination. Please provide a copy of the current complaint/grievance policies.
- (12) *Maximizing enrollment*: describe procedures for fully enrolling all available slots, including over enrolling participants, and how over-enrollments will be balanced with equitable distribution requirements.
- (13) *Performance*: include a proposed level for each performance measure for each of the program years covered by the plan. While the plan is under review, the State will negotiate with the Employment and Training Administration to set the appropriate levels for the next year. The State may also negotiate performance levels in a subsequent modification. 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:

- (A) entered employment,
- (B) employment retention,
- (C) average earnings,
- (D) service level,
- (E) service to most-in-need, and
- (F) community service

(14) *Administrative Costs*: describe any request for an increase in administrative costs consistent with section 502(c)(3) of the Older Americans Act.

**SCSEP ASSURANCES**

The State Plan must include assurances that:	
1.	Where SCSEP is included in the Combined Workforce Plan, the State established a written policy and procedure to obtain advice and recommendations on the State Plan from representatives of the State and area agencies on aging; State and local boards under WIOA; public and private nonprofit agencies and organizations providing employment services, including each grantee operating a SCSEP project within the State, except as provided under section 506(a)(3) of OAA and 20 CFR 641.320(b); Social service organizations providing services to older individuals; Grantees under Title III of OAA, Affected Communities, Unemployed older individuals, Community-based organizations serving older individuals; business organizations; and labor organizations.



## **HOUSING AND URBAN DEVELOPMENT (HUD) EMPLOYMENT AND TRAINING ACTIVITIES**

There are no program-specific state planning requirements for HUD employment and training programs. If the state includes HUD employment and training programs in a Combined State Plan, the state must incorporate such HUD programs in its responses to the common planning elements in sections II, III and IV of the WIOA State Plan requirements instrument.

HUD considers such employment and training activities to include the following: Community Development Block Grant program, Continuum of Care, Family Self-Sufficiency program, Jobs Plus program, and Resident Opportunities and Self-Sufficiency program.

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## **COMMUNITY SERVICES BLOCK GRANT**

(OMB Control Number: 0970-0382)

Note: Below is information about the employment and training activities carried out under the Community Services Block Grant (CSBG) (42 U.S.C. 9901 et seq.) that is included in the WIOA Combined State Plan. The complete CSBG State Plan is submitted directly to the Federal agency that administers that program and is collected under OMB Control Number: 0970-0382.

Where CSBG is included in the Combined State Plan, the State CSBG Lead Agency (as designated by the chief executive of the State under the requirements of section 676(a) of the CSBG Act (42 U.S.C. 9908(a)) will coordinate plans for employment and training activities under CSBG as part of a larger antipoverty and workforce development strategy.

As part of the Combined State Plan, the State CSBG Lead Agency must:

- (a) Describe how the State and the eligible entities will coordinate the provision of employment and training activities through Statewide and local WIOA workforce development systems; and may
- (b) Provide examples of innovative employment and training programs and activities conducted by eligible entities or other neighborhood-based organizations as part of a community antipoverty strategy.

## **REINTEGRATION OF EX-OFFENDERS PROGRAM (RExO)**

*Note: Please note that the Department of Labor has updated the name of the RExO program. This program is now the Reentry Employment Opportunities Program (REO).*

There are no program-specific state planning requirements for RExO. If the state includes RExO in a Combined State Plan, the state must incorporate RExO in its responses to the common planning elements in sections II, III, IV, and V WIOA State Plan requirements instrument.

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## PRA BURDENS TABLE

Please note that the burden calculations for this table have been calculated differently depending on the referenced ICRs. The burdens included below are the same burdens that exist for these programs regardless of whether a state chooses to submit a Combined State Plan.

OMB Control Number	Topic	Estimated Total Burden	Citation for Requirement to Respond
<b>Common Form Elements</b>			
1205-0522	Common Requirements and Program-Specific requirements for: The Adult Program, the Dislocated Worker Program, the Youth Program, the Wagner-Peyser Act Program, the Adult Education and Literacy Program, and the Vocational Rehabilitation Program	3,268 hours	WIOA sec. 102 and 103
<b>Supplemental Collections for Combined Plan Partners' Program-Specific Elements</b>			
1830-0029	Carl D. Perkins Career and Technical Education Improvement Act of 2006 (P.L. 109-270) State Plan Guide	2,240 hours	Sections 122(a)(1) and 201(c) of the Carl D. Perkins Career and Technical Education Act of 2006 (Act), 20 U.S.C. 2301 et seq. as amended by P.L. 109-270, and WIOA sec. 103
0970-0145	Temporary Assistance for Needy Families (TANF) State Plan Guidance	594 hours	42 U.S.C. 602, and WIOA sec. 103
0584-0083	Supplemental Nutrition Assistance Program Operating Guidelines, Forms, and Waivers, Program and Budget Summary Statement	1431 hours <sup>10</sup>	7 CFR 271-274.1, and WIOA sec. 103
1225-0086	Grant Application Requirements for the Jobs for Veterans State Grants Program	1620 hours	38 U.S.C. § 4102A(c) , and WIOA sec. 103.
1205-0132	Unemployment Insurance State Quality Service Plan Planning and Reporting Guidelines	1530 hours	29 CFR 97.40 ET Handbook No. 336 18 <sup>th</sup> Edition, and WIOA sec. 103.
1205-0040	Senior Community Service Employment Program Performance Measurement System	406 hours	20 CFR Part 641, and WIOA sec. 103
0970-0382	Community Services Block Grant (CSBG) Model Plan Applications	112 hours <sup>11</sup>	Section 676(b) of the Community Services Block Grant (CSBG) Act (42 U.S.C. 9908(b)), and WIOA sec. 103.

<sup>10</sup> This number represents estimated average burden for the portion of the SNAP plan that covers programs authorized under section 6(d)(4) and section 6(o) of the Food and Nutrition Act of 2008 only.

<sup>11</sup> This number represents estimated average burden for the portion of the CSBG plan that covers employment and training activities only.