

TEIN 27-93 Attachment A

**THE STATE PLAN FOR EMPLOYMENT AND TRAINING
ASSISTANCE FOR DISLOCATED WORKERS**

State/Commonwealth of

for the period

Program Years PY 1994 and PY 1995

NAME OF GRANTEE :
ADDRESS OF GRANTEE :
DATE OF SUBMISSION :

**INSTRUCTIONS FOR SUBMISSION OF
PY 1994/PY 1995 STATE PLAN FOR
EMPLOYMENT AND TRAINING ASSISTANCE TO DISLOCATED WORKERS**

INTRODUCTION AND BACKGROUND

Planning for Title III for Program Years (PYs) 1994/1995 will take place in an environment characterized by two significant changes from PY 1993:

- 1) Title III funding for PY 1994 has been increased to \$1.118 billion, more than twice the level available in PY 1993, and
- 2) The Department is undertaking a significant review of the dislocated worker system and our collective experiences during the last five years in order to increase customer focus and improve performance of the system.

Increased funding will allow States and substate grantees to take steps to considerably expand and upgrade the quality of services to dislocated workers and to enhance the capacity of the system to provide better services to more customers. The system review is part of an extensive process occurring in close consultation with State and local partners, focusing on increasing performance under existing legislation and ultimately leading to a legislative proposal to be submitted to Congress in 1994 to establish a new comprehensive dislocated worker program for implementation in PY 1995.

As explained in the Training and Employment Information Notice transmitting this attachment, Title III planning activities for PY 1994/1995 are expected to focus on *expanding and improving the quality of services to, and outcomes for, dislocated workers and employers*. The key service and outcome objectives are:

- < **CUSTOMER FOCUS:** Establish a strong capability to identify and meet the needs of the customer;
- < **EXPAND CUSTOMER OPTIONS:** Increase the availability of quality services and the number of qualified providers of such services;
- < **QUALITY OUTCOMES:** Focus on the attainment of quality-based outcomes;
- < **IMPROVE DATA:** Improve the scope, quality and accessibility of data on labor market conditions and providers of services;
- < **INCREASE SYSTEM CAPACITY:** Expand the capacity of the delivery system to serve more workers and improve its capability to provide high quality services to individual workers;

< **IMPROVE EARLY INTERVENTION:** Increase the timeliness of outreach and

intake activities in relation to dislocation events.

The planning process for PY 1994/1995 needs to take these objectives into account in order to make effective use of the additional resources available in PY 1994.

TAT Initiative

To support State efforts to increase program quality and capacity, the Department will make available a limited amount of TAT funds to help finance special TAT projects to be completed by the end of PY 1994. These projects must address one or more of the above program objectives, and must supplement, not supplant, ongoing State TAT activities and responsibilities. TAT activities should be based on a thorough review of the needs of the dislocated worker system.

The Department will consider a State's overall improvement strategy in connection with its request for TAT funds under this special initiative. Procedures for applying for these funds will be described in a forthcoming TEIN.

Within this planning document, States are to describe their ongoing TAT activities, and goals and means for achieving system improvements. The attached State Plan instructions are designed to elicit specific information which indicates the State's current ability to satisfactorily perform its responsibilities under the current Title III program.

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I. EXECUTION OF STATE RESPONSIBILITIES

A. Dislocated Worker Unit

1. Provide a brief description of the organizational structure of the Dislocated Worker Unit (DWU) in your State. This is the entity responsible for the overall administration of the Title III program. An organizational chart should be completed for further clarification of the written description.
2. Describe how State-level management and administration of the Title III system is carried out. Describe how those responsibilities are divided between the DWU and other units of State government.
3. Describe how the State leverages its Title III funds by accessing additional resources, including but not limited to in-kind contributions and other financial assistance.
4. Provide the DWU name, address, and telephone number for employer and citizen inquiries regarding the State's dislocated worker programs or for submission of notices under the Worker Adjustment and Retraining Notification (WARN) Act.

B. Rapid Response

Rapid Response is a state-level responsibility. [Section 311(b)(2)]

1. Describe how the State carries out this responsibility starting with the trigger event and going through to the transition of responsibility for the provision of subsequent services and training to the substate area (SSA) or other program operators. Also explain how the State follows up to determine if all appropriate services are being provided to the dislocated workers in a timely and effective manner.
2. If the State subcontracts all or part of its rapid response responsibilities, identify the entities used by the State to provide rapid response and the specific activities performed by each entity. Describe how the State ensures the activities are appropriately conducted.
3. Identify the criteria used by the State to gauge the effectiveness of rapid response activities. Describe the feedback procedures, surveys, or follow-up which are used with dislocated workers and substate grantees to assess customer satisfaction.
4. Attach a copy of any written rapid response procedures. To whom are they distributed? What training is required or available for Rapid Response Specialists and/or others participating in the rapid response process? [20 CFR 631.30(G)(1)]
5. Describe the procedures employed when there are impediments to the usual rapid response process.

6. Provide information on the staffing resources assigned to the rapid response function. Include information describing how program administrators determine the level of support for this function, both initially and during the course of the period covered by the plan. Also indicate the degree to which this function is carried out and/or overseen by DWU staff or by staff in other units.

C. Promoting Labor-Management Cooperation

The State is responsible for working with employers and labor organizations in promoting labor-management cooperation to achieve the goals of the program. [Sections 311(b)(3)(B), 314(b)(1)(B), 314(b)(1)(C)(i)]

1. Identify or describe actions by the State in promoting labor-management cooperation in the State. In addition to efforts to promote the formation of Labor Management Committees (LMCs) at plant closure or mass layoff sites, identify activities to facilitate early identification of potential plant closings or layoffs.
2. Provide information on the staffing resources assigned to the promotion of labor-management cooperation. Include information describing how program administrators determine the level of support for this function, both initially and during the course of the period covered by the plan. Also indicate the degree to which this function is carried out and/or overseen by DWU staff or by staff in other units.

D. Monitoring, Reporting and Recordkeeping

The State is responsible for operating a monitoring, reporting and management system that provides adequate information to effectively manage, review and evaluate the program. [Section 311(b)(3)(C)]

1. Describe the manner in which the State will conduct monitoring and oversight of activities at both the State and substate levels.
 - a. Describe the monitoring process and procedures utilized at both the State and substate levels such as desk reviews, on-site reviews, review of management issues, program integrity and compliance issues, and program process and procedures. How does the State monitoring process address quality assessment as well as compliance, systems, and integrity issues?
 - b. Describe the areas to be monitored at both the State and substate levels, including service provider selection, procurement, eligibility, reemployment plans, performance standards, etc.
 - c. How does the State ensure that projects funded by Title III National Reserve Account (NRA) and other discretionary programs are monitored for compliance and performance against the plan?
 - d. Describe the State fiscal and participant reporting process including the following:
 - (1) Does the State have written procedures that are distributed to all program operators?
 - (2) How does the State ensure the timely completion and submission of required reports and the adequacy and accuracy of data?

- (3) How is the data collected utilized to effect changes in program policy and procedures?

- (4) How does the State ensure that operators of NRA and other discretionary projects provide timely and accurate data which meets DOL and State reporting requirements?

- e. When problems or deficiencies are indicated, what is the process used by the State to correct such problems?
 - f. Describe, or attach, the State's policies regarding sanctions of substate grantees (SSGs) or project operators with persistent or severe performance deficiencies.
2. Provide information on the staff resources assigned to monitoring, reporting and recordkeeping. Include information describing how program administrators determine the level of support for this function, both initially and during the course of the period covered by the plan. Also indicate the degree to which this function is carried out and/or overseen by DWU staff or by staff in other units.

E. Providing Technical Assistance

The State is responsible for providing technical assistance and advice to substate grantees. [Section 311(b)(3)(D)]

1. Describe State procedures for ensuring that the staff of each substate grantee and project operator is informed and educated on current policies and requirements.
2. Describe State procedures for identifying the technical assistance needs of the substate grantees and other project operators in the State, including information from monitoring, reporting and evaluation activities, and for establishing training and technical assistance priorities.
3. Describe training and technical assistance activities planned to be delivered at the State and substate levels (e.g., case management, assessment, monitoring, staff training, LMC creation, etc.) and the rationale and objectives of these activities. Include a description of system-wide technical assistance as well as technical assistance for individual program needs which are funded with State funds.
4. Provide information on the staffing resources assigned to technical assistance. Include information describing how program administrators determine the level of support for this function, both initially and during the course of the period covered by the plan. Also indicate the degree to which this function is carried out and/or overseen by DWU staff or by staff in other units.

F. Program Coordination

The State unit will exchange information and coordinate programs with --

- the appropriate economic development agency, for the purpose of developing strategies to avert plant closings or mass layoffs and to accelerate the reemployment of affected individuals;
- State education, training, and social services programs;

-- all other programs available to assist dislocated workers (including the Job Service and the unemployment insurance system). [Section 311(b)(5)]

The delivery of services with funds under this program will be integrated or coordinated with services or payments made available under Chapter 2 of Title II of the Trade Act of 1974 and provided by any State or local agencies designated under section 239 of the Trade Act of 1974. [Section 311(b)(10)]

Each State shall be responsible for coordinating the unemployment compensation system and worker adjustment programs. [20 CFR 631.37]

The delivery of services with funds under this program shall be coordinated with programs administered by the Department of Veterans Affairs and with other veterans' programs such as the Veterans' Job Training Act, Title IV-C of the Job Training Partnership Act, and the Transition Assistance Program. [20 CFR 631.37]

Services under this program shall be coordinated with dislocated worker services under Title III of the Carl D. Perkins Vocational Education Act. [20 CFR 631.37(c)]

1. Describe the specific types of activities related to coordination between Title III and other related programs at both the State and substate levels. This should include the provision of information, staff collaboration and support, and delivery of participant services. This should go beyond the simple listing of agreements and collocation/overlapping staff responsibilities.
2. Describe the State's procedures for avoiding duplication of trade readjustment allowances and needs-related payments to individuals eligible for benefits under the Trade Adjustment program.
3. Identify and describe current or proposed projects which are jointly funded by Title III and other programs.
4. Provide information on the staffing resources assigned to coordination. Include information describing how program administrators determine the level of support for this function, both initially and during the course of the period covered by the plan. Also indicate the degree to which this function is carried out and/or overseen by DWU staff or by staff in other units.

G. Information Dissemination

The State is responsible for disseminating information throughout the State on the availability of services and activities under this program. [Section 311(b)(6)]

1. Identify and describe specific actions taken or planned by the State to increase the awareness of the availability of Title III services and the limitations of the program to each of the following:

- Potential Dislocated Workers
- Employers/Organized Labor
- State and Local Economic Development Agencies
- Chambers of Commerce
- Social Service Agencies
- Other

2. Provide information on the staffing resources assigned to information dissemination. Include information describing how program administrators determine the level of support for this function, both initially and during the course of the period covered by

the plan. Also indicate the degree to which this function is carried out and/or overseen by DWU staff or by staff in other units.

H. Substate Structure

In the following table, list by labor market area within the State, the substate areas which have been designated by the State. For **each** substate area, identify the designated substate grantee by name or organization and address and the amount of funds received through formula allocation at the beginning of PY 1994.

LABOR MARKET AREA	SUBSTATE AREA	SUBSTATE GRANTEE	FORMULA ALLOCATION

I. Assessment of Individual Customer Needs

The State shall ensure that substate grantees have the capability to assess dislocated workers for the purpose of referring them to appropriate basic readjustment, education, training, employment and social services. [Sections 313(b)(7)(C) and 313(b)(9)(B)]

1. Describe the State's minimum requirements for assessment of dislocated workers.
2. Describe how the State encourages (e.g., models, guidance) the use of assessment of participants to help determine the most appropriate program activity assignments which would meet the identified needs of each participant. How does the State encourage the preparation of individual readjustment plans for each participant.
3. Describe specific State policies or incentives to encourage individualized assessment and service planning for each participant.
4. Describe specific State policies and procedures to ensure that services to dislocated workers are provided regardless of their residence.

J. Waivers of Cost Limitations

The Governor has the authority to grant a waiver of the minimum expenditure requirement for retraining services to a substate grantee, and has the responsibility for prescribing the criteria for demonstrating the need for such a waiver. [Sec. 315(a)(2)]

1. Describe the State's policy and procedures for granting waivers of the required 50 percent minimum retraining cost requirement. Identify specific criteria used by the State to evaluate requests for waivers.
2. How does the State verify the substate grantee's information supporting the waiver request?

K. Performance Standards and Quality Evaluation

1. Performance Standards. Describe: a) the State's performance standards, including any State developed standards, and the expected level of performance (prior to any adjustment) for each standard; b) the State's methodology for setting performance standards for each substate grantee, including any State developed standards; c) incentives, if any, for exceeding performance standards and incentives for providing training of greater duration to those that require it; and d) any sanctions policy that the State may have for substate grantees who are failing to meet performance standards and assistance provided to such substate grantees. (Section 106(c))
2. Provide information on the staffing resources assigned to this function. Include information describing how program administrators determine the level of support for this function, both initially and

during the course of the period covered by the plan. Also indicate the degree to which this function is carried out and/or overseen by DWU staff or by staff in other units.

L. Displaced Homemakers

If the Governor has determined that services are to be provided to displaced homemakers, describe the basis for the decision. [Section 311(b)(4)]

II. DISTRIBUTION OF FUNDS

- A. Complete the following table indicating the planned distribution of the State's annual allotment. (This will illustrate decisions as of the submittal date of the State plan and is not a budget document to be modified during the period of the Plan.

USE OF ALLOTMENT	AMOUNT OF FUNDS	% OF TOTAL
State Total (PY 1994 Allotment)		100.0
Formula allocation to substate grantees (minimum of 50%)		
Reserve for allocation to substate grantees (maximum of 10%)		
Reserve for Governor's Use: Total of A-E (maximum of 40%)		
A. State administration, technical assistance, coordination (excluding UI)		
B. Statewide, regional or industrywide projects		
C. Rapid response		
D. Coordination between UI and worker adjustment systems		
E. Discretionary allocation for basic readjustment and retraining services based on need		

B. Substate Allocation Formula

Complete the following table to describe the formula used by the State to distribute the funds identified as "formula allocation to substate grantees" in the preceding table among substate grantees.

ALLOCATION FACTOR	WEIGHT ASSIGNED IN FORMULA	DATA SOURCE(S) AND TIME PERIOD
	100.0	

- C. Provide a description of the State's methodology for the reallocation of State and substate level funds.
- D. If the State reserves up to ten percent of its allotment to be distributed among substate grantees on the basis of need:
1. Describe the method to be used to assess the level of need for those funds.
 2. Describe how the State will ensure the **timely** distribution of those funds (i.e., the time between the moment the need for funds is demonstrated and the moment the funds are distributed).
- E. If the State plans to utilize Governor's reserve funds for discretionary allocations for basic readjustment and retraining services to provide additional assistance to areas that experience substantial increases in the number of dislocated workers (Line E on the chart):
1. Describe the process to be used to identify areas eligible for such funds.
 2. Describe how the State will ensure the **timely** distribution of its discretionary funds (i.e., the time between the moment the need for funds is demonstrated and the moment the funds are distributed).
 3. How does the State ensure that an adequate amount of Governor's reserve funds are retained to cover unforeseen dislocations in the State?
- F. Describe the State's procedures to identify funds for recapture by the Secretary at **both** the State and substate levels pursuant to Section 303(b) and how such procedures will ensure the equitable recapture of such funds in the event the State is subject to reallocation based on underexpenditure of formula funds. [Section 303(d) and 20 CFR 631.33]
- G. Statewide, regional, or industrywide projects (Line B on the chart).
1. Describe activities undertaken by the State with funds reserved by the Governor to support Statewide, regional, or industrywide projects. (Section 314(d) and §631.31(a)) Include a description of the procedures by which the State distributes such funds, including application procedures; targeted groups, industries, activities or regions; and an identification of eligible applicants.
 2. Discuss how the State implements the following activities:
 - (a) Activities authorized at Section 314(h) (services for individuals who work at a facility at which the employer has made a public announcement that the facility will close); and
 - (b) Activities required by Section 250(b)(2)(C) of the Trade Act (rapid response and basic readjustment services for workers for whom

the Governor has issued a preliminary finding that the workers were adversely affected by the North American Free Trade Agreement (NAFTA)).

(c) Activities funded under Title III to support implementation of UI profiling and provision of reemployment services to workers who must participate to maintain their continuing eligibility for unemployment benefits.

3. Provide information on the staffing resources assigned to this function. Include information describing how program administrators determine the level of support for this function, both initially and during the course of the period covered by the plan. Also indicate the degree to which this function is carried out and/or overseen by DWU staff or by staff in other units.

III. PROGRAM IMPROVEMENT STRATEGIES

By the end of PY 1994, States are expected to make program enhancements which are supportive of the key service and outcome objectives which have been established by the Employment and Training Administration for the delivery of services to dislocated workers. For PY 1994 planning, States will be required to assess their current capabilities and to develop strategies for improving their capability according to seventeen dimensions related to ETA's six priority objectives.

The six objectives and seventeen related dimensions of performance are:

< **Customer Focus**

- (1) Availability of comprehensive services needed by dislocated workers in each service area;
- (2) Access to employment opportunities which are responsive to employment and earnings needs of workers;
- (3) Provision of services tailored to individual objectives and needs of each worker;

< **Expand Customer Options**

- (4) Multiple sources of services and training to provide options for each worker;
- (5) Availability of income support for those needing it to undertake and complete required training;
- (6) Coordination of program services among substate grantees in the same labor market area;
- (7) Interagency/interprogram efforts to coordinate activities and resources;

< **Quality Outcomes**

- (8) Employer/private sector involvement in the design of programs and selection of occupational training;
- (9) Use of customer satisfaction and other measures to evaluate program quality;

< **Improve Data**

- (10) Accessible and useful information on employment opportunities and requirements, and service/training opportunities;
- (11) Available information and assistance to help workers make good choices regarding career and employment objectives;

(12) Collection and use of customer feedback information to improve program responsiveness;

(13) Use of monitoring, fiscal, and participant data in improving program design and operation;

< **Increase System Capacity**

(14) Ensuring adequate knowledge and expertise of State and substate staff;

(15) Technical assistance to State and substate level staff;

< **Improve Early Intervention**

(16) Timeliness of contact and assistance to workers and employers through Rapid Response;

(17) Customer satisfaction with assistance provided through Rapid Response.

By July 1, 1994, States will be required to provide an assessment of the current effectiveness of the State's Title III delivery system on each of these seventeen dimensions; and to identify priority program enhancement actions to be completed during PY 1994. Specific guidance on this submission will be forthcoming.

For the May 1 plan submittal, the State must identify the goals/standards which it will use to assess the effectiveness of current and future delivery system capability for each of the seventeen dimensions listed above.

IV. PERFORMANCE GOALS

Describe the statewide performance goals set for the State and how performance in meeting these goals will be measured. Identify and discuss other performance measures which the State may consider in establishing performance goals in the future. There is one national performance standard, which is the entered employment rate. Performance goals can be qualitative, such as increasing customer satisfaction. Alternatively, the goals can be quantitative, such as follow-up entered employment rate, follow-up average hourly wage, percentage of terminees receiving retraining of 26 weeks or more, wage recovery rate of 80 percent or more of previous earnings.

V. ASSURANCES

The State/Commonwealth of _____ assures that:

1. It will comply with all statutory and regulatory requirements of the Job Training Partnership Act and the Economic Dislocation and Worker Adjustment Assistance Act.
2. Services under this grant will only be provided to eligible dislocated workers.
3. Services will not be denied on the basis of State of residence to eligible dislocated workers displaced by a permanent closure or substantial layoff within the State.
4. Services to displaced homemakers will not adversely affect the delivery of services to eligible dislocated workers and that services are provided in conjunction with ongoing programs for all dislocated workers.
5. Any program under Title III serving a substantial number of members of a labor organization will be established only after full consultation with such labor organization.
6. It will not prescribe any Title III performance standards which are inconsistent with the parameters set annually by the Secretary pursuant to Section 106(e) of JTPA, and that it will apply the standards in accordance with Section 311(a) of JTPA with regards to incentives.
7. Substate plans are made available for public review and comment, including by the Private Industry Council and the local elected official(s), and that such comments are considered by the State in its review and approval of the substate plans.
8. It has the capability to maintain accurate and timely participant and financial records as required by JTPA, and to submit complete, accurate and timely reports as specified by the Secretary.
9. It will conduct, at least once annually, a comprehensive review and verification of financial management, procurement systems, participant data, and subrecipient monitoring procedures and systems of each substate grantee and State project operator to verify compliance of these procedures with the provisions of JTPA and Title III.

Signature of Governor or Governor's Designee	Title
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Name and Address of Grantee	Date Submitted
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VI. CERTIFICATIONS

A. Signature

The State plan must contain the Governor's signature or the signature, name and title of his/her designee.

Under Section 317(3), the SJTCC is to review the plan and comment on it prior to its submission to the Secretary. The plan must include a statement indicating that the SJTCC has reviewed the plan. A copy of the comments of the SJTCC must be attached to the Plan.

B. Mailing Address

States are to submit three copies of the State Plan, each with an original signature of the Governor or his/her designee to:

Administrator
ATTN: Title III Plans
Office of Work-Based Learning
U.S. Department of Labor
Employment and Training Administration
Room N-4649
200 Constitution Avenue, N.W.
Washington, D.C. 20210

Also, a copy of the State Plan must be sent to the appropriate ETA Regional Office.

VII. Modification to State Plan

Any plan submitted under Section 311(a) of JTPA, as amended, may be modified to describe changes in or additions to the programs and activities set forth in the Plan, except that no such modification shall be effective unless reviewed and commented on by the SJTCC pursuant to Section 317(3), and reviewed and approved by the Secretary pursuant to §631.36(d) and (e) of the regulations.