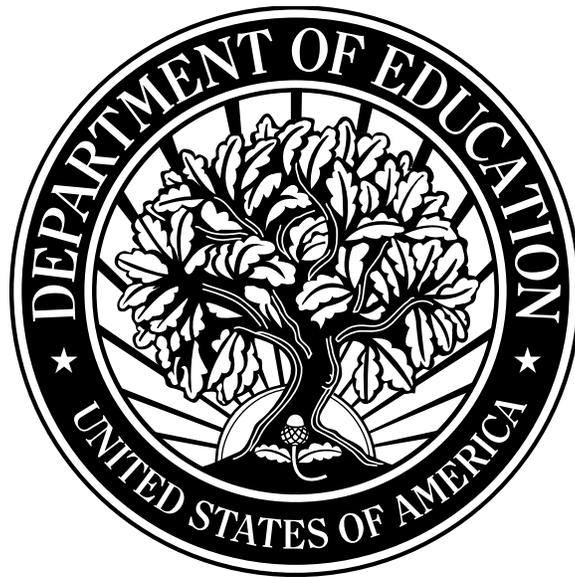


**Vocational Rehabilitation Services  
and  
Supported Employment Services  
Programs**

**Federal FY 2018 Monitoring and  
Technical Assistance Guide**



**U.S. Department of Education  
Office of Special Education and  
Rehabilitative Services  
Rehabilitation Services Administration  
State Monitoring and Program Improvement  
Division**

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# **I. The Federal Mandate and Scope of the Review**

## **A. The Federal Mandate**

Section 107(a) of the Rehabilitation Act of 1973 (Act), as amended by title IV of the Workforce Innovation and Opportunity Act (WIOA), requires the Commissioner of the Rehabilitation Services Administration (RSA) to conduct annual reviews and periodic on-site monitoring of programs authorized under title I of the Act to determine whether a vocational rehabilitation (VR) agency is complying substantially with the provisions of its State Plan under section 101 of the Act and with the evaluation standards and performance indicators established under section 106 of the Act, which are subject to the performance accountability measures in section 116(b) of WIOA and 34 CFR part 361, subpart E. To fulfill, in part, this requirement, RSA has developed this Monitoring and Technical Assistance Guide (MTAG), through which it will provide technical assistance to, and review the progress of, VR agencies toward compliance with new requirements under the Act, as amended by WIOA, and assess improvements in the performance of the VR program as well as compliance with pertinent Federal programmatic and fiscal requirements.

## **B. Scope of the Review**

### **1. General**

With the signing of WIOA into law on July 22, 2014, section 506(d) of WIOA made clear that the amendments to the Act took effect on the date of enactment (July 22, 2014), unless WIOA specified otherwise. As a result, RSA temporarily suspended its monitoring of the VR and Supported Employment programs in Federal fiscal year (FFY) 2014 until regulations implementing the changes to the Act made by WIOA became effective. The final implementing regulations were published in the Federal Register on August 19, 2016 (81 FR 55629), and became effective on September 19, 2016. Consequently, the State Monitoring and Program Improvement Division (SMPID) will review all States during the five-year monitoring cycle (FFY 2017 through FFY 2021). SMPID reviewed VR agencies in 10 States in FFY 2017, plans to review VR agencies in 12 additional States in FFY 2018, and roughly an equal number of the remaining States in each of the fiscal years remaining in the cycle. (Note: “States,” as referenced in this MTAG encompasses the territories.)

The specific programs covered by this MTAG include:

- The VR program, established under title I of the Act; and
- The Supported Employment program, authorized under title VI of the Act.

### **2. Focus Areas**

In its monitoring of the VR and Supported Employment programs, SMPID will use five focus areas when reviewing the performance and compliance of each agency. These focus areas cover:

- Performance of the VR and Supported Employment programs, including competitive integrated employment outcomes;

- Transition services and employment outcomes for youth with disabilities, including pre-employment transition services for students with disabilities;
- Supported employment for individuals with the most significant disabilities, including youth with the most significant disabilities;
- Fiscal integrity of the VR and Supported Employment programs; and
- Progress of VR agencies toward implementing certain requirements under title I of WIOA governing unified and combined planning, performance accountability, and the one-stop service delivery system.

The nature and scope of, along with the activities to be conducted under, each focus area is contained in Sections III, IV, V, VI, and VII, respectively, of this MTAG. As a result of the activities reviewed in each of the focus areas, teams may identify:

- Strategies used by VR agencies to improve competitive integrated employment outcomes, and provide pre-employment transition services to students with disabilities and supported employment services, including extended services, to youth with the most significant disabilities;
- Recommendations to improve the performance of the VR and Supported Employment programs;
- Compliance findings and corrective actions to resolve the findings;
- The need for technical assistance that will enable VR agencies to improve performance or carry out corrective actions; and
- The need for additional technical assistance.

### **3. Other Areas of Review**

In general, review teams will conduct monitoring activities related only to those areas of review described in subsection 2 above. However, teams may, after consulting with the VR agency and SMPID management, engage in monitoring activities directed toward the review of areas not covered through the application of this MTAG, if such areas are of significant concern and the VR agency would benefit from the provision of technical assistance through the monitoring process.

### **C. Technical Assistance**

To ensure the technical assistance needs of VR agencies are met with quality and timely technical assistance services, RSA created a series of training and technical assistance centers and demonstration projects. The purpose of this coordinated technical assistance service delivery model is to assist VR agencies and their partners in providing VR and other services to individuals with disabilities. Each technical assistance center focuses its efforts on a specific set of topics designed to provide universal, targeted, and intensive technical assistance for the purpose of improving services to individuals with disabilities to maximize their employment, independence, and integration into the community and the competitive integrated labor market.

To support this effort, the SMPID review teams will share with the RSA Training and Service Programs Division (TSPD), responsible for the administration of the technical assistance centers, technical assistance needs of the VR agencies and feedback from the agencies about the quality

of the technical assistance provided by the RSA-funded technical assistance centers. In turn, TSPD project officers will share information with the SMPID review teams about the intensive and targeted technical assistance provided by the technical assistance centers to the VR agencies. This exchange of information will occur through regular updates of technical assistance center activities and focused updates on the VR agencies monitored during the fiscal year. VR agencies receiving intensive or targeted technical assistance may, at their discretion and in coordination with the technical assistance centers, involve center staff in the stages of the monitoring process described below.

## II. Overview of the Process

### A. Selection of States

Each fiscal year during the monitoring cycle, SMPID will select approximately 10 States for monitoring using an accountability model (see Appendix A). However, some States may have more than one VR agency being reviewed. To monitor the VR program in a manner consistent with section 107 of the Act, as amended by WIOA, and the Department of Education's (Department) policies, SMPID developed this accountability model to enable it to carry out monitoring activities while increasing the effective use of its resources to administer the VR program. The model is consistent with guidelines set forth in the Department of Education Grant Bulletin 14-06, "Policy, Guidance, and Responsibilities for Principal Office Monitoring Frameworks for Formula Grant Programs," dated April 28, 2014. The accountability model used to select States for FFY 2018 monitoring is comprised of five programmatic and two fiscal factors, for a total of seven performance indicators, as follows:

- The State percentage of individuals determined eligible for the VR program who received services;
- The State percentage of individuals determined eligible for the VR program who received VR services and achieved employment;
- The State percentage of individuals determined eligible for the VR program within 60 days after the date of application;
- The State percentage of individuals determined eligible for the VR program whose individualized plans for employment (IPE) were signed within 90 days after the determination of eligibility;
- The State median weekly earnings of individuals who received services and achieved competitive integrated employment outcomes;
- The amount of the State formula award allotment for the VR program as a percentage of the total Federal appropriation for the VR program; and
- The State percentage of the required non-Federal share (match) provided for the VR program based upon the State's formula award allotment.

SMPID will assign each State an overall accountability score of one to five derived from scores on the seven individual factors according to established scoring thresholds. Generally, SMPID will schedule those States with higher overall accountability scores for monitoring earlier in the FFY 2017 through FFY 2021 cycle. Because of the significant programmatic and fiscal changes to the VR and Supported Employment programs resulting from the amendments to the Act made by WIOA, SMPID will conduct comprehensive monitoring of all States through the implementation of each focus area in this MTAG. In addition, SMPID may conduct targeted monitoring through the implementation of select focus areas if warranted by the scores on the individual accountability factors. SMPID may conduct this targeted monitoring on-site or through virtual means, such as teleconferences and video conferences, as warranted by the issues covered in the monitoring.

To the extent possible when applying the accountability model, SMPID will choose from general and blind or combined VR agencies as appropriate from across the geographic regions of the

United States. If a State has established a general and a blind VR agency for providing VR services, SMPID will review both VR agencies in the same fiscal year. In such instances, SMPID will issue a separate report to each agency.

Circumstances also may require SMPID to provide substantial technical assistance to meet specific and pressing VR agency needs as opposed to a second full monitoring review. These circumstances include, but are not limited to, requests from VR agencies for more immediate assistance, the identification of issues requiring prompt attention from SMPID, or the adverse impact on a VR agency's operations resulting from catastrophic natural disasters.

## **B. Duration of the Monitoring Process**

SMPID will begin the monitoring process for the VR agencies under review upon the issuance of the MTAG for each fiscal year and conclude all on-site visits by September 30. However, the monitoring process for each VR agency under review is not intended to last the length of the entire fiscal year. Review teams and the VR agencies will discuss and agree as to when to begin the monitoring process at a time in the year that is most convenient for the teams and the VR agencies. The process includes all preparation and planning, the conduct of an on-site visit, and the development and issuance of draft and final monitoring reports.

## **C. Stages of the Monitoring Process**

### **1. Planning and Preparation**

The review teams will contact each VR agency selected for a monitoring review in FFY 2018, when appropriate, to begin planning monitoring activities. At this time, the review teams will:

- Introduce the team member who will lead the review and the other members of the team who will participate in the on-site review;
- Jointly with the VR agencies, select dates for the on-site visits;
- Identify stakeholders who may participate in the review as appropriate, including State Rehabilitation Council (SRC) members, the Client Assistance Program, and Community Rehabilitation Programs (CRPs); and
- Contact representatives of the technical assistance centers to notify them of on-site review dates.

In preparation for the on-site visits, the review teams will conduct teleconferences as determined by the review teams and VR agencies to:

- Discuss the monitoring process and the substance of the focus areas included in this MTAG with VR agency management;
- Identify any outstanding technical assistance needs;
- Gather information pertinent to the focus areas of the review from representatives of the VR agency, SRC and Client Assistance Program, as appropriate; and
- Develop the agenda with VR agency management and personnel.

Additionally, the teams will review documents requested from the VR agencies related to each of the focus areas prior to the on-site visits. These documents may include, but are not limited to:

- Policies and procedures related to transition and pre-employment transition services as well as supported employment services;
- Fiscal information;
- Sample monitoring reports of VR agency contractors; and
- Written third-party cooperative arrangements if used by the VR agency to obtain matching funds.

The review teams will use the information obtained from these documents, analyses of programmatic and fiscal data, and the teleconferences described above to identify, in collaboration with the VR agencies, on-site activities and develop the agendas. The review teams will make every effort to maximize the opportunity to prepare for and conduct substantive review activities prior to the on-site visit.

## **2. On-site Activities**

The review teams will schedule the on-site visits with each VR agency, accommodating as much as possible the schedules of VR agency management and personnel. The on-site review teams will be comprised of at least three members from the review team (two program specialists and one fiscal specialist) and will engage in a variety of on-site activities, including, but not limited to:

- A brief entrance meeting to introduce review team participants and VR agency management and personnel, and to review the on-site agenda;
- Activities related to the focus areas covered by this MTAG;
- The identification by the VR agency of procedures, practices, or strategies, which may involve site visits or meetings with key personnel related to these activities;
- The identification of ongoing technical assistance needs; and
- An optional, brief wrap-up meeting to discuss the next steps in the process, schedule the date and time of the follow-up teleconference (see below) and solicit input from VR agency management and personnel and other participants in the review concerning the conduct of preparation and on-site activities.

On-site activities may include site visits to schools, CRPs, or other area offices necessitated by the review of the focus areas. These visits will generally occur within the surrounding geographic area of the State capitol, or the city in which the VR agency's primary administrative office is located.

The review team or the designated State unit director may invite VR agency management and personnel, the leadership of the designated State agency, and the chairperson of the SRC to participate in both the entrance and, if one is scheduled, the wrap-up meeting. The wrap-up meeting is optional, and staff from the designated State agency or designated State unit are not required to attend, but may attend upon invitation as deemed appropriate by the VR agency director.

Sections III through VII of this MTAG specify other individuals with whom the review teams may engage in discussions germane to the focus areas during the on-site visit, including:

- VR agency supervisors and counselors;
- State educational agency and local school district staff responsible for providing VR services to students or youth with disabilities, particularly those students receiving pre-employment transition services or supported employment services;
- The designated State agency director;
- Other staff from the designated State agency responsible for fiscal or administrative oversight;
- Commissioners of agencies for the blind or other stand-alone VR agencies;
- Representatives of CRPs, specifically those contracted to provide pre-employment transition services to students with disabilities or supported employment services, including extended services, to youth with the most significant disabilities; and
- State auditors.

In some cases, an on-site visit to the VR agency may not be possible. RSA review teams will conduct the monitoring review using all other methods described in this MTAG, including the expanded use of teleconferencing and document requests. Review teams will discuss with VR agencies how best to maximize resources under these circumstances to conduct the monitoring and provide technical assistance in accordance with section 107 of the Act and this MTAG.

### **3. Follow-up Activities**

Subsequent to the on-site visits, the review teams may require further documentation from the VR agencies to supplement information obtained prior to or during the visits. Additional teleconferences may also be necessary to clarify any outstanding questions or concerns the teams have or to gather further detail about a particular issue.

Within 20 business days after the end of the on-site visits and any follow-up activities, review teams will conduct a teleconference with VR agencies and other appropriate stakeholders to discuss preliminary program and fiscal observations and potential findings. Potential findings may require review by the Department's Office of the General Counsel, and hence may not be fully developed or available to share at this time. During this teleconference review teams may also discuss any technical assistance needs and performance trends identified during the on-site visit.

### **D. The Draft Report**

The review teams will develop draft reports that contain:

- A description of the technical assistance provided during the reviews;
- Analysis, observations, and recommendations to improve performance pertaining to each of the focus areas; and
- Programmatic and fiscal compliance findings, as warranted, and corrective actions to resolve these findings.

Review teams will complete and provide the draft monitoring reports to the VR agencies once the draft reports have completed internal review by RSA and, as needed, relevant departmental or inter-departmental review. Every effort will be made to provide draft monitoring reports in a timely manner. VR agencies will then have 20 business days to submit written responses to the draft reports directly to the teams responsible for developing reports, unless extenuating circumstances require an extension. VR agencies must request any extension of this period by submitting a written justification to the review teams, which will notify the VR agencies if, and for how long, the requests are approved. The VR agency responses should include:

- Identification of factual errors;
- Responses to any programmatic or fiscal recommendations, compliance findings, and corrective actions;
- Supporting documentation or data as needed to substantiate VR agency responses; and
- Requests for technical assistance to assist the agency to carry out the recommendations and corrective actions identified in the draft reports.

The review teams may engage in discussions with the VR agency management and personnel to assist the agencies with developing the responses to the draft reports. In addition, the review teams may conduct teleconferences with the VR agencies to clarify information included in the VR agency responses and request additional documentation to support statements made in the responses. Preliminary discussions may also occur at this time between the agencies and the review teams as to whom they believe will best be equipped to provide any technical assistance that is identified as a result of the review.

## **E. The Final Monitoring Report**

Based on the information VR agencies provide in response to the draft reports, the review teams will develop the final monitoring reports, making any corrections as needed. The review teams may also modify or eliminate an observation, recommendation, compliance finding, or corrective action after consulting with SMPID management and the Office of the General Counsel as warranted.

In addition to the information included in the draft reports, the final reports will contain the VR agency responses to the drafts and the requests for technical assistance that will enable the agencies to carry out the recommendations and corrective actions. Documentation or exhibits the VR agency submits in support of responses to the draft report will be included in the final report at RSA's discretion. Review teams may request additional assurances or documentation from the VR agencies in connection with programmatic or fiscal findings. The final reports will indicate when such material is required.

Once completed, the review teams will provide electronic copies of the final reports to the VR agencies and the SRCs. SMPID will then publish the reports on the RSA website, and the teams will notify the VR agencies, SRCs, technical assistance center representatives, and other stakeholders involved in the review process of the location of the reports on the website.

## **F. Corrective Action Plans**

Within 30 business days from the issuance of the final reports, VR agencies, jointly with the review teams, will develop corrective action plans (CAP) to address any compliance findings identified through the monitoring process. RSA does not expect that compliance findings will be resolved in 30 business days, but that VR agencies will develop a plan to address the compliance issues identified in the final report. To enable the VR agencies to more easily develop the plans and to promote consistency in the information they contain, all CAPs will be developed, approved, and tracked through RSA's website. The content of the CAPs will include:

- Programmatic or fiscal findings as stated in the final report;
- Corrective actions required to resolve the findings contained in the final reports;
- Specific steps the agencies will take to complete the corrective actions;
- Timelines within which the agencies expect to complete each step of the corrective actions; and
- Target dates for resolution of the findings.

Review teams will transmit to VR agencies instructions for the submission of their CAPs through the RSA website. Once the CAPs are approved and implemented, VR agencies will utilize the RSA website to provide quarterly progress reports on implementing the CAPs. VR agencies should plan to submit the first CAP progress report no later than 20 business days after the end of the first full quarter following the approval of the CAP, and then 20 business days after each subsequent quarter is concluded, until all corrective actions are completed and the CAP is retired.

## **G. Involvement of Consultants in the Review Process**

It is within the discretion of the VR agencies to involve contracted consultants, not associated with the technical assistance centers, in any or all stages of the review process, including the exchange of information and conduct of teleconferences/video conferences in preparation for the on-site visit, meetings held on-site, follow-up teleconferences, the development of draft reports and responses to those reports, as well as the development of CAPs. Nonetheless, the review teams will direct all communication to VR agency management and staff, as well as to Technical Assistance Center representatives and other stakeholders when appropriate, and not to the consultants. It is the VR agency's responsibility to share information with the consultants throughout the course of the review as they deem necessary and consistent with their involvement.

## **H. Evaluation of the Review Process**

All participants in the Federal FY 2018 monitoring process, including VR agency management and personnel, SRC members, the Client Assistance Program personnel, Technical Assistance Centers, and other stakeholders, may, at any point in the monitoring process, provide written comment and suggestions for improvement of the review process to RSA.

### **III. Focus Area – Performance of the Vocational Rehabilitation Program**

#### **A. Nature and Scope**

Through implementation of this focus area, the Rehabilitation Services Administration (RSA) will assess the achievement of quality employment outcomes by individuals with disabilities served in the Vocational Rehabilitation (VR) program by conducting an in-depth and integrated analysis of core VR program data and review of individual case service records. The analysis will be based on a review of the programmatic data contained in Tables 1 through 9 described below, and found in Appendix C of this Monitoring and Technical Assistance Guide (MTAG). The data used in the analysis are those collected and reported by VR agencies based on Policy Directive 14-01, which was implemented prior to changes in reporting requirements in section 101(a)(10) of the Rehabilitation Act of 1973 (Act) made by the Workforce Innovation and Opportunity Act (WIOA), as well as the establishment in title I of WIOA of common reporting requirements and performance indicators for all core programs in the workforce development system, including the VR program.

The analysis is intended to serve as a broad overview of the performance of the VR program administered by each VR agency. It should not be construed as a definitive or exhaustive review of all available VR program data. The data tables generally measure performance based on individuals who exited the VR program during the most recently completed three-year period for which data are available. Consequently, the tables will not provide complete information that could otherwise be derived from examining open service records. The analysis will not necessarily capture all possible programmatic trends.

The analysis covers the data in Tables 1 through 9 describing the number of individuals participating in the various stages of the VR process; the number and quality of employment outcomes; the services provided to eligible individuals; the types of disabilities experienced by individuals receiving services; and the amount of time individuals are engaged in the various stages of the VR process, including eligibility determination, development of the individualized plan for employment (IPE), and the provision of services. RSA also will review policies and procedures related to internal controls necessary for the verification of data.

Through its monitoring, RSA will examine the relationship of these data elements to each other in order to form its analysis. For example, RSA will assess the effect of the services provided to eligible individuals and the employment outcomes they achieve as measured by hours worked, earnings, and the receipt of other benefits. Also, the examination of data related to the percentage of individuals with disabilities served with particular types of impairments may be indicative of decisions made by VR agency management based on the results of the Statewide assessment and other information and may be reflected in the services provided and the outcomes achieved. These are just two of the areas RSA may explore as a result of its review of the data used to construct the analysis that will appear in the final report.

In addition to data tables, the review teams will use a variety of other resources to better understand the performance trends indicated by the outcomes measured. Other resources may include, but are not limited to:

- Agency policies and procedures related to the provision of transition and pre-employment transition services, competitive integrated employment, and supported employment services; and
- Description L in the VR services portion of the program year 2016 Unified or Combined State Plan describing goals and priorities pertaining to the performance of the VR program.

The review teams will share the data with the VR agency prior to the on-site visit and solicit information throughout the review process explaining the performance trends demonstrated by the data. Specifically, the review teams may meet with:

- The VR agency director;
- VR agency managers and supervisors;
- VR counselors;
- VR agency personnel; and
- Representatives of the State Rehabilitation Council (SRC), the Client Assistance Program, and other VR program stakeholders.

In addition to a review of the RSA-911 and RSA-113 data the VR agency provides, RSA will also conduct a review of individual case service records. RSA will provide guidelines to the VR agency prior to the on-site visit. The review teams will discuss the selection of service records with each VR agency, which may vary by agency as each is unique in the method it uses to maintain records. RSA will use the information obtained through the review of service records to assess a VR agency's internal controls for the accuracy and validity of RSA-911 data.

The review of the data contained in Tables 1 through 9, along with information obtained during the course of the monitoring activities regarding strategies engaged in by the VR agency, such as collaborations with other public agencies, community rehabilitation programs, and employers, that led to improved performance, or information concerning barriers to program improvement, will form the basis for RSA's analysis. As a result of its analysis and discussions with key VR agency officials and personnel, RSA will develop recommendations intended to assist the VR agency in its efforts to improve identified areas of programmatic performance. Compliance findings will not be generated by the analysis unless RSA finds that policies or procedures reviewed in conjunction with the performance analysis are not consistent with Federal requirements governing the VR program. The VR agency will report to the review team progress toward implementation of the recommendations developed following discussions with the team and contained in the monitoring report.

RSA will not have performance accountability data defined in section 116(b) of WIOA in FY2018. However, the review teams will provide technical assistance on the WIOA joint performance accountability measures established in section 116(b) of WIOA. The review teams and VR agencies will use available data to discuss the potential effect of the joint performance accountability measures on the State and agency level performance.

RSA may provide additional technical assistance to a VR agency during the course of monitoring that will enable it to improve programmatic performance. RSA will describe this technical assistance in the monitoring report. The VR agency also will identify technical assistance needs resulting from the development of recommendations for program improvement.

## **B. Performance of the VR Program- Case Status Information, Outcomes, and Quality of Employment Measures**

The data contained in Tables 1 and 2a, 2b, and 2c provide a broad overview of the VR agency's performance during FFYs 2015, 2016, and the first three quarters of 2017, with particular attention given to the number and quality of outcomes achieved by individuals with disabilities in the State. Additionally, the data depict the number of individuals who were determined eligible for VR services, who were placed on a waiting list due to implementation of an Order of Selection (OOS), and who received services through the VR program. The data used in Table 1 were provided by the VR agency to RSA on the Quarterly Cumulative Caseload Report (RSA-113). The data provided in Tables 2a, 2b, and 2c were provided by the VR agency to RSA on the Case Service Report (RSA-911). The RSA-113 report is a quarterly submission that provides cumulative information at the end of the Federal fiscal year. The data from the RSA-113 cover both open and closed cases as reported to RSA at the end of the Federal fiscal year. The RSA-911 contains only information on cases closed during the Federal fiscal year covered by the report and does not include information related to those cases remaining open in the next Federal fiscal year.

The FFY 2017 RSA-911 data are not directly comparable to the FFY 2015 and 2016 RSA-911 data. The FFY 2017 data capture information on individuals whose service records were closed between October 1, 2016 and June 30, 2017, whereas the FFY2015 and 2016 data capture information on individuals whose service records were closed between October 1 and September 30. VR agencies began reporting information for individuals whose service records are open beginning with Program Year (PY) 2017, which began on July 1, 2017.

### **The VR Process**

**Resource:** Program Performance Data Table 1 Summary Statistics from RSA 113: FFYs 2015-2017, and Program Performance Data Tables 2a, 2b, and 2c Agency Case Status Information, Exit Status, and Employment Outcomes—FFYs 2015–2017

Review the data contained in Tables 1, 2a, 2b, and 2c to evaluate trends in the VR process, including: the total number of applicants over the FFYs 2015–2017 period, the number of individuals determined eligible, the number of individuals with an IPE who were receiving services, and the percentage of individuals who were determined eligible and were not receiving services. Also review the data describing the number of individuals who were on an OOS waiting list at the end of FFYs 2015, 2016, and 2017. Finally, review the data related to the different reasons individuals exit the VR program after application, the determination of eligibility, development of the IPE, and service delivery.

## Questions:

1. Identify trends in the number of total applicants demonstrated by the data for the FFYs 2015–2017 period shown in Table 1 and any justification for the trends.
2. Identify trends in the total number of eligible individuals that can be discerned from FFYs 2015–2017 data shown in Table 1 and compare to the number of applicants over the same time frame.
3. Is the VR agency on an OOS? If so, describe any changes in how many individuals were on the waiting list at the end of each year. Identify the factors the VR agency indicates may be responsible for the trend in OOS waiting list data and request that the VR agency explain and quantify the effect of any factors that may have increased or decreased the OOS waiting list.
4. If the VR agency is not on an OOS, is the VR agency considering implementing an OOS and, if so, describe its reasons for considering an OOS. If the agency is not considering implementing an OOS, are there indicators that the agency is over capacity, such as delays in IPE development or service delivery?
5. Do the data in Table 1 show any significant changes in the number of individuals served under an IPE? If so, describe any changes in the number of individuals served under an IPE and the effect on performance overall for the VR agency. Describe any change in the percentage of individuals accepted for services who did not receive services and describe the projected performance implications for any identified trends.
6. Are there noticeable changes in the pattern of the percentage of individuals whose service records were closed and the reasons those individuals exited during FFYs 2015 through 2017? If so, describe any areas where the percentages of exit status have changed. Also describe any changes in the percentages of individuals exiting after eligibility, but without employment.
7. What strategies has the VR agency employed to address the flow of applicants through the various stages of the VR process, including the determination of eligibility within 60 days as required by section 102(a)(6) of the Act and development of the IPE within 90 days following the determination of eligibility as required in section 102(b)(3)(F) of the Act, as amended by WIOA.
8. Describe any evaluation plans or methods to evaluate the effectiveness of these strategies, and describe any preliminary evaluation findings indicating discernable effects on the performance of the VR agency as a result of the implementation of these strategies.

## **Employment Outcomes**

**Resource:** Program Performance Data Tables 2a, 2b, and 2c Case Status Information, Exit Status, and Employment Outcomes—FFYs 2015–2017

Review the data contained in Tables 2a, 2b, and 2c related to the number and percentage of individuals (all individuals, individuals under age 25, and individuals age 25 and older) who did and did not achieve employment, the total number of individuals who received services, and the employment rate. Also review the data pertaining to the number and percentage of individuals who achieved competitive integrated employment. To understand the quality of employment outcomes achieved, review the data pertaining to the quality of competitive integrated employment outcomes as indicated by the median and average hourly earnings for individuals who achieved competitive integrated employment outcomes, the median and average hours worked per week by these individuals, and the number and percentage of individuals who achieved competitive employment outcomes and received employer-provided medical insurance.

While the data being reviewed in this guide were not collected under the WIOA joint performance measures, receipt of services under an IPE is comparable to achieving participant status under WIOA. This is a key metric in predicting probable performance as WIOA is implemented. Comparison of trends identified in service rates and employment outcomes measured prior to and after WIOA implementation will be important in identifying changes in employment outcomes that result from WIOA implementation.

### **Questions:**

9. Did the employment rate change from FFY 2015 to FFY 2017? If so, analyze how the employment rate has changed during this period.
10. Are there significant changes in the percentage of competitive integrated employment outcomes, as defined in section 7(5) of the Act, as amended by WIOA, from FFYs 2015 to 2017? If so, describe the changes in the percentage of individuals who achieved competitive integrated employment in FFYs 2015, 2016, and 2017. Discuss and identify with the agency the factors related to the change in the percentage of competitive integrated employment outcomes.
11. Are there observable changes or patterns in median hourly earnings or average hourly earnings from FFYs 2015 to 2017? If so, describe the change in median and average hourly earnings from FFYs 2015 to 2017.
12. Are there observable changes or patterns in hours worked at closure from FFYs 2015 to 2017? If so, describe the change in hours worked at closure from FFYs 2015 to 2017.
13. Are there observable changes or patterns in the percentage of individuals who achieved competitive integrated employment and received employer-provided medical insurance from FFYs 2015 to 2017? If so, describe the change in the percentage of individuals who achieved competitive integrated employment and received employer-provided medical insurance from FFYs 2015 to 2017.
14. Review the projected quarterly median earnings measure. This measure is similar to the WIOA joint performance indicator Median Earnings-2<sup>nd</sup> Quarter after Exit. This measure is calculated by multiplying the individual's hourly wages at exit by the hours worked per week at exit. The product of these two measures is then multiplied by 13, as

there are 13 weeks in a quarter. Given that this is a projection, discuss the VR programs estimates related to anticipated differences between an individual's actual quarterly wages versus the projected quarterly wages for the individual. Factors that may contribute to differences between estimated and actual wages may include:

- Percentage of individuals who may lose employment prior to the start of the second quarter;
- Reduction in scheduled hours or hours worked;
- Reduction in hours and pay due to unpaid leave; and
- Individuals who cannot be located for follow-up.

15. Discuss any challenges related to obtaining and using State quarterly wage data or supplemental employment data for:

- Individuals employed within the State;
- Individuals employed outside the State; and
- Individuals employed in occupations not covered by State quarterly wage data, including Federal employment, self-employment, and employment in non-covered agricultural occupations.

16. Does the VR agency have procedures in place to verify that the employment outcome satisfies all criteria of the definition of "competitive integrated employment" in section 7(5) of the Act, as amended by WIOA, including that:

- The wages meet or exceed any local minimum wages that are higher than the Federal or State minimum wage;
- The individual receives benefits comparable to those received by employees without disabilities in similar positions;
- The employment is in an integrated location; and
- The individual has opportunities for advancement similar to those of employees without disabilities in similar positions.

17. What strategies has the VR agency employed to improve its performance in terms of the number and quality of competitive integrated employment outcomes for all individuals served?

18. Does the VR agency have evaluation plans in place to determine the effectiveness of its strategies? If so, describe any evaluation plans or methods to evaluate the effectiveness of these strategies. Describe any preliminary evaluation findings that indicate discernable effects on the performance of the VR agency as a result of the implementation of these strategies.

## **VR Services Provided**

**Resource:** Program Performance Data Tables 7a, 7b, and 7c VR Services Provided

Tables 7a, 7b, and 7c describe the types of services received by individuals with disabilities (all individuals, individuals under age 25, and individuals age 25 and older) as reported through the RSA-911. The tables include the percentage of individuals who received a particular service during their participation in the VR program. This information is intended to provide a general overview of the provision of services and the potential effect on the ability of eligible individuals to achieve quality employment. The tables for the services provided have been categorized into three subcategories: Training Services, Career Services, and Other Services . Training services may include occupation skills training, on-the-job training, or entrepreneurial training. A full list of training services is provided in section 134(c)(3)(D) of WIOA. Career services may include assessments, group or individual counseling, or career planning. A full list of career services is listed in section 134(c)(2) of WIOA. Other services would include any other service provided through the VR program not specified as training or career services in WIOA. These services include, for example, transportation, maintenance, reader services, or interpreter services.

### **Questions:**

19. What training, career, and other services are provided most often and least often (by percentage) for all individuals served? ...for individuals under age 25? ...for individuals age 25 and over? How might the provision of these services affect the quality of employment outcomes for the VR agency?
20. Has there been a significant increase or decrease in any of the services identified under Tables 7a, 7b, and 7c? If so, is there any correlation with the employment outcomes, both in terms of the quality of employment outcomes and the quantity of employment outcomes?
21. How have recent policy changes resulting from the implementation of WIOA affected the provision of services as demonstrated through trends over the past three years?
22. What strategies has the VR agency employed to improve the manner in which VR services are delivered? Is there a discernable effect on the performance of the VR agency as a result of these strategies?

## **Select Measures for All Individuals with Disabilities Served by Type of Impairment**

**Resource:** Program Performance Data Tables 4a, 4b, and 4c Agency Outcomes by Disability Type—FFYs 2015–2017

Tables 4a, 4b, and 4c contain data pertaining to measures associated with the types of impairments experienced by individuals with disabilities served by the VR agency (all individuals, individuals under age 25, and individuals age 25 and older) during the review period. As reported to RSA through the RSA-911, Tables 4a, 4b, and 4c include the percentage

of individuals served and the employment rate by disability type for all individuals (all individuals, individuals under age 25, and individuals age 25 and older) at closure. Although Tables 4a, 4b, and 4c contain data associated with individuals experiencing only a subset (five types of impairments) of all impairments reported to RSA, the data represent the largest percentage of individuals with disabilities served by the VR program.

### **Questions:**

23. By type of impairment, which individuals with disabilities are most commonly served by the VR agency over the three-year period?
24. How does this compare with the identified estimates of individuals with types of impairments in the latest Comprehensive Statewide Needs Assessment?
25. Over the three-year period, are there any notable trends in the percentages of individuals with disabilities served by impairment type?
26. Over the three-year period, by type of impairment, which cohort experienced the highest and lowest percentage of employment outcomes for the VR agency?
27. Is the VR agency's employment rate for individuals with disabilities with any one of the five types of impairments significantly higher or lower?
28. What outreach strategies has the VR agency employed for different disability groups?
29. What strategies has the VR agency employed to address trends and patterns in service delivery to different disability groups?
30. Does the VR agency have specific strategies to address the employment rate of particular groups of individuals with disabilities?

### **Compliance with the Statutory Time Frames for Application to Eligibility and Eligibility to IPE Development**

#### **Resources:**

- Tables 5a, 5b, and 5c Number of Days from Application to Eligibility Determination—FFYs 2015–2017
- Tables 6a, 6b, and 6c Number of Days from Eligibility Determination to IPE—FFYs 2015–2017

Tables 5a, 5b, and 5c; and Tables 6a, 6b, and 6c describe the amount of time individuals with disabilities (all individuals, individuals under age 25, and individuals age 25 and older) were engaged in the various stages of the VR process, including eligibility determination and development of the IPE, as reported through the RSA-911 for FFYs 2015, 2016, and 2017. Tables 6a, 6b, and 6c include data on individuals who became eligible on or after July 22, 2014, when the 90-day time frame from eligibility to IPE development became statutorily required.

This information is intended to provide a general overview of the time individuals spend in these stages of the VR process and the potential effect on the ability of eligible individuals to achieve quality employment.

**Questions:**

31. During the three-year period, did the VR agency consistently make eligibility determinations within 60 days of application?
32. Does the VR agency document and justify the need for an eligibility extension with the individual's consent?
33. What percentage of IPEs are developed within the 90-day timeline for IPE development required in section 102(b)(3)(F) of the Act, as amended by WIOA?
34. Does the VR agency document and justify the need for an extension for the development of the IPE with the individual's consent?
35. Was the VR agency's IPE development standard 90 days prior to the implementation of WIOA?
36. If the IPE development standard was changed as a result of the amendments to the Act made by WIOA, does the VR agency report any discernable changes in its performance for this measure?
37. Were there significant differences in the application to eligibility, or eligibility to IPE development among individuals under the age of 25 when compared with all individuals, or those age 25 and older?

**Standard Occupational Classification (SOC) Codes for Individuals who Achieved Employment**

**Resources:** Tables 8a, 8b, and 8c Standard Occupational Classification (SOC) Codes Percentages of Employment Outcomes and Median Hourly Earnings for Individuals Who Achieved Competitive Employment Outcomes at Closure - FFYs 2015-2017

Review the data to determine the occupational areas in which individuals with disabilities (all individuals, individuals below the age of 25, and individuals age 25 and above) exiting the VR program achieved competitive employment outcomes at closure, and, and the median wages earned by individuals in each type of employment for FFYs 2015, 2016, and 2017.

**Questions:**

38. During the three-year period, what were the five most common SOC codes in which competitive employment outcomes were classified?

39. During the three-year period, was there a significant increase or decrease in the percentages of individuals achieving competitive employment outcomes for the occupations identified in Tables 8a, 8b, and 8c?
40. In the most recent year for which data are available, which SOC codes resulted in the highest and lowest median hourly wages?
41. What strategies has the VR agency engaged in to assist individuals with disabilities to advance in employment, including advanced training in the fields of science, technology, engineering, or mathematics (STEM), including computer science, medicine, law or business, in accordance with the requirements of section 103(a)(18) of the Act, as amended by WIOA?
42. Is the VR agency providing services to groups of individuals with disabilities that support the pursuit of career or study in the STEM field, assuming academic standards are met, in accordance with section 103(b)(9) of the Act, as amended by WIOA?
43. What initiatives is the VR agency undertaking to fulfill the assurance found in section 101(a)(26) of the Act, as amended by WIOA, regarding “in-demand” sectors and occupations under sections 106(c) and 108 in title I of WIOA?

### **Reasons for Exit for Individuals Who Did Not Achieve an Employment Outcome**

**Resources:** Tables 9a, 9b, and 9c Reason for Exit for All Individuals Who Did Not Achieve an Employment Outcome at Closure- FFYs 2015-2017

Review the data to determine the reasons for exit for individuals with disabilities (all individuals, individuals below the age of 25, and individuals age 25 and above) who did not achieve an employment outcome for FFYs 2015, 2016, and 2017.

#### **Questions:**

44. During the three-year period, was there a significant increase or decrease in the percentages of individuals exiting the program for any of the reasons provided in Tables 9a, 9b, and 9c?
45. Is the percentage of individuals exiting the program for All Other Reasons more than five percent? If so, what is being classified in this category?

### **C. Internal Controls**

**Resources:** Policies and procedures related to internal controls necessary for the verification of data in the RSA-911, including RSA PD-16-04

This area assesses performance accountability in relation to the internal control requirements in 2 CFR §200.303. Internal controls means a process, implemented by a non-Federal entity, designed to provide reasonable assurance regarding the achievement of objectives in the effectiveness and efficiency of operations, reliability of reporting for internal and external use,

and concerning compliance with applicable laws and regulations. Internal controls are established and implemented as a measure of checks and balances to ensure proper expenditures of funds. Internal controls serve to safeguard assets and prevent fraud, waste, abuse, and mismanagement. They include methods and procedures the grantee uses to manage the day-to-day operations of grant-supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved.

VR agencies are required to maintain verifying documentation in an individual's service record, particularly regarding eligibility determination, IPE development, services provided, and case closure. It is important to note that the use of an electronic case management system does not remove the requirement for the agency to maintain either hard copies or scanned copies of required supporting documentation in the individual's service record. An electronic case management system is merely a data entry process that is susceptible to data entry errors. Requiring staff to note the source of the employment data also does not provide documentation necessary to ensure data validity and reliability. RSA staff will review a sample of RSA-911 case service records to ensure the documentation in the service record is accurate, complete, and supports the data entered into the RSA-911 with respect to the date of application, the date of eligibility determination, date of IPE, start date of employment in primary occupation at exit or closure, hourly wage at exit or closure, employment status at exit or closure, type of exit or closure, and date of exit or closure.

Review the agencies current policies and procedures related to internal controls and quality assurance.

**Questions:**

- 46. Do the results and reports of the current quality assurance and internal control system ensure that data are reported accurately?
- 47. Does the VR agency need guidance on the requirements for developing and implementing adequate internal controls to ensure that data reported are accurate and complete?
- 48. Does the VR agency need guidance, training, and technical assistance on the type of source documentation needed to validate the data reported through the RSA-911?

**D. Technical Assistance**

The following questions are designed to assess the quality of the technical assistance provided by RSA and the RSA-funded technical assistance centers, as well as to identify the ongoing technical assistance needs of the VR agency related to the focus areas in this MTAG.

- 49. What technical assistance needs do you have on any issue or topic related to this focus area? What objectives/results do you hope to achieve through the provision of this technical assistance?

50. Have you received technical assistance from RSA staff on any issue or topic related to this focus area? If so, please describe the nature of the technical assistance provided. What were the objectives/results or what do you anticipate being the objectives/results?
51. Have you received technical assistance from one or more of the RSA-funded technical assistance centers on a topic or issue related to this focus area? If so, from which center? Was the technical assistance universal, targeted, or intensive? Please describe the technical assistance you received. What were the objectives/results or what do you anticipate being the objectives/results?

## **IV. Focus Area – Transition Services, Including Pre-Employment Transition Services, for Students and Youth with Disabilities**

### **A. Nature and Scope**

Through the implementation of this focus area, RSA will assess VR agency performance and technical assistance needs related to the provision of transition services, including pre-employment transition services, to students and youth with disabilities and the employment outcomes achieved by these individuals. For purposes of the VR program, “transition services” are defined as a coordinated set of activities for a student or youth with a disability, designed within an outcome-oriented process that promotes movement from school to post-school activities, including postsecondary education, vocational training, competitive integrated employment, supported employment, continuing and adult education, adult services, independent living, or community participation.

The Rehabilitation Act (Act), as amended by the Workforce Innovation and Opportunity Act (WIOA), places heightened emphasis on the provision of services, including pre-employment transition services, to students and youth with disabilities to ensure they have meaningful opportunities to receive training and other services necessary to achieve employment outcomes in competitive integrated employment. Pre-employment transition services are designed to help students with disabilities to begin to identify career interests that will be explored further through additional vocational rehabilitation services, such as transition services. The Act and implementing regulations for the VR program in 34 CFR part 361 contain several new terms and requirements related to the provision of pre-employment transition services, which may be reviewed in Appendix B.

“Pre-employment transition services,” defined in section 7(30) of the Act and 34 CFR §361.5(c)(42), include both required activities and authorized activities specified in section 113 of the Act and in 34 CFR §361.48(a). Pre-employment transition services also include pre-employment transition coordination activities. Section 113(a) of the Act requires that VR agencies provide, or arrange for the provision of, pre-employment transition services to students with disabilities who are eligible or potentially eligible for VR services. The term “potentially eligible” is specific to the provision of pre-employment transition services but is not defined in the Act. All students with disabilities, regardless of whether they have applied for the VR program, are potentially eligible to receive pre-employment transition services. A “student with a disability,” as defined in section 7(37) of the Act and 34 CFR §361.5(c)(51), includes the minimum age for the receipt of pre-employment transition services, the minimum age for the provision of transition services under IDEA, and the maximum age for the receipt of services under IDEA; thus, the implementing definition of “student with a disability” may vary from State to State.

“Youth with a disability” is defined in section 7(42) of the Act and in 34 CFR §361.5(c)(58) as an individual with a disability who is age 14 through 24. The distinction between the definitions of “student with a disability” and “youth with a disability” is critical for purposes of the various authorities for providing transition-related services, including pre-employment transition services.

To facilitate the provision of monitoring by RSA, and in preparation for the on-site visit, RSA and the VR agency jointly will review applicable documentation related to transition and pre-employment transition services, which may include:

- State educational agency (SEA) and local educational agency (LEA) agreements;
- Policies related to the provision of transition services, including pre-employment transition services;
- As applicable, sample third-party cooperative arrangement contracts for the provision of pre-employment transition services;
- An on-the-job training agreement, if the agency has such an agreement;
- Assurance 4(c) and descriptions (d), (g), (j), (l), (m), and (o), and any other relevant information from the most recently submitted VR services portion of the Unified or Combined State Plan;
- Federal Financial Report (SF-425) reporting procedures, especially as those procedures relate to the proper accounting and reporting of expenditures with funds reserved under section 110(d)(1) of the Act for the provision of pre-employment transition services for students with disabilities;
- Supporting documentation for expenditures incurred with funds reserved for the provision of pre-employment transition services and reported in line 12b of the SF-425; and
- Updated policies or procedures for tracking expenditures for the provision of pre-employment transition services for 1) purchased services and services provided by VR agency personnel; and 2) related procedures to exclude administrative costs from expenditures paid with funds reserved under section 110(d)(1) for the provision of pre-employment transition services (section 110(d)(2) of the Act prohibits such costs from being paid for with funds reserved under section 110(d)(1)).

In gathering information related to the provision of transition services, including pre-employment transition services, RSA may consult:

- The VR agency director and other senior managers;
- VR agency fiscal officers and staff;
- VR agency counselors;
- VR agency transition coordinators and staff;
- Educational agencies; and
- Service providers.

## **B. Transition Service Delivery**

Review of documentation and responses to questions in each of the areas below may be used in the development of an overview and analysis of the performance of the transition services delivery system, including the delivery of pre-employment transition services.

## Transition Service Delivery Structure

### Resources:

- Description (d)—Coordination with education officials and Descriptions (l) and (o) State Plan goals and strategies from the VR services portion of the most recently approved Unified or Combined State Plan
- Policies and procedures related to the service delivery structure and provision of transition services, including pre-employment transition services;
- Agreements or contracts procuring the provision of transition services, including pre-employment transition services, as applicable
- Appendix F: Third-Party Cooperative Arrangement (TCPA) Review Instrument

In structuring the delivery of transition services, the VR agency must consider the various requirements under the Act. For example, pre-employment transition services provided under section 113 of the Act, and 34 CFR §361.48(a) are available only to students with disabilities. However, transition services provided for the benefit of a group of individuals under section 103(b)(7) of the Act and 34 CFR §361.49(a)(7) may be provided to both students and youth with disabilities. Youth with disabilities who are not students may receive transition-related services identified in an individualized plan for employment (IPE) under section 103(a) of the Act, but may not receive pre-employment transition services because these services are limited to students with disabilities. On the other hand, students with disabilities may receive pre-employment transition services with or without an IPE under section 113 of the Act, or may receive pre-employment transition services and/or transition services under an IPE in accordance with section 103(a)(15) of the Act.

### Questions:

1. Describe the VR agency's service delivery structure and strategies for serving students and youth with disabilities.
  - a. Describe how the VR agency provides and pays for pre-employment transition services and transition services (e.g., in-house, TPCAs, fee-for service contracts, etc.).
  - b. Describe how the VR agency is making all required activities available to students with disabilities statewide, including those students who are potentially eligible for VR services.
  - c. Are pre-employment transition services being provided by local educational agencies (LEAs), community rehabilitation providers (CRPs), or other vendors through contracts or arrangements with the VR agency? Are all five required activities being provided or only a portion of them?
2. Describe the intake process for pre-employment transition services and the referral and application processes for VR services.
3. Identify the VR agency's use of interagency agreements or third-party cooperative arrangements to provide VR services, including pre-employment transition services and transition services.

4. Identify and describe any innovative or evidence-based transition-related practices.

## **Outreach**

### **Resources:**

- Description (d) — Coordination with Education Officials from the VR services portion of the most recently approved Unified or Combined State Plan
- Policies and procedures related to outreach to students with disabilities
- Formal interagency agreement with the State educational agency (SEA), and agreements with LEAs, if applicable

In accordance with the requirements for the formal interagency agreement with the State educational agency, outreach to students should occur as early as possible during the transition planning process and must include, at a minimum, a description of the purpose of the VR program, eligibility requirements, application procedures, and scope of services that may be provided to eligible individuals. The definition of “transition services” in 34 CFR §361.5(c)(55) now includes outreach to and engagement of parents or, as appropriate, the representatives of students or youth with disabilities in the definition of “transition services.”

### **Questions:**

5. How does the VR agency reach out to students with disabilities, including those individuals who are potentially eligible for VR services, and youth with disabilities? Has the State VR agency made significant changes to its VR outreach policies in the past three years, to include outreach to students with disabilities who are potentially eligible for VR services?
6. What groups/entities does the VR agency target in its outreach efforts (e.g., unserved and underserved populations, students with individualized education programs (IEPs) or served under section 504, and all other students with disabilities, as well as their families)?
7. What information about the VR program is provided during outreach efforts?
8. Are there strategies that have been particularly effective in attracting and engaging students and youth with disabilities? If so, how does the VR agency determine if these strategies are effective?

## **Planning for the Delivery of Pre-Employment Transition Services and Transition Services for Students and Youth with Disabilities**

### **Resources:**

- Policies and procedures specific to the provision of pre-employment transition services
- Descriptions (j) and (o) in the VR services portion of the most recently approved Unified or Combined State Plan

The VR services portion of the Unified or Combined State plan must contain plans, policies, and procedures for coordination between the designated State agency and education officials responsible for the public education of students with disabilities that are designed to facilitate the transition of students with disabilities from the receipt of educational services in school to the receipt of VR services under the responsibility of the designated State agency.

9. Describe the VR agency's methods for identifying students and youth with disabilities in the State and assessing their needs for pre-employment transition services, and transition services, as appropriate.
10. Describe the needs of students and youth with disabilities for transition services and the needs of students with disabilities for pre-employment transition services identified in the most recent Comprehensive Statewide Needs Assessment (CSNA) and the extent to which these services are coordinated with transition services provided under the Individuals with Disabilities Education Act (IDEA). If a CSNA has not been conducted or if it was conducted prior to the enactment of WIOA, describe how the needs will be identified and assessed in the next CSNA.
11. Describe the strategies that have been used or will be used to expand VR services for students and youth with disabilities, including pre-employment transition services for students with disabilities.

### **State Educational Agency (SEA) Agreement**

**Resource:** Current formal interagency agreement between the VR agency and the SEA and, if applicable, between the VR agency and the LEAs

The VR services portion of the Unified or Combined State Plan must include information on a formal interagency agreement with the State educational agency that, at a minimum, provides for the requirements in 34 CFR §361.22(b), including new requirements in 34 CFR §361.22(b)(5) and (6), which address coordination of documentation requirements and contracting limitations for educational agencies imposed by section 511 of the Act.

### **Questions:**

12. Has the formal interagency agreement with the SEA been revised to be consistent with:
  - a. Requirements in §361.22(b); and

- b. Requirements related to the coordination and provision of pre-employment transition services in §361.48(a)?

If so, describe the revisions made to the formal interagency agreement with the SEA.

13. Describe how the VR agency is coordinating and facilitating the provision of pre-employment transition services with the SEA and LEAs, taking into account the following considerations:
  - a. Has a process for determining programmatic and fiscal responsibilities been developed and implemented? If so, describe.
  - b. How are the agencies determining responsibility for those services that may be both a special education or related service under IDEA and a VR service under the Act, as amended by WIOA?
  - c. Has the VR agency provided joint guidance, consultation and technical assistance, as well as training to VR and educational staff, regarding the requirements related to the provision of pre-employment transition services?
  - d. Do LEAs in the State implement and observe the provisions of the agreement between VR and the SEA?
  - e. Has the VR agency developed any formal interagency agreements with LEAs? If so, describe the nature and scope of the agreements.

### **Provision of Pre-Employment Transition Services**

#### **Resources:**

- VR agency policies for the provision of pre-employment transition services to students with disabilities
- As appropriate, arrangements, agreements and contracts to provide required, authorized and pre-employment transition coordination activities

There are five required activities (most beneficial to a student in the early stages of employment exploration) that are provided directly to eligible or potentially eligible students with disabilities. There are nine authorized activities described in 34 CFR §361.48(a)(3) that VR agencies may implement to improve the transition of students with disabilities from school to postsecondary education or an employment outcome. Pre-employment transition coordination activities, described in 34 CFR §361.48(a)(4), include activities that each local VR office must engage in to coordinate and facilitate the provision of pre-employment transition services to students with disabilities in need of such services.

The specific required, authorized and pre-employment transition coordination activities are identified in Appendix B. In addition, definitions, supplemental information and descriptions for “potentially eligible” student, “student with a disability” and “youth with a disability” are located in Appendix B.

#### **Questions:**

14. What is the minimum age that students with disabilities may begin receiving pre-employment transition services in the State and how was it determined?
15. What is the minimum age for the provision of transition services, and what is the maximum age for the receipt of services under IDEA by students with disabilities in the State?

### **Required Activities**

16. Describe how the VR agency is providing each of the below required activities under pre-employment transition services to students with disabilities including those individuals who are potentially eligible for VR services, VR applicants or eligible individuals, and eligible individuals with an IPE.
  - a. Job exploration counseling
  - b. Work-based learning experience, including coordination, selection of the work-based learning experience (e.g., type of work, paid or unpaid, actual work or simulated, during or after school) and setting (e.g., in-school or community-based setting, group or individual basis, integrated or non-integrated settings)—If work-based learning experiences are paid, are students earning competitive wages or stipends commensurate with wages or stipends paid to students without disabilities participating in similar experiences? What, if any, services are provided to an individual while participating in a work-based learning experience (including costs incurred by employers and reimbursed by the VR agency)?
  - c. Counseling on opportunities for enrollment in comprehensive transition or postsecondary educational programs at institutions of higher education (including settings in which it is provided)
  - d. Workplace readiness training (coordination and provision, including types of training activities and settings)
  - e. Instruction in self-advocacy
17. How are students with disabilities informed of their options and involved in the selection of pre-employment transition services and the entity to provide such services?
18. Describe how the VR agency monitors and evaluates pre-employment transition services provided through:
  - a. VR agency staff;
  - b. Purchased services from vendors; or
  - c. TPCAs.
19. Of the students with disabilities who have received pre-employment transition services, how many have applied for VR services?
20. Some students receiving pre-employment transition services also receive VR services. Describe any additional VR services received by students with disabilities in receipt of

pre-employment transition services. What additional services are most frequently provided?

### **Authorized Activities**

21. What process (e.g., CSNA, fiscal forecasting or other planning activities) is the VR agency using to determine the amount of Federal funds that need to be reserved and expended for the provision of the required activities under section 110(d)(1) of the Act, to determine the amount available for the provision of the authorized activities?
22. Which authorized activities have been provided, coordinated or arranged by the VR agency?
23. Are authorized activities purchased by the VR agency? If so, what type of agreement does the agency utilize to provide the authorized services?

### **Pre-Employment Transition Coordination Activities**

24. Describe the VR agency's efforts to engage with partners and education programs to collaboratively provide pre-employment transition services, including planning activities and joint activities. What challenges, if any, is the VR agency experiencing in collaborating with education programs and other partners to provide pre-employment transition coordination activities?

## **Provision of Group Transition Services**

**Resources:** Policies specific to the provision of group transition services and other services provided under the services for groups authority

A student or youth with a disability is not required to have applied or been determined eligible for VR services to receive general transition services provided to groups under section 103(b)(7) of the Act and 34 CFR §361.49(a)(7). Therefore, a VR agency may, but is not required to, provide or collect applications from students and youth with disabilities receiving transition services under 34 CFR §361.49(a)(7). These services may be provided in a variety of settings, including classroom, employment, and community-based settings. However, they should be provided in integrated settings to the maximum extent possible to best prepare students and youth with disabilities for competitive integrated employment. Students and youth with disabilities may continue to receive generalized transition services under this authority while also receiving individualized VR services under an IPE pursuant to section 103(a) of the Act and final 34 CFR §361.48(b).

Pre-employment transition services may be provided in a group setting to students with disabilities who have not applied or been determined eligible for VR services, as discussed in 34 CFR §361.48(a). However, pre-employment transition services cannot be provided to students with disabilities as a service for groups under section 103(b)(7) of the Act or 34 CFR §361.49(a)(7).

### **Questions:**

25. If the VR agency provides services under the “services to groups” authority, describe services provided as group transition services and how the VR agency provides or coordinates the provision of these services.

## **Provision of Individualized Transition Services**

**Resources:** VR agency policies relating to the provision of individualized transition services

In order to receive individualized transition services, a youth or student with a disability must be determined eligible for the VR program and have a signed IPE.

### **Questions:**

26. Describe the provision of individualized transition services, including the types of services provided, when and to whom these services are provided, and how they are provided.

## **Transition Policies and Procedures**

**Resources:** VR agency policies relating to the provision of pre-employment transition services to students with disabilities and transition services to students and youth with disabilities

The VR agency must revise policies and procedures related to the provision of pre-employment transition services to students with disabilities and transition services to students and youth with disabilities to bring them into alignment with the requirements of the Act, as amended by WIOA.

### **Questions:**

27. Describe the policies and procedures that the VR agency has developed, revised or implemented to address changes related to pre-employment transition services requirements, including the provision of services to students with disabilities who are potentially eligible for VR services.
28. Does the VR agency have policies related to referrals for pre-employment transition services, application for VR services, collaborative service provision, service agreements, and documenting, tracking and reporting such services?
29. Does the VR agency have a policy that directs counselors to ensure that students with disabilities determined eligible for the VR program have an IPE in place prior to exiting the school setting?
30. Describe the IPE development process for students and youth with disabilities, including the 90-day timeline requirement.
31. Does the VR agency use projected IPE goals for students and youth with disabilities? If so, describe when projected goals are used and amended.

## **State Plan Goals**

**Resources:** Descriptions (l) and (o) of the VR services portion of the most recently submitted Unified or Combined State Plan

In accordance with 101(a)(15)(A) and (D) of the Act, VR agencies must assess the needs of students and youth with disabilities for transition and pre-employment transition services and identify the strategies, goals, and priorities to address these needs in the VR services portion of the Unified or Combined State Plan.

### **Questions:**

32. Describe how the VR needs of students and youth with disabilities identified in the CSNA are reflected in the goals of the VR services portion of the Unified or Combined State Plan (34 CFR §361.29(c)(4)(i)).
33. If the VR agency has established specific goals and objectives or strategies for serving students and youth with disabilities, do the objectives or strategies reflect collaboration with the SEA, LEAs, as appropriate and other entities providing services to students and youth with disabilities? Are these goals and objectives measurable?
34. Describe the outcomes that have been achieved as a result of these goals or strategies.

## **C. Fiscal Elements of the Provision of Pre-Employment Transition Services**

Through the implementation of this section of the focus area, RSA will assess the provision of pre-employment transition services with particular attention to the agency administrative costs associated with the provision of such services, which may not be paid from the 15 percent reserve of the Federal VR award. Fiscal accountability requirements ensure award funds are spent for the intended purposes and maximize resources available for program needs, thereby supporting the provision of pre-employment transition services to students with disabilities. Fiscal accountability requirements consist of program-specific requirements and general administrative requirements.

Program specific requirements refer to the Act and the VR implementing regulations at 34 CFR part 361. These requirements establish the specific provisions related to administration of the provision of pre-employment transition services.

RSA fiscal staff will review VR agency adherence to both the program specific and general administrative accountability requirements that apply to the provision of pre-employment transition services. Since the Federal funds reserved for the provision of pre-employment transition services are part of the VR allotment, the non-Federal share requirements are the same as those for all VR grant funds (34 CFR §361.60(b)), and are covered in section VI. Focus Area – Allocation and Expenditure of State Vocational Rehabilitation Services and State Supported Employment Services Program Funds. Additional information related to fiscal aspects of monitoring and technical assistance applicable to the provision of pre-employment transition

services is also located in section VI (e.g., contract requirements, third-party cooperative arrangements, financial accountability, non-Federal share, etc.).

### **Administrative Costs**

**Resources:** Updated policies or procedures for tracking expenditures for the provision of pre-employment transition services for purchased services and services provided by VR agency personnel and related procedures to track expenditures for administrative costs and ensure they are excluded from reserve expenditures

Under section 110(d)(2) of the Act and 34 CFR §361.65(a)(3)(ii)(B), funds reserved and expended toward the provision of pre-employment transition services may not be used to pay agency administrative costs associated with the provision of such services. Nothing prevents a State from using regular VR funds to pay agency administrative costs associated with the provision of pre-employment transition services. This provision means that any administrative costs charged to the Federal VR award are not permitted as expenditures to meet the 15 percent reserve, which may only be met with expenditures for the provision of pre-employment transition services either directly through the required activities, or to enhance the provision of such services via the authorized activities.

RSA generally will not require grantees to extract administrative costs that exist within contracts from total contract costs when reporting the cost of the contract as pre-employment transition services expenditures.

### **Questions:**

35. How does the grantee track expenditures to ensure that administrative costs do not count toward the amount required to be reserved and expended for the provision of pre-employment transition services?
36. Describe how the grantee tracks administrative cost expenditures to ensure that any administrative expenditures charged to the VR award are not reported as expenditures meeting the reservation requirement for pre-employment transition services.

## **D. Review of Programmatic Data for the Provision of Transition Services**

RSA will examine the effect of the services provided to youth with disabilities and the employment outcomes they achieve as measured by hours worked, earnings, and the receipt of other benefits. Also, the examination of data related to the percentage of youth served with particular types of impairments may be indicative of decisions made by VR agency management based on the results of the Statewide assessment and other information and may be reflected in the services provided and the outcomes achieved. These are just two of the areas RSA may explore as a result of its review of the data used to construct the analysis that will appear in the final report. Appendix C includes the program performance data tables related to the provision of services to students and youth with disabilities (defined as individuals under the age of 25 for

data tables). As applicable, RSA and VR agencies may review additional data for purposes of program performance and policy implementation.

The FFY 2017 RSA-911 data are not directly comparable to the FFY 2015 and 2016 RSA-911 data. The FFY 2017 data capture information on individuals whose service records were closed between October 1, 2016 and June 30, 2017, whereas the FFY2015 and 2016 data capture information on individuals whose service records were closed between October 1 and September 30. VR agencies began reporting information for individuals whose service records are open beginning with Program Year (PY) 2017, which began on July 1, 2017.

### **Attrition and Type of Closure**

**Resource:** Table 2b Case Status Information, Exit Status, and Employment Outcomes for Individuals below Age 25 at Closure —FFYs 2015–2017

Review data contained in Table 2b to evaluate the number and percentage of individuals who exited at various stages of the VR process including: during application; during or after trial work experience; without employment after IPE, before services; from order of selection (OOS) waiting list; without employment after eligibility, before IPE; with employment; and without employment.

### **Questions:**

37. Is there a trend in the percentage of youth service records closed over the three-year period? How does this compare to the percentage of all individuals whose service records were closed found in Table 2a?
38. What are the points in the service delivery process where the greatest number and percentage of youth with disabilities are exiting? How does this compare to the trend for the agency overall for all individuals served by the VR agency?
39. If the VR agency is operating under an OOS, are service records for youth being closed from the OOS waiting list? What has been the effect of the OOS on the agency's performance?

### **Employment Outcomes**

**Resource:** Table 2b Case Status Information, Exit Status, and Employment Outcomes for Individuals below Age 25 at Closure —FFYs 2015–2017

Review data contained in Table 2b related to the number and percentage of employment outcomes achieved and not achieved; employment rate; the number and percentage of competitive employment outcomes; average hourly earnings for competitive employment outcomes; average hours worked per week for competitive employment outcomes; and the number and percentage of competitive employment outcomes with employer-provided benefits and medical insurance.

**Questions:**

40. Analyze how the employment rate for youth has changed over the three-year period.
41. How do the percentages of youth with disabilities who achieved employment outcomes over the three-year period compare to the percentages for all individuals who achieved employment outcomes?
42. Review the quality of competitive integrated employment achieved by youth with disabilities, including average wages earned, hours worked per week and employer-provided benefits for the three-year period.

**Services Provided**

**Resource:** Table 7b Agency VR Services Provided for Individuals below Age 25 at Closure — FFYs 2015–2017

Review data for services provided to individuals with disabilities under age 25 at exit for the most recent three years for which data are available.

**Questions:**

43. What are the services most often provided to youth with disabilities? How do these compare with the services provided to all individuals served by the VR agency?
44. Describe the provision of postsecondary, college, or university training to youth with disabilities over the three-year period.
45. How does the VR agency track students and youth with disabilities who participate in community-based work experiences or internships?
46. Do you perceive differences in the services provided to students and youth with disabilities who achieve employment outcomes compared to those who do not?

**Outcomes by Disability Type****Resources:**

- Table 4b. Outcomes by Disability Type for Individuals with Disabilities below Age 25 at Closure—FFYs 2015–2017

Review data for individuals with disabilities under age 25 at closure served by type of impairment, noting the percentages of the total individuals served and the employment rate of each type of impairment.

**Questions:**

47. Over the three-year period, are there any notable trends in the percentages of youth served by disability type? Is there a trend in the employment rate by disability type?

48. Over the three-year period, by disability type, which youth with disabilities experienced the highest and lowest numbers and percentages of employment outcomes?

### **Eligibility**

#### **Resources:**

- VR agency policies and procedures
- Table 5b. Number of Days from Application to Eligibility for Individuals below Age 25 at Closure—FFYs 2015–2017

Review the number and percentage of youth with disabilities determined eligible from the date of application to eligibility within the 60-day time frame for the most recent three-year period for which data are available.

#### **Questions:**

49. Analyze trends over the three-year period to determine if the VR agency has made eligibility determinations for youth with disabilities within 60 days of application. If it has not, has the VR agency documented and justified the need for an eligibility extension with the individual's consent?

### **Individualized Plan for Employment**

#### **Resources:**

- VR agency policies and procedures
- Table 6b. Number of Days from Eligibility Determination to IPE for Individuals below Age 25 at Closure—FFYs 2015–2017

Review the number and percentage of youth with disabilities whose IPEs were developed within the 90-day statutory time frame (from eligibility to IPE development) for the most recent three-year period for which data is available.

#### **Questions:**

50. How is the VR agency performing over the three-year period in fulfilling the 90-day requirement for the development of the IPE? Do the data reflect any trends over the three-year period in the VR agency's performance?

51. Does the VR agency perform differently in developing the IPE in a timely manner for youth with disabilities compared to all individuals served by the agency?

### **Standard Occupational Classification (SOC) Codes for Individuals who Achieved Competitive Employment**

## **Resources:**

- Table 8b. Standard Occupational Classification (SOC) Codes Percentages of Employment Outcomes and Median Hourly Earnings for Individuals below Age 25 Who Achieved Competitive Employment Outcomes at Closure—FFYs 2015–2017

Review data to determine the percentage of competitive employment outcomes in the different types of occupations achieved by youth with disabilities, and the median wages earned for the most recent three-year period for which data are available.

## **Questions:**

52. Over the three year period, what are the most common SOC codes in which employment outcomes for youth with disabilities are classified? Over the three-year period, has there been a significant increase or decrease in any particular SOC codes in the percentage of youth with disabilities obtaining employment outcomes in those occupations?
53. In the most recent year for which data are available, which SOC codes result in the highest and lowest median wages for youth with disabilities?

## **Referral Sources**

**Resource:** Table 3b. Source of Referral Codes for Individuals below Age 25 at Closure—FFY 2015-2017

Review the referral sources for youth with disabilities for the most recent three years for which data are available.

## **Questions:**

54. Which sources provide the highest percentage of referrals of youth to the VR agency?
55. What are the percentages of youth referred from secondary education and postsecondary education? Has there been a change or shift in any referral sources over the last three years? If so, why?

## **Exit Reasons**

**Resource:** Table 9b. Reason for Exit for Individuals below Age 25 Who Did Not Achieve an Employment Outcome at Closure—FFY 2015-2017

Review the exit reasons for youth with disabilities for the most recent three years for which data are available.

## **Questions:**

56. What are the top three reasons for exit for youth with disabilities?

57. Has there been a change or shift in any exit reasons over the last three years? If so, why? Is there anything that varies from your expectation based upon your experience?

## **E. Technical Assistance**

The following questions are designed to assess the quality of the technical assistance provided by RSA and the RSA-funded technical assistance centers, as well as to identify the ongoing technical assistance needs of the VR agency related to the focus areas in this MTAG.

### **Questions:**

58. What technical assistance needs do you have on any issue or topic related to this focus area? What objectives/results do you hope to achieve through the provision of this technical assistance.
59. Have you received technical assistance from RSA staff on any issue or topic related to this focus area? If so, please describe the nature of the technical assistance provided. What were the objectives/results or what do you anticipate being the objectives/results?
60. Have you received technical assistance from one or more of the RSA-funded technical assistance centers on a topic or issue related to this focus area? If so, from which center? Was the technical assistance universal, targeted, or intensive? Please describe the technical assistance you received. What were the objectives/results or what do you anticipate being the objectives/results?

## **V. Focus Area - The State Supported Employment Services Program**

### **A. Nature and Scope**

Through this focus area the Rehabilitation Services Administration (RSA) will assess the State Supported Employment Services program (Supported Employment program), authorized under title VI of the Rehabilitation Act (Act), as amended by the Workforce Innovation and Opportunity Act (WIOA), and regulations in 34 CFR parts 361 and 363. Title VI authorizes allotments, in addition to grants for vocational rehabilitation services under title I, to assist States in developing and implementing collaborative programs with appropriate entities to provide programs of supported employment services for individuals with the most significant disabilities, including youth with the most significant disabilities, to enable them to achieve a supported employment outcome in competitive integrated employment. Grants made under the Supported Employment program supplement grants issued to States under the State Vocational Rehabilitation Services program (VR program). For the period covered during the FFY 2018 monitoring reviews (FFYs 2015, 2016, and 2017), grants were made to States under the Supported Employment program. At the time of issuance of this MTAG in FFY 2018, both the House and the Senate proposed budgets eliminate the appropriation for the Supported Employment program and RSA has not made allotments of Supported Employment program funds to States under Continuing Resolutions; however, States may have FFY 2017 carryover funds available in FFY 2018, which will be subject to the same administrative cost, reserve, and match requirements as FFY 2015, 2016, and 2017.

WIOA made several significant changes to title VI of the Act that governs the Supported Employment program. The amendments to title VI are consistent with those made throughout the Act to maximize the potential of individuals with disabilities, especially those individuals with the most significant disabilities, to achieve competitive integrated employment and to expand services for youth with the most significant disabilities. The definition of “supported employment” and other provisions of the Act and regulations in 34 CFR parts 361 and 363 relevant to this focus area are found in Appendix B.

The changes to the Supported Employment program made in the Act, as amended by WIOA, covered in this focus area include:

- The extension of the time frame for the provision of supported employment services from 18 to 24 months (section 7(39)(C) of the Act, 34 CFR §361.5(c)(54)(iii), and 34 CFR §363.50(b)(1));
- The requirement that supported employment must be in competitive integrated employment or, if not in competitive integrated employment, in an integrated setting in which the individual is working toward competitive integrated employment on a short-term basis (section 7(38) of the Act, and 34 CFR §363.1);
- The requirement that supported employment funds and/or VR program funds be available for providing extended services to youth with the most significant disabilities for a period of time not to exceed four years, or until such time that a youth reaches the age of 25 and

no longer meets the definition of “youth with a disability,” whichever occurs first (section 604(b) of the Act and 34 CFR §363.4(a)(2)); and

- The reduction of the amount of funds that may be spent on administrative costs (section 606(b)(7)(H) of the Act and 34 CFR §363.51).

To facilitate the provision of monitoring and technical assistance activities, and in preparation for the on-site visit, the review teams and VR agencies will review applicable documentation and resources related to the Supported Employment program, including, but not limited to:

- VR agency policies and procedures related to the provision of supported employment and extended services;
- Third-party cooperative arrangements and/or cooperative agreements with employers, State agencies, private nonprofit organizations, and other groups that fund extended services;
- Third-party cooperative arrangements and/or cooperative agreements with supported employment vendors and associated community rehabilitation programs (CRPs);
- Supported employment assurances 5, 6, and 7 and descriptions e, j.1.A, k.2.B, l.2, n, o, p, and q and any additional information from the VR services portion of the most recently approved Unified or Combined State Plan;
- Procedures to limit expenditures on administrative costs to 2.5 percent of the State’s supported employment award; and
- Performance data related to the number and percentage of individuals with the most significant disabilities receiving supported employment services and achieving supported employment outcomes.

In gathering information related to this focus area, the review teams may consult:

- The VR agency director and other senior managers;
- VR agency counselors;
- VR agency supported employment coordinators and staff;
- Supported employment vendors and associated CRPs;
- Entities with which the VR agency has third-party cooperative arrangements; and
- Entities with which the VR agency has arrangements to fund extended services.

## **B. Overview of Service Delivery and Performance of the Supported Employment Program**

### **General**

#### **Resources:**

- VR agency policies and procedures related to the provision of supported employment and extended services
- Appendix D, Supported Employment Program Profile

## **Questions:**

1. Describe the VR agency's service delivery structure and strategies for the provision of supported employment services for individuals with the most significant disabilities, including youth with the most significant disabilities.
2. Has the VR agency entered into one or more cooperative agreements for the provision of supported employment services for individuals with the most significant disabilities?
3. For FFY 2017, as reported in the Supported Employment Program Profile in Appendix D, what are the five top VR services provided?
4. For the three most recent fiscal years, as reported in the Supported Employment Program Profile in Appendix D, what are the numbers and percentages of individuals who achieved an employment outcome in supported employment? In competitive supported employment?
  - a. If the percentages have changed, describe the trend and whether the VR agency's analysis of its supported employment data suggests that this trend is likely to continue.
  - b. If the percentages have not changed over the three-year period, does the VR agency's analysis of its supported employment data suggest that the numbers and percentages will increase, decrease, or remain constant moving forward?
5. Provide examples of several companies that have employed three or more VR agency consumers in supported employment, the type of work performed by the specific consumers, and their respective work settings.
6. Describe the extent to which supported employment services are available statewide for individuals with the most significant disabilities.

## **Extended Time Frame for Provision of Supported Employment Services**

### **Resources:**

- VR agency policies and procedures related to the provision of supported employment and extended services

The Workforce Investment Act of 1998 limited the provision of supported employment services to up to 18 months. Section 7(39)(C) of the Act, extends the time frame for the provision of supported employment services by the VR agency to no longer than 24 months, unless under special circumstances the eligible individual and the rehabilitation counselor jointly agree to extend the time to achieve the employment outcome identified in the eligible individual's individualized plan for employment (IPE). The extension provides additional time for individuals with the most significant disabilities to receive services and supports necessary after placement to achieve an employment outcome in supported employment, either in competitive integrated employment or working on a short-term basis to achieve competitive integrated employment.

**Questions:**

7. Does the VR agency have data on the average length of time that supported employment services are provided to individuals with the most significant disabilities upon placement in a supported employment position? If so, please describe.
8. Has the average length of time that supported employment services will be provided to individuals with most significant disabilities changed, or is it anticipated that it will change because of WIOA's heightened emphasis on maximizing the potential for individuals with the most significant disabilities to attain competitive integrated employment outcomes?
9. How does a VR counselor, in consultation with an eligible individual with a most significant disability, determine the special circumstances under which an extension of time will be authorized beyond 24 months for supported employment services to facilitate the employment outcome identified on the individual's IPE?

**Competitive Integrated Employment and Short-Term Basis**

**Resources:** VR agency policies and procedures related to the provision of supported employment and extended services

Section 7(38) of the Act and 34 CFR §363.1 require that supported employment be in competitive integrated employment or, if not, in an integrated setting in which the individual is working toward competitive integrated employment on a short-term basis. "Short-term basis" is defined in 34 CFR §363.1(c) as within six months of achieving the supported employment outcome; or, in limited circumstances, within a period not to exceed 12 months from the achievement of the supported employment outcome, if a longer period is necessary based on the needs of the individual who has demonstrated progress toward competitive earnings based on information contained in the service record (section 7(38) of the Act and §363.1(c)).

**Questions:**

10. Describe the criteria and related policies and procedures used by VR counselors to determine and document when an individual with a most significant disability who has not achieved competitive wages during supported employment should enter the short-term basis period.
11. Describe the criteria and related policies and procedures used by VR counselors to evaluate and track an individual's progress toward achieving competitive earnings within the agreed upon short-term basis period and when an extension is needed.
12. What is the average amount of time individuals with the most significant disabilities spend in the short-term basis period before achieving competitive integrated employment?
13. What percentage of individuals who enter the short-term basis achieve or do not achieve competitive integrated employment during the short-term basis?

14. What types of activities has the VR agency implemented to ensure competitive integrated employment can be reasonably achieved within six months of achieving an employment outcome in supported employment, or in limited circumstances, within a period not to exceed 12 months from the achievement of the supported employment outcome?
15. What services, if any, does the VR agency continue to provide individuals who are working on a short-term basis toward the achievement of competitive integrated employment in supported employment?
16. What efforts has the VR agency initiated, or are under consideration by the agency, to facilitate increased interest in competitive integrated employment by individuals with the most significant disabilities, including youth with the most significant disabilities? What effect has the short-term basis requirement had on the VR counselor's and the individual's decision to seek a supported employment outcome?

### **Extended Services for Youth with the Most Significant Disabilities**

#### **Resources:**

- VR agency policies and procedures related to the provision of supported employment and extended services
- Third-party cooperative arrangements and/or cooperative agreements with employers, State Agencies, private nonprofit organizations, and other groups, which fund extended services
- Third-party cooperative arrangements and/or cooperative agreements with supported employment vendors and associated CRPs
- Supporting documentation for the amount of funds reserved, expended, and reported on the SF-425 for the provision of supported employment services, including extended services, for youth with the most significant disabilities under the Supported Employment program (reserve and non-reserve expenditures).

Prior to the passage of WIOA, VR agencies were not permitted to expend Supported Employment or VR program funds for extended services. Section 604(b)(2) of the Act, as amended by WIOA, mandates that the VR agency make available extended services for youth with the most significant disabilities for a period not to exceed four years, or until the individual no longer meets the definition of a "youth with a disability" under the Act, whichever occurs first; or if the youth has transitioned to extended services provided with funds other than those allotted under the VR or Supported Employment programs prior to meeting the age or time restrictions (see also 34 CFR §361.5(c)(19)).

#### **Questions:**

17. How does a VR counselor determine when an individual with a most significant disability is ready to transition from supported employment services to extended services?

18. What effect has the requirement under WIOA for VR agencies to provide extended services with supported employment funds or VR program funds for youth with the most significant disabilities had generally?
19. To what extent has the VR agency funded extended services for youth with the most significant disabilities with Supported Employment or VR program funds?
20. What are the sources of funds utilized by the VR agency for extended services for youth after they transition from funding by the VR agency, including sources from State agencies, private nonprofit organizations, employers, or any other appropriate resource?
21. Does the VR agency have cooperative agreements with State agencies, private nonprofit organizations, employers, or other entities to provide ongoing support services and other appropriate extended services for individuals with the most significant disabilities?

### **Requirements for an Employment Outcome in Supported Employment**

#### **Resources:**

- VR agency policies and procedures related to the provision of supported employment and extended services

Under 34 CFR §363.54, an individual has achieved a supported employment outcome when:

- (1) The individual has completed supported employment services, which may be received for up to 24 months, or longer if the counselor and the individual have determined that such services are needed to support and maintain the individual in supported employment;
- (2) The individual has transitioned to extended services provided either by the VR agency for youth with the most significant disabilities, or another provider;
- (3) The individual has maintained employment and achieved stability in the work setting for a minimum of 90 days after transitioning to extended services; and
- (4) The employment is individualized and customized consistent with the strengths, abilities, interests, and informed choice of the individual.

The achievement of an employment outcome may or may not coincide with the closure of the service record. See Appendix H of this MTAG for scenarios describing the timing of the achievement of the supported employment outcome and the closure of the service record.

#### **Questions:**

22. Does the VR agency have policies and procedures to ensure that supported employment outcomes meet all of the requirements that must be satisfied for an employment outcome in supported employment?
23. What trends has the VR agency seen in the number of employment outcomes in supported employment at subminimum wage and at minimum wage or above?

24. What strategies has the VR agency employed to increase the number of employment outcomes in supported employment at or above minimum wage?

### **Closure of the Supported Employment Service Record**

**Resources:** VR agency policies and procedures related to the provision of supported employment and extended services

The service record of an individual who has achieved an employment outcome in supported employment is closed in accordance with 34 CFR §363.55. Closure of the service record may occur at the time of the supported employment outcome or at a later time, depending on whether individuals with the most significant disabilities, including youth with the most significant disabilities, achieve competitive integrated employment or work toward competitive integrated employment on a short-term basis and whether individuals are receiving extended services and/or any other VR services from the VR agency or from other service providers. For example, the service record for an individual with a most significant disability, including a youth with a most significant disability, who has achieved a supported employment outcome in competitive integrated employment is closed at the time the individual:

- Achieves the employment outcome in accordance with the requirements in 34 CFR §363.54;
- Satisfies the requirements for case closure in 34 CFR §363.55; and
- Is not receiving extended services or any other VR service provided by the VR agency with VR or Supported Employment program funds.

For additional examples of the relationship of employment outcome and closure of the service record, see Appendix H.

### **Questions:**

25. Does the VR agency have policies and procedures to ensure that the closure of service records meet all of the requirements?

### **C. Administrative Costs (34 CFR §363.51)**

#### **Resources:**

- Updated policies or procedures for tracking expenditures for the provision of supported employment services for purchased services and services provided by VR agency personnel
- Related procedures to track expenditures for administrative costs and ensure they do not exceed the cap and are excluded from reserve expenditures.

Under section 603(c) of the Act, as amended by WIOA, and 34 CFR §363.51, a State may not use more than 2.5 percent of its Supported Employment program allotment in FFYs in which an award is made under the Supported Employment program to pay for administrative costs. Prior regulatory provisions at §363.51 limited administrative costs to 5 percent of the State's

allotment. With this change, States are required to spend more Federal Supported Employment program funds providing direct services to individuals and youth with the most significant disabilities. However, just as in previous years, nothing prevents a State from using VR funds to pay for Supported Employment program administrative costs in accordance with section 608(a) of the Act. In addition, section 603(d) of the Act requires a State to reserve and expend 50 percent of the State Supported Employment program allotment in FFYs in which an award is made under the Supported Employment program for the provision of supported employment services, including extended services, to youth with the most significant disabilities. This provision means that any allowable administrative costs charged to the Federal Supported Employment program grant award are not permitted as expenditures to meet the 50 percent reserve, which may only be met with expenditures for the provision of supported employment services, including extended services, to youth with the most significant disabilities.

### **Questions:**

26. Does the VR agency expend more than 2.5 percent of its supported employment grant award allotment on charges for administrative costs?
27. How does the grantee track expenditures to ensure that administrative costs charged to the supported employment grant award do not exceed 2.5 percent of its supported employment allotment?
28. Describe how the grantee tracks administrative cost expenditures to ensure that any administrative expenditure charged to the Supported Employment program is not reported as a reserve expenditure for the provision of supported employment services, including extended services, to youth with the most significant disabilities.

### **D. Technical Assistance**

The following questions are designed to assess the quality of the technical assistance provided by RSA and the RSA-funded technical assistance centers, as well as to identify the ongoing technical assistance needs of the VR agency related to this focus area.

29. What technical assistance needs do you have on any issue or topic related to this focus area? What objectives/results do you hope to achieve through the provision of this technical assistance.
30. Have you received technical assistance from RSA staff on any issue or topic related to this focus area? If so, please describe the nature of the technical assistance provided. What were the objectives/results or what do you anticipate being the objectives/results?
31. Have you received technical assistance from one or more of the RSA-funded technical assistance centers on a topic or issue related to this focus area? If so, from which center? Was the technical assistance universal, targeted, or intensive? Please describe the technical assistance you received. What were the objectives/results or what do you anticipate being the objectives/results?



## **VI. Focus Area – Allocation and Expenditure of State Vocational Rehabilitation Services and State Supported Employment Services Program Funds**

### **A. Nature and Scope**

Through this focus area the Rehabilitation Services Administration (RSA) will assess the fiscal accountability of the State Vocational Rehabilitation Services (VR) and Supported Employment programs. The fiscal accountability requirements are as follows:

- Support the achievement of employment outcomes for individuals with disabilities;
- Maximize resources available for program needs;
- Ensure funds are used only for intended purposes; and
- Ensure programs have sound internal controls and reliable reporting systems.

Through this focus area, RSA will review grantee adherence to Federal fiscal accountability requirements, which include both general administrative and program-specific requirements. General administrative requirements refer to:

- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) located in 2 CFR §200. These regulations establish the foundation of Federal cost principles and standards for determining costs for Federal awards while reducing the administrative burden on award recipients and guarding against the risk of waste and misuse of Federal funds;
- Education Department General Administrative Regulations (EDGAR) in 34 CFR part 76. These regulations are applicable to Department of Education (Department) grantees and establish uniform administrative rules for the Department's Federal grants to State administered programs; and
- Departmental and RSA guidance, including Policy Directives (PDs), Technical Assistance Circulars (TACs), Grant Bulletins, Frequently Asked Questions (FAQ), etc.

Program-specific requirements refer to the Rehabilitation Act of 1973 (Act), as amended by the Workforce Innovation and Opportunity Act (WIOA), and VR and Supported Employment program implementing regulations in 34 CFR part 361 and 34 CFR part 363, respectively. These requirements establish the specific provisions related to the administration and operation of the VR and Supported Employment programs.

In addition to the fiscal accountability requirements covered in this focus area, Focus Areas IV and V include a review of fiscal requirements pertaining to the VR program funds reserved for the provision of pre-employment transition services (i.e., the prohibition against the use of these funds for administrative costs) and supported employment funds (i.e., the limit on the use of award funds for administrative costs to 2.5 percent, none of which may be paid for with funds reserved for youth with the most significant disabilities). Neither this focus area nor Focus Areas IV and V include a review of the extent to which States have satisfied the requirements to reserve at least 15 percent of the Federal VR program award for expenditures on pre-employment transition services, to reserve 50 percent of supported employment funds for

services to youth with the most significant disabilities, and to provide a 10 percent match for this amount, or to track expenditures toward these reserves. Instead, in FFY 2017, RSA provided technical assistance to, and reviewed the progress of, each State toward satisfying these requirements through other processes established by the State Monitoring and Program Improvement Division's (SMPID) Fiscal unit and will provide follow-up in FFY 2018. This focus area and the fiscal elements of Focus Areas IV and V provide a framework for RSA to assess fiscal accountability in the VR and Supported Employment programs.

Review teams will use a variety of resources and documents from the period covering FFY 2015 through FFY 2017. If the issues identified include Federal fiscal years prior to 2015, RSA may request additional information within the statute of limitations. Resources and documentation to be reviewed include data maintained on RSA's Management Information System (MIS) that is generated from reports submitted by the VR agency (e.g., Federal Financial Reports (SF-425), Annual VR Program/Cost Report (RSA-2), and the VR services portion of the program year 2016 Unified or Combined State Plan). These data are organized into a fiscal profile for each State (see Appendix I) that the review teams will share with the VR agencies and that functions as a reference for discussions regarding the areas covered within this focus area.

The review teams will review the following documents, as needed, to ensure adherence to accountability requirements (list is not exhaustive):

- A-133 audit findings and corrective actions;
- State/agency allocation/budget documents and annual fiscal reports;
- Agency policies, procedures, and forms (e.g., monitoring, personnel cost allocation, procurement, etc.);
- Documentation of obligations and expenditures, including contracts, purchase orders, invoices, etc.; and
- Grant award notifications, documentation of non-Federal share/match (e.g., interagency transfers, third-party cooperative arrangements (TPCAs), establishment projects, private donations), maintenance of effort (MOE), and program income documentation.

Prior to conducting the review, the review teams will provide the VR agency with a documentation request that includes a list of the documentation that the agency must provide prior to the start of the review. VR agencies should submit the documentation in a manner that enables RSA to analyze the documents prior to the on-site visit. After the initial documentation has been submitted, the review teams may need to request additional supporting fiscal documents or clarifying information. Teams will work collaboratively with agencies to obtain the documentation necessary to complete the review, while minimizing the amount of documentation requested to the extent possible.

The degree to which the review teams address each accountability requirement is dependent upon the individual circumstances of the agency. The review teams will analyze the information obtained prior to the on-site visit by reviewing the documentation requested, conducting teleconferences, and examining RSA-MIS data to determine the level of review required for each component. Therefore, the level of review for each component may vary by agency.

## **B. General Administrative Requirements**

This component of the fiscal review focuses on general administrative requirements specific to the VR and Supported Employment programs.

### **1. Internal Controls**

**Resources:** Policies and procedures regarding internal control process and documentation of control activities, Federal Financial Reports and RSA-2 reports

This area assesses fiscal accountability in relation to internal control requirements. Internal controls means a process, implemented by a non-Federal entity, designed to provide reasonable assurance regarding the achievement of objectives in the effectiveness and efficiency of operations, reliability of reporting for internal and external use, and compliance with applicable laws and regulations. Internal controls are established and implemented as a measure of checks and balances to ensure proper expenditures of funds. Internal controls serve to safeguard assets and prevent fraud, waste, abuse, and mismanagement. They include methods and procedures the grantee uses to manage the day-to-day operations of grant-supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved.

In accordance with the internal control requirements at 2 CFR §200.303, the non-Federal entity must:

- (a) Establish and maintain effective internal controls over the Federal award that provides reasonable assurance that the non-Federal entity is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States or the “Internal Control Integrated Framework,” issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).
- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.
- (c) Evaluate and monitor the non-Federal entity's compliance with statutes, regulations and the terms and conditions of Federal awards.
- (d) Take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.

Internal control items that will be addressed include, but are not limited to, segregation of duties, internal audit processes, and financial reporting. Accurate financial reporting is a key component of internal controls and will be an area of consideration for review. Federal regulations require that all recipients of Federal funds accurately report the financial results of all Federally-assisted activities (34 CFR §361.12 and 2 CFR §200.302). RSA fiscal staff will review Federal Financial Reports (SF-425s) to ensure the reports and accounting records are timely and complete and contain accurate information pertaining to grant authorizations, obligations, unobligated balances, total expenditures, program income, etc. The agency's process for ensuring the correct assignment of obligations and expenditures to the correct Federal fiscal year will also be reviewed.

**Questions:**

1. Review any audit findings (internal or external) that were identified during the period of the review. Review supporting documentation to ensure that corrective actions remediated the audit finding.
2. Describe the agency's process for developing and reviewing financial reports (SF-425 and RSA-2) to ensure timely submission of accurate and valid data. Include the agency's methods or procedures for developing and maintaining supporting documentation used to verify the accuracy of financial reports submitted to RSA.
3. Identify each, if any, occurrence of late financial report submission and/or requests to re-open previously submitted financial reports for correction that have occurred over the previous three Federal fiscal years. Identify the reasons for these issues and the internal control processes established to prevent recurrence.
4. Identify the administrative processes or procedures used to ensure the proper assignment of Federal and non-Federal obligations and expenditures to the correct Federal fiscal year.

**Prior Approval**

**Resources:** Policies and procedures regarding prior approval, including procedures for identifying items that require approval and the process for obtaining prior approval

This area reviews procedures the grantee has implemented to ensure prior approval is attained when specifically required for allowability as described in 2 CFR §200.407.

**Questions:**

5. Since FFY 2015, has the agency paid any expenditures for which prior approval was specifically required for allowability? If so, did the grantee request and receive prior written approval from RSA before making the expenditure?

**Personnel Cost Allocation**

**Resources:** Policies and procedures related to documenting personnel time and cost allocation, supporting documentation (e.g., process used to allocate personnel costs)

This area identifies how the VR agency allocates personnel costs for its employees who work on one or multiple cost objectives (2 CFR §200.405 and §200.430). Where employees work on multiple activities or cost objectives, a distribution of their salaries or wages must be supported by documentation that meets the standards in 2 CFR part 200.

**Questions:**

6. If the agency uses a substitute personnel system, describe the system and provide documentation that the substitute system has been approved by the VR agency's cognizant Federal agency for indirect costs.
7. Describe the process used to allocate personnel costs for staff working one or more cost objectives. Include the internal control process the agency uses to verify the accuracy of the personnel cost allocations.

**C. Program-Specific Requirements**

This component of the fiscal review focuses on statutory requirements specific to the VR program. Additional statutory requirements specific to the Supported Employment program and the pre-employment transition services requirement of the VR program are located in their respective focus areas of the MTAG.

**1. Match (non-Federal share)**

**Resources:** Federal Financial Reports and agency documentation of non-Federal expenditures

This area assesses fiscal accountability for the VR program's match requirement. VR implementing regulations require that the State must incur a portion of expenditures under the VR services portion of the Unified or Combined State Plan from non-Federal funds to meet its cost sharing requirements (34 CFR §361.60). The Federal share for expenditures made by the State, including expenditures for the provision of VR services and the administration of the VR services portion of the Unified or Combined State Plan, is 78.7 percent. The State's share is 21.3 percent. The non-Federal share of expenditures reported by September 30 of the year of appropriation must be sufficient to permit the drawdown of Federal funds needed to pay obligations incurred during the year of appropriation, plus the amount of Federal funds, if any, the grantee plans to carry over for obligation and expenditure during the carryover period of the award. Because the VR program considers non-Federal share to be allowable as match only when obligated during the year of appropriation of an award, grantees must report any non-Federal share obligated during the carryover period of an award as match for the succeeding Federal fiscal year award.

**Questions:**

8. Identify the sources and amounts of match received by the VR agency in each of the three previous Federal fiscal years.
9. Identify the extent to which the agency satisfied the match requirement in each of the three previous Federal fiscal years.
10. For any year(s) in which the non-Federal share requirement was not met, identify the amount of the deficit.

## **2. Third-Party Cooperative Arrangements (TPCAs)**

**Resources:** Documentation related to TPCAs (e.g., contracts, agreements, and invoices), and TPCA review instrument in Appendix F of this MTAG

This area assesses fiscal accountability in relation to the agency's use of TPCAs. TPCAs are agreements between the VR agency and other State or local public agencies (referred to as cooperating agencies). TPCAs allow the VR agency to utilize a third party to provide VR services to applicants, or recipients of services from, the VR program. Services are typically provided by cooperating agency staff, and may not be provided by VR counselors or other VR agency staff.

The RSA review team will complete the TPCA review instrument in Appendix F of the MTAG to assess consistency of TPCAs with the requirements of 34 CFR §361.28. This includes the agency's process for ensuring that TPCA costs are allocable to the VR program in accordance with the relative benefits received (2 CFR §200.405).

## **3. Establishment Projects**

**Resources:** Policies related to establishment projects, establishment project contracts or agreements; comprehensive statewide needs assessment; VR services portion of the Unified or Combined State Plan

This area assesses fiscal accountability for VR funds used for the establishment, development, or improvement of a public or non-profit community rehabilitation program (CRP) to provide VR services to applicants and eligible individuals of the VR program that promote integration into the community and competitive integrated employment, including supported employment and customized employment (section 103(b)(2) of the Act and 34 CFR §361.49(a)(1)). VR agencies must evaluate the needs of VR participants in the comprehensive statewide needs assessment (34 CFR §361.29) to determine whether the VR agency can establish, develop or improve a public or non-profit CRP (34 CFR §361.5(c)(16) and (17), and 34 CFR §361.49). The need to establish, develop, or improve a CRP, along with goals and priorities and strategies to address the need, must be reported in the VR services portion of the Unified or Combined State Plan.

The questions below address the pre-planning requirements, as well as the use of non-Federal funds earmarked for establishment projects (34 CFR §361.60(b)(3)(i)).

### **Questions:**

11. Identify any contracts or agreements the agency has regarding the establishment, development, or improvement of a public or non-profit CRP. For these agreements, specify:
  - a. Where the comprehensive statewide needs assessment incorporates the need to establish, develop or improve a public or non-profit CRP;
  - b. The goals and priorities and strategies related to each establishment project;

- c. How the agency determined the amount of funds to be contributed toward the project, including the source of the non-Federal funds (e.g., VR agency State appropriation, CRP non-Federal funds); and
  - d. How the agency and CRP will ensure that only allowable recipients of VR services receive VR services from the establishment project.
12. Identify the process the agency used to ensure that all pertinent Federal requirements were addressed, such as the requirement that the Federal share of the cost of construction for the facilities for a FFY will not exceed an amount equal to 10 percent of the State's allotment under section 110 for such year (section 101(a)(17)(A) of the Act).

## **D. Technical Assistance**

The following questions are designed to assess the quality of the technical assistance provided by RSA and the RSA-funded technical assistance centers, as well as to identify the ongoing technical assistance needs of the VR agency related to the focus areas in this MTAG.

### **Questions:**

- 13. What technical assistance needs do you have on any issue or topic related to this focus area? What objectives/results do you hope to achieve through the provision of this technical assistance.
- 14. Have you received technical assistance from RSA staff on any issue or topic related to this focus area? If so, please describe the nature of the technical assistance provided. What were the objectives/results or what do you anticipate being the objectives/results?
- 15. Have you received technical assistance from one or more of the RSA-funded technical assistance centers on a topic or issue related to this focus area? If so, from which center? Was the technical assistance universal, targeted, or intensive? Please describe the technical assistance you received. What were the objectives/results or what do you anticipate being the objectives/results?

## **VII. Focus Area – Joint Workforce Innovation and Opportunity Act Final Rule Implementation**

### **A. Nature and Scope**

The Departments of Education and Labor issued the Workforce Innovation and Opportunity Act (WIOA) Joint Rule for Unified and Combined State Plans, Performance Accountability, and the One-Stop System Joint Provisions; Final Rule (Joint WIOA Final Rule) to implement title I of WIOA. These joint regulations apply to all core programs of the workforce development system established by title I of WIOA and the joint regulations are incorporated into the Vocational Rehabilitation (VR) program regulations through subparts D, E, and F of 34 CFR part 361.

WIOA strengthens the alignment of the public workforce development system's six core programs by compelling unified strategic planning requirements, common performance accountability measures, and requirements governing the one-stop delivery system. In so doing, WIOA places heightened emphasis on coordination and collaboration at the Federal, State, local, and tribal levels to ensure a streamlined and coordinated service delivery system for job seekers, including those with disabilities, and employers.

### **WIOA Shared Monitoring Guide**

Beginning in Federal fiscal year (FFY) 2017, Federal partners from the U.S. Departments of Labor (DOL), Education (ED), and Health and Human Services (HHS) formed an interagency workgroup with the purpose of developing the WIOA Shared Monitoring Guide (the Guide). The Guide identifies compliance requirements that are shared among the core partner programs, as well as additional questions that may be used to assess State progress and provide information about State implementation of WIOA. The Guide is intended to allow Federal partners to more uniformly and consistently conduct program-specific monitoring reviews of WIOA's six core programs at the State and local levels and coordinate technical assistance efforts across the core programs. The six core programs are the:

- Adult, Dislocated Worker, and Youth programs, authorized under WIOA title I and administered by DOL's Employment and Training Administration (ETA);
- Adult Education and Family Literacy Act (AEFLA) program, authorized under WIOA title II and administered by ED's Office of Career, Technical and Adult Education (OCTAE);
- Employment Service program authorized under the Wagner-Peyser Act, as amended by WIOA title III and administered by ETA; and
- State Vocational Rehabilitation (VR) Services program authorized under title I of the Rehabilitation Act of 1973, as amended by WIOA title IV, and administered by ED's Rehabilitation Services Administration (RSA).

Federal partners also developed a set of standard operating procedures (SOPs) to guide how each Federal agency will share information garnered from monitoring processes with each other. These SOPs include directions for sharing monitoring tools (e.g., the FFY 2018 MTAG), schedules, points of contact, draft compliance findings and technical assistance summaries,

which may affect other Federal partners, and final monitoring reports. The SOPs also delineate how Federal partners will review and signal concurrence on issues resulting from one another's monitoring review before final monitoring reports are issued.

In FFY 2018, ETA, OCTAE, and RSA will incorporate the content of the Guide into their program-specific monitoring tools and implement the SOPs for communicating with Federal partners related to monitoring. Therefore, RSA is incorporating the Guide as a focus area into the FFY 2018 MTAG. This focus area consists of the following topical areas: WIOA Partnership; Governance; One-Stop Operations; and Performance Accountability. To gather information pertinent to these topics, RSA staff will review a variety of documents including the Program Year (PY) 2016 Unified or Combined State Plan; Memoranda of Understanding (MOUs) including the One-Stop Center Operating Budget and Infrastructure Funding Agreement (IFA) related to the one-stop service delivery system; and other supporting documentation related to the four topical areas.

The four topical areas addressed in this focus area are contained in Appendix E:

- WIOA Partnership;
- Governance;
- One-Stop Operations; and
- Performance Accountability.

Topical areas include both qualitative questions and compliance sections. Applicable questions and compliance related to the VR program will be addressed during the review.

# **APPENDIX A**

## **OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES REHABILITATION SERVICES ADMINISTRATION**

### **Vocational Rehabilitation Program Monitoring and Accountability Model**

#### **I. Background**

To monitor the VR program in a manner consistent with section 107 of the Rehabilitation Act of 1973 (Act), as amended by the Workforce Innovation and Opportunity Act (WIOA), and the Department of Education's (Department) policies, the State Monitoring and Program Improvement Division (SMPID) within the Rehabilitation Services Administration (RSA), developed an accountability model to enable it to carry out monitoring activities while increasing the effective utilization of its resources to administer the VR program. The model is consistent with guidelines set forth in the Department of Education Grant Bulletin 14-06, "Policy, Guidance, and Responsibilities for Principal Office Monitoring Frameworks for Formula Grant Programs," dated April 28, 2014.

#### **II. FFY 2018 Accountability Model**

The Federal fiscal year (FFY) 2018 accountability model is comprised of five programmatic and two fiscal factors, for a total of seven performance indicators, as follows:

- State percentage of individuals determined eligible for the VR program who received services;
- State percentage of individuals determined eligible for the VR program who received VR services and achieved an employment outcome;
- State percentage of individuals determined eligible for the VR program within 60 days after the date of application;
- State percentage of individuals determined eligible for the VR program whose individualized plans for employment (IPE) were signed within 90 days after the determination of eligibility;
- State median weekly earnings of individuals who received services and achieved competitive integrated employment outcomes;
- Amount of the State formula award allotment for the VR program; and
- State percentage of the required non-Federal share (match) provided for the VR program based upon the State's formula award allotment.

All data are computed on a State basis to align the RSA accountability model with the principles in title I of WIOA, under which core partners in the workforce development system, including VR agencies, will be required to develop performance targets and report the Annual State Performance Report at the State level. This method also will ensure comparability between States with one combined agency and States with more than one VR agency (general and blind).

In making the calculations, SMPID will review data reported on RSA collection instruments, including the Case Service Report (RSA-911), Financial Status Report (SF-425), and the Annual VR Program/Cost Report (RSA-2), for the most recent period for which complete data are available. To ensure the completeness and reliability of the data submitted by all VR agencies, SMPID staff conducts edit checks on the data reported through the RSA collection instruments. Therefore, the data used in the calculation of the factors comprising the FFY 2018 model are accurate and reliable. Importantly, the data elements used in the calculation of the factors are not subjective in nature, further reducing the likelihood of errors.

### **III. Description of Factors**

The seven factors to be analyzed through the model are more fully described below, including the basis for their use, the methods of calculation, and threshold levels of performance equating with numerical scores.

#### **A. State percentage of individuals determined eligible for the VR program who received services**

Basis: VR services assist individuals with significant disabilities to achieve greater independence and self-sufficiency through employment outcomes in competitive integrated or supported employment. When determining individuals eligible for services, VR agencies are making a commitment to engage and serve the individuals in a timely and effective manner. This factor is designed to assess VR agency performance with respect to the efficient and effective identification and engagement in the VR process of those individuals who require VR services to achieve employment.

Method of Calculation: To calculate performance on this factor using data reported on the RSA-911 for FFY 2016:

- Identify the total number of individuals determined eligible for the VR program for each agency. Combine data for States with two VR agencies.
- Identify the total number of eligible individuals who received VR services from the agency. Combine data for States with two VR agencies.
- Obtain a percentage by dividing the total number of eligible individuals who received VR services by the total determined eligible for the VR program. Multiply this number by 100.
- Rank each state from high to low. Divide the position number in this ranking by the number of states—56, and multiply by 100 to determine the percent. For example, if an agency was ranked 22 out of 56, the risk percent would be 39 percent.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Percent	Risk Score
0-20	1
21-40	2
41-60	3
61-80	4
81-100	5

**B. State percentage of eligible individuals received VR services who achieved an employment outcome**

Basis: This factor builds upon the information obtained through the calculation of the previous factor and further measures a State’s ability to provide eligible individuals with the training and skills necessary to achieve an employment outcome.

Method of Calculation: To calculate performance on this factor using data reported on the RSA-911 for FFY 2016:

- Identify the total number of individuals found eligible for the VR program and who received VR services in each State. Combine data for States with two VR agencies.
- Identify the total number of eligible individuals who received VR services and who achieved an employment outcome in the State. Combine data for States with two VR agencies.
- Obtain a percentage by dividing the total number of eligible individuals who received VR services and who achieved an employment outcome by the total determined eligible and who received VR services. Multiply this number by 100.
- Rank each state from high to low. Divide the position number in this ranking by the number of states, 56, and multiply by 100 to determine the percent. For example, if an agency was ranked 22 out of 56, the risk percent would be 39 percent.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Percent	Risk Score
0-20	1
21-40	2
41-60	3
61-80	4
81-100	5

**C. State percentage of individuals determined eligible for the VR program within 60 days after application**

Basis: VR services assist individuals with significant disabilities to achieve greater independence and self-sufficiency through competitive integrated employment. When determining individuals eligible for services, VR agencies are making a commitment to engage and serve the individuals in a timely and effective manner. This factor is designed

to assess VR agency performance with respect to the efficient and effective identification and engagement in the VR process of those individuals who require VR services to achieve employment and to assess the implementation of the 60-day eligibility timeline in 34 CFR §361.41(B)(1).

Method of Calculation: To calculate performance on this factor using data reported on the RSA-911 for FFY 2016:

- Identify the total number of individuals determined eligible for the VR program for each State. Combine the data for States with two VR agencies.
- For each individual determined eligible, calculate the number of days from the date of application to the date of eligibility determination.
- Divide these individuals into two groups, one for those whose eligibility was determined in less than or equal to 60 days and another for those whose eligibility was determined in more than 60 days.
- Obtain a percentage by dividing the total number of individuals determined eligible within 60 days by the total number of individuals determined eligible for the VR program. Multiply this number by 100.
- Rank each State from high to low. Divide the position number in this ranking by the number of states, 56, and multiply by 100 to determine the percent. For example, if an agency was ranked 22 out of 56, the risk percent would be 39 percent.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Percent	Risk Score
0-20	1
21-40	2
41-60	3
61-80	4
81-100	5

**D. State percentage of individuals determined eligible for the VR program whose individualized plans for employment (IPE) were assigned within 90 days after the determination of eligibility**

Basis: VR services assist individuals with significant disabilities to achieve greater independence and self-sufficiency through employment outcomes in competitive integrated or supported employment. When determining individuals eligible for services, VR agencies are making a commitment to engage and serve the individuals in a timely and effective manner. This factor is designed to assess VR agency performance with respect to the efficient and effective identification and engagement in the VR process of those individuals who require VR services to achieve employment and implementation of 34 CFR §361.45(e).

Method of Calculation: To calculate performance on this factor using data reported on the RSA-911 for FFY 2016:

- Identify the total number of individuals determined eligible for the VR program and who had a signed IPE for each State. Combine the data for States with two VR agencies.
- For each individual determined eligible, calculate the number of days from the date of the eligibility determination to the date on which the IPE was signed. Combine the data for States with two VR agencies.
- Divide these individuals into two groups, one for individuals whose IPEs were signed in fewer than or equal to 90 days and another for those whose IPEs were signed in more than 90 days.
- Obtain a percentage by dividing the total number of eligible individuals whose IPEs were signed within 90 days by the total number of individuals determined eligible. Multiply this number by 100.
- Rank each State from high to low. Divide the position number in this ranking by the number of States, 56, and multiply by 100 to determine the percent. For example, if an agency was ranked 22 out of 56, the risk percent would be 39 percent.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Percent	Risk Score
0-20	1
21-40	2
41-60	3
61-80	4
81-100	5

**E. State median weekly earnings for individuals who received services and achieved competitive integrated employment**

Basis: The performance of the VR program can be assessed in terms of the quality of the employment outcomes achieved by individuals with disabilities. The median earnings of individuals who achieved competitive integrated employment demonstrate the ability of the VR program to assist individuals to achieve high quality competitive integrated employment, thereby enhancing their ability to attain self-sufficiency.

Method of Calculation: To calculate this factor using data reported through the RSA-911 for FFY 2016:

- Determine the total number of individuals who achieved competitive employment.<sup>1</sup> Combine the data for States with two VR agencies.

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<sup>1</sup> For the purpose of reporting data on the RSA-911, individuals are considered to have achieved competitive employment if they exited the VR program with employment in an integrated setting with or without supports, self-employment, or Business Enterprise Program (Employment Status at Closure = 1, 3, 4, or 7) and earned an hourly

- For each individual who achieved competitive employment, identify the weekly earnings at closure of the service record.
- List the weekly earnings for each individual from the lowest to the highest value. The value in the middle of this list is the median weekly earnings value, with the same quantity of values above the median value as below. If the total number of individuals in the list is even, calculate the median by adding the two middle values together and dividing by two.
- Rank the median weekly earnings value from each State from high to low. Divide the position number in this ranking by the number of States, 56, and multiply by 100 to determine the percent. For example, if an agency was ranked 22 out of 56, the risk percent would be 39 percent.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Percent	Risk Score
0-20	1
21-40	2
41-60	3
61-80	4
81-100	5

#### **F. Amount of the State formula award allotment for the VR program**

Basis: Use of this factor is consistent with the guidelines contained in the Guide for Managing Formula Grants (ODS: 1-102) issued by the Department on August 26, 2016. States allotted a greater amount of the total Federal formula award potentially possess a greater amount of financial resources with which to assist a larger number of individuals with disabilities to achieve employment. Consequently, these States can have a more significant effect on VR program performance nationally.

Method of Calculation: To calculate fiscal performance on this factor using the allocation for FFY 2017:

- This calculation is based on the State's formula award allotment and is not adjusted to account for reallocation, Maintenance of Effort penalties, or other changes to the allotment.

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wage at closure (Weekly Wage at Closure divided by the Number of Hours Worked in a Week at Closure) equal to or greater than the Federal or State minimum wage, whichever is higher, minus .005.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Formula Grant Award Amount	Risk Score
0- \$9,999,999	1
\$10,000,000 - \$29,999,999	2
\$30,000,000 - \$59,999,999	3
\$60,000,000 - \$99,999,999	4
≤ \$100,000,000	5

**G. State percentage of the required non-Federal share (match) provided for the VR program based upon the State’s formula award allotment**

Basis: To access Federal VR program funds necessary for the provision of services to VR consumers, a State must be able to provide the required non-Federal share. The inability to match Federal funds results in a reduction of agency resources needed to serve consumers and achieve program goals.

Method of Calculation: To calculate fiscal performance on this factor using data reported on the SF-425 FFY 2016:

- The calculation for States with combined agencies is made by dividing the agency non-Federal share provided at the end of the award period by the amount of non-Federal share required to match the agency’s formula award amount. The calculation for States with two VR agencies is derived by dividing the sum of the non-Federal share provided for both agencies by the end of the award period by the amount of non-Federal share required to match the State’s total formula allotment.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk. States that provided non-Federal funds equal to or greater than 100 percent of the required non-Federal share are assigned a score of 1.

Percent of Match	Risk Score
100<	1
90-99.9	2
80-89.9	3
70-79.9	4
<70	5

**IV. Method to Determine Level of Monitoring**

While the described calculations will be performed for each State on an annual basis, resulting in a State’s overall score, only a portion of States will be selected for review in each Federal fiscal year. To select the States for review in FFY 2018, SMPID will add the State scores for each of the factors and divide by 7 to calculate an average State program accountability score ranging from 1.00 to 5.00.

A. Comprehensive Monitoring:

SMPID will conduct comprehensive monitoring of all States during the five-year monitoring cycle (FFY 2017 through FFY 2021) due to the extensive programmatic and fiscal changes to the VR program made by the Act, as amended by WIOA.

Scope: This monitoring will entail implementation of all the focus areas comprising the FFY 2018 monitoring protocol.

Monitoring Teams and Activities: The monitoring teams, consisting of at least two program members and one fiscal member, will review documentation and conduct teleconferences related to all focus areas in preparation for an on-site visit, typically lasting for one week.

B. Targeted Monitoring

SMPID may conduct targeted monitoring of States or individual VR agencies as warranted by the scores on individual accountability factors.

Scope: This monitoring will entail implementation of select focus areas related to VR program programmatic or fiscal performance. SMPID will determine the specific topics based on the VR agencies program and fiscal data and responses to a general pre-monitoring questionnaire.

Monitoring Teams and Activities: The monitoring teams, typically consisting of one program and one fiscal member, will review documentation and conduct teleconferences related to these components in preparation for an on-site visit lasting for two to three days. In addition, the monitoring teams may engage in all monitoring activities with the VR agencies using teleconferences or videoconferences when available when financial resources are limited.

Additionally, both comprehensive and targeted monitoring will involve the identification of strategies designed to improve program and fiscal performance.

## **APPENDIX B**

### **FFY 2017 Monitoring and Technical Assistance Guide**

#### **Statutory and Regulatory Requirements**

This appendix contains the full text of pertinent legal requirements cited in this FFY 2017 Monitoring and Technical Assistance Guide related to the provision of transition and pre-employment transition services in Focus Area IV and supported employment services in Focus Area V.

#### **A. Focus Area IV – Transition Services, Including Pre-Employment Transition Services, for Students and Youth with Disabilities**

##### **Rehabilitation Act of 1973, as amended by the Workforce Innovation and Opportunity Act**

Definitions

#### **SEC. 7 DEFINITIONS**

For the purposes of this Act:

(30) **PRE-EMPLOYMENT TRANSITION SERVICES.** – The term “pre-employment transition services” means services provided in accordance with section 113.

(37) **STUDENT WITH A DISABILITY.**—

(A) **IN GENERAL**—The term “student with a disability” means an individual with a disability who—

(i)(I)(aa) is not younger than the earliest age for the provision of transition services under section 614(d)(1)(A)(i)(VIII) of the Individuals with Disabilities Education Act (20 U.S.C. 1414(d)(1)(A)(i)(VIII)); or (bb) if the State involved elects to use a lower minimum age for receipt of pre-employment transition services under this Act, is not younger than that minimum age; and (II)(aa) is not older than 21 years of age; or (bb) if the State law for the State provides for a higher maximum age for receipt of services under the Individuals with Disabilities Education Act (20 U.S.C. 1400 et seq.), is not older than that maximum age; and (ii)(I) is eligible for, and receiving, special education or related services under part B of the Individuals with Disabilities Education Act (20 U.S.C. 1411 et seq.); or (II) is an individual with a disability, for purposes of section 504.

(42) **YOUTH WITH A DISABILITY.**

(A) **In General** – The term “youth with a disability” means an individual with a disability who –

(i) is not younger than 14 years of age; and

(ii) is not older than 24 years of age.

## **SEC. 101. STATE PLANS.**

(a) PLAN REQUIREMENTS.—

(11) COOPERATION, COLLABORATION, AND COORDINATION.—

(D) COORDINATION WITH EDUCATION OFFICIALS.—The State plan shall contain plans, policies, and procedures for coordination between the designated State agency and education officials responsible for the public education of students with disabilities, that are designed to facilitate the transition of the students with disabilities from the receipt of educational services in school to the receipt of vocational rehabilitation services, including pre-employment transition services, under this title, including information on a formal interagency agreement with the State educational agency that, at a minimum, provides for—

(i) consultation and technical assistance, which may be provided using alternative means for meeting participation (such as video conferences and conference calls), to assist educational agencies in planning for the transition of students with disabilities from school to post-school activities, including vocational rehabilitation services;

(ii) transition planning by personnel of the designated State agency and educational agency personnel for students with disabilities that facilitates the development and implementation of their individualized education programs under section 614(d) of the Individuals with Disabilities Education Act;(iii ) the roles and responsibilities, including financial responsibilities, of each agency, including provisions for determining State lead agencies and qualified personnel responsible for transition services; and

(iv) procedures for outreach to and identification of students with disabilities who need the transition services.

(25) SERVICES FOR STUDENTS WITH DISABILITIES.—The State plan shall provide an assurance that, with respect to students with disabilities, the State-

(A) has developed and will implement-

(i) strategies to address the needs identified in the assessments described in paragraph (15); and

(ii) strategies to achieve the goals and priorities identified by the State, in accordance with paragraph (15), to improve and expand vocational rehabilitation services for students with disabilities on a statewide basis; and

(B) has developed and will implement strategies to provide pre-employment transition services.

## **SEC. 103. VOCATIONAL REHABILITATION SERVICES.**

(b) VOCATIONAL REHABILITATION SERVICES FOR GROUPS OF INDIVIDUALS.—Vocational rehabilitation services provided for the benefit of groups of individuals with

disabilities may also include the following:

(7) Transition services to youth with disabilities and students with disabilities, for which a vocational rehabilitation counselor works in concert with educational agencies, providers of job training programs, providers of services under the Medicaid program under title XIX of the Social Security Act (42 U.S.C. 1396 et seq.), entities designated by the State to provide services for individuals with developmental disabilities, centers for independent living (as defined in section 702), housing and transportation authorities, workforce development systems, and businesses and employers.

## **SEC. 110 STATE ALLOTMENTS**

(d)(1) From any State allotment under subsection (a) for a fiscal year, the State shall reserve not less than 15 percent of the allotted funds for the provision of pre-employment transition services.

(2) Such reserved funds shall not be used to pay for the administrative costs of providing pre-employment transition services.

## **SEC. 113. PROVISION OF PRE-EMPLOYMENT TRANSITION SERVICES.**

(a) **IN GENERAL.**—From the funds reserved under section 110(d), and any funds made available from State, local, or private funding sources, each State shall ensure that the designated State unit, in collaboration with the local educational agencies involved, shall provide, or arrange for the provision of, pre-employment transition services for all students with disabilities in need of such services who are eligible or potentially eligible for services under this title.

(b) **REQUIRED ACTIVITIES.**—Funds available under subsection (a) shall be used to make available to students with disabilities described in subsection (a)—

(1) job exploration counseling;

(2) work-based learning experiences, which may include in-school or after school opportunities, or experience outside the traditional school setting (including internships), that is provided in an integrated environment to the maximum extent possible;

(3) counseling on opportunities for enrollment in comprehensive transition or postsecondary educational programs at institutions of higher education;

(4) workplace readiness training to develop social skills and independent living; and

(5) instruction in self-advocacy, which may include peer mentoring.

(c) **AUTHORIZED ACTIVITIES.**—Funds available under subsection (a) and remaining after the provision of the required activities described in subsection (b) may be used to improve the transition of students with disabilities described in subsection (a) from school to postsecondary education or an employment outcome by—

(1) implementing effective strategies to increase the likelihood of independent living and

inclusion in communities and competitive integrated workplaces;

(2) developing and improving strategies for individuals with intellectual disabilities and individuals with significant disabilities to live independently, participate in postsecondary education experiences, and obtain and retain competitive integrated employment;

(3) providing instruction to vocational rehabilitation counselors, school transition personnel, and other persons supporting students with disabilities;

(4) disseminating information about innovative, effective, and efficient approaches to achieve the goals of this section;

(5) coordinating activities with transition services provided by local educational agencies under the Individuals with Disabilities Education Act (20 U.S.C. 1400 et seq.);

(6) applying evidence-based findings to improve policy, procedure, practice, and the preparation of personnel, in order to better achieve the goals of this section;

(7) developing model transition demonstration projects;

(8) establishing or supporting multistate or regional partnerships involving States, local educational agencies, designated State units, developmental disability agencies, private businesses, or other participants to achieve the goals of this section; and

(9) disseminating information and strategies to improve the transition to postsecondary activities of individuals who are members of traditionally unserved populations.

(d) **PRE-EMPLOYMENT TRANSITION COORDINATION.**—Each local office of a designated State unit shall carry out responsibilities consisting of—

(1) attending individualized education program meetings for students with disabilities, when invited;

(2) working with the local workforce development boards, one-stop centers, and employers to develop work opportunities for students with disabilities, including internships, summer employment and other employment opportunities available throughout the school year, and apprenticeships;

(3) work with schools, including those carrying out activities under section 614(d)(1)(A)(i)(VIII) of the Individuals with Disabilities Education Act (20 U.S.C. 1414(d)(1)(A)(i)(VIII)), to coordinate and ensure the provision of pre-employment transition services under this section; and

(4) when invited, attend person-centered planning meetings for individuals receiving services under title XIX of the Social Security Act (42 U.S.C. 1396 et seq.).

(e) **NATIONAL PRE-EMPLOYMENT TRANSITION COORDINATION.**—The Secretary shall support designated State agencies providing services under this section, highlight best State practices, and consult with other Federal agencies to advance the goals of this section.

(f) SUPPORT.—In carrying out this section, States shall address the transition needs of all students with disabilities, including such students with physical, sensory, intellectual, and mental health disabilities.”.

**Final Regulations: State Vocational Rehabilitation Services Program; State Supported Employment Services Program; Limitations on Use of Subminimum Wage (81 FR 55629 (August 19, 2016))**

**34 CFR §361.5(c) Definitions:**

34 CFR §361.5(c)(42) *Pre-employment transition services* means the required activities and authorized activities specified in § 361.48(a)(2) and (3).

34 CFR §361.5(c)(51) *Student with a disability* – means, in general, an individual with a disability in a secondary, postsecondary, or other recognized education program who—

(A)(1) Is not younger than the earliest age for the provision of transition services under section 614(d)(1)(A)(i)(VIII) of the Individuals with Disabilities Education Act (20 U.S.C. 1414(d)(1)(A)(i)(VIII)); or (2) If the State involved elects to use a lower minimum age for receipt of pre-employment transition services under this Act, is not younger than that minimum age; and (B)(1) Is not older than 21 years of age; or (2) If the State law for the State provides for a higher maximum age for receipt of services under the Individuals with Disabilities Education Act (20 U.S.C. 1400 *et seq.*), is not older than that maximum age; and (C)(1) Is eligible for, and receiving, special education or related services under Part B of the Individuals with Disabilities Education Act (20 U.S.C. 1411 *et seq.*); or (2) Is a student who is an individual with a disability, for purposes of section 504.

34 CFR §361.5(c)(58) *Youth with a disability*—(i) *Youth with a disability* means an individual with a disability who is not— (A) Younger than 14 years of age; and (B) Older than 24 years of age. (ii) *Youth with disabilities* means more than one youth with a disability.

**34 CFR §361.22 Coordination with education officials.**

(a) *Plans, policies, and procedures.* (1) The vocational rehabilitation services portion of the Unified or Combined State Plan must contain plans, policies, and procedures for coordination between the designated State agency and education officials responsible for the public education of students with disabilities that are designed to facilitate the transition of students with disabilities from the receipt of educational services, including pre-employment transition services, in school to the receipt of vocational rehabilitation services under the responsibility of the designated State agency.

(2) These plans, policies, and procedures in paragraph (a)(1) of this section must provide for the development and approval of an individualized plan for employment in accordance with §361.45 as early as possible during the transition planning process and not later than the time a student with a disability determined to be eligible for vocational rehabilitation services leaves the school setting or, if the designated State unit is operating under an order of selection, before each eligible student with a disability able to be served under the order leaves the school setting.

(b) *Formal interagency agreement.* The vocational rehabilitation services portion of the Unified or Combined State Plan must include information on a formal interagency agreement with the State educational agency that, at a minimum, provides for—

- (1) Consultation and technical assistance, which may be provided using alternative means for meeting participation (such as video conferences and conference calls), to assist educational agencies in planning for the transition of students with disabilities from school to post-school activities, including pre-employment transition services and other vocational rehabilitation services;
- (2) Transition planning by personnel of the designated State agency and educational agency personnel for students with disabilities that facilitates the development and implementation of their individualized education programs (IEPs) under section 614(d) of the Individuals with Disabilities Education Act;
- (3) The roles and responsibilities, including financial responsibilities, of each agency, including provisions for determining State lead agencies and qualified personnel responsible for transition services and pre-employment transition services;
- (4) Procedures for outreach to and identification of students with disabilities who are in need of transition services and pre-employment transition services. Outreach to these students should occur as early as possible during the transition planning process and must include, at a minimum, a description of the purpose of the vocational rehabilitation program, eligibility requirements, application procedures, and scope of services that may be provided to eligible individuals;
- (5) Coordination necessary to satisfy documentation requirements set forth in 34 CFR part 397 with regard to students and youth with disabilities who are seeking subminimum wage employment; and
- (6) Assurance that, in accordance with 34 CFR 397.31, neither the State educational agency nor the local educational agency will enter into a contract or other arrangement with an entity, as defined in 34 CFR 397.5(d), for the purpose of operating a program under which a youth with a disability is engaged in work compensated at a subminimum wage.

**34 CFR §361.29 Statewide assessment; annual estimates; annual State goals and priorities; strategies; and progress reports.**

(a) *Comprehensive statewide assessment.* (1) The vocational rehabilitation services portion of the Unified or Combined State Plan must include—

- (i) The results of a comprehensive, statewide assessment, jointly conducted by the designated State unit and the State Rehabilitation Council (if the State unit has a Council) every three years. Results of the assessment are to be included in the vocational rehabilitation portion of the Unified or Combined State Plan, submitted in accordance with the requirements of §361.10(a) and the joint regulations of this part. The comprehensive needs assessment must describe the rehabilitation needs of individuals with disabilities residing within the State, particularly the vocational rehabilitation services needs of—

- (A) Individuals with the most significant disabilities, including their need for supported employment services;
- (B) Individuals with disabilities who are minorities and individuals with disabilities who have been unserved or underserved by the vocational rehabilitation program carried out under this part;
- (C) Individuals with disabilities served through other components of the statewide workforce development system as identified by those individuals and personnel assisting those individuals through the components of the system; and
- (D) Youth with disabilities, and students with disabilities, including
- (1) Their need for pre-employment transition services or other transition services; and
  - (2) An assessment of the needs of individuals with disabilities for transition services and pre-employment transition services, and the extent to which such services provided under this part are coordinated with transition services provided under the Individuals with Disabilities Education Act (20 U.S.C. 1400 et seq.) in order to meet the needs of individuals with disabilities.
- (ii) An assessment of the need to establish, develop, or improve community rehabilitation programs within the State.
- (2) The vocational rehabilitation services portion of the Unified or Combined State Plan must assure that the State will submit to the Secretary a report containing information regarding updates to the assessments under paragraph (a) of this section for any year in which the State updates the assessments at such time and in such manner as the Secretary determines appropriate.
- (b) *Annual estimates.* The vocational rehabilitation services portion of the Unified or Combined State Plan must include, and must assure that the State will submit a report to the Secretary (at such time and in such manner determined appropriate by the Secretary) that includes, State estimates of—
- (1) The number of individuals in the State who are eligible for services under this part;
  - (2) The number of eligible individuals who will receive services provided with funds provided under this part and under part §363, including, if the designated State agency uses an order of selection in accordance with §361.36, estimates of the number of individuals to be served under each priority category within the order;
  - (3) The number of individuals who are eligible for services under paragraph (b)(1) of this section, but are not receiving such services due to an order of selection; and
  - (4) The costs of the services described in paragraph (b)(2) of this section, including, if the designated State agency uses an order of selection, the service costs for each priority category within the order.

(c) *Goals and priorities.* (1) *In general.* The vocational rehabilitation services portion of the Unified or Combined State Plan must identify the goals and priorities of the State in carrying out the program.

(2) *Council.* The goals and priorities must be jointly developed, agreed to, reviewed annually, and, as necessary, revised by the designated State unit and the State Rehabilitation Council, if the State unit has a Council.

(3) *Submission.* The vocational rehabilitation services portion of the Unified or Combined State Plan must assure that the State will submit to the Secretary a report containing information regarding revisions in the goals and priorities for any year in which the State revises the goals and priorities at such time and in such manner as determined appropriate by the Secretary.

(4) *Basis for goals and priorities.* The State goals and priorities must be based on an analysis of—

(i) The comprehensive statewide assessment described in paragraph (a) of this section, including any updates to the assessment;

(ii) The performance of the State on the standards and indicators established under section 106 of the Act; and

(iii) Other available information on the operation and the effectiveness of the vocational rehabilitation program carried out in the State, including any reports received from the State Rehabilitation Council under §361.17(h) and the findings and recommendations from monitoring activities conducted under section 107 of the Act.

(5) *Service and outcome goals for categories in order of selection.* If the designated State agency uses an order of selection in accordance with §361.36, the vocational rehabilitation services portion of the Unified or Combined State Plan must identify the State's service and outcome goals and the time within which these goals may be achieved for individuals in each priority category within the order.

(d) *Strategies.* The vocational rehabilitation services portion of the Unified or Combined State Plan must describe the strategies the State will use to address the needs identified in the assessment conducted under paragraph (a) of this section and achieve the goals and priorities identified in paragraph (c) of this section, including—

(1) The methods to be used to expand and improve services to individuals with disabilities, including how a broad range of assistive technology services and assistive technology devices will be provided to those individuals at each stage of the rehabilitation process and how those services and devices will be provided to individuals with disabilities on a statewide basis;

(2) The methods to be used to improve and expand vocational rehabilitation services for students with disabilities, including the coordination of services designed to facilitate the transition of such students from the receipt of educational services in school to postsecondary life, including the receipt of vocational rehabilitation services under the Act, postsecondary education, employment, and pre-employment transition services;

(3) Strategies developed and implemented by the State to address the needs of students and youth with disabilities identified in the assessments described in paragraph (a) of this section and strategies to achieve the goals and priorities identified by the State to improve and expand vocational rehabilitation services for students and youth with disabilities on a statewide basis;

(4) Strategies to provide pre-employment transition services;

(5) Outreach procedures to identify and serve individuals with disabilities who are minorities and individuals with disabilities who have been unserved or underserved by the vocational rehabilitation program;

(6) As applicable, the plan of the State for establishing, developing, or improving community rehabilitation programs;

(7) Strategies to improve the performance of the State with respect to the evaluation standards and performance indicators established pursuant to section 106 of the Act and section 116 of Workforce Innovation and Opportunity Act; and

(8) Strategies for assisting other components of the statewide workforce development system in assisting individuals with disabilities.

(e) *Evaluation and reports of progress.* (1) The vocational rehabilitation services portion of the Unified or Combined State Plan must include—

(i) The results of an evaluation of the effectiveness of the vocational rehabilitation program; and

(ii) A joint report by the designated State unit and the State Rehabilitation Council, if the State unit has a Council, to the Secretary on the progress made in improving the effectiveness of the program from the previous year. This evaluation and joint report must include—

(A) An evaluation of the extent to which the goals and priorities identified in paragraph (c) of this section were achieved;

(B) A description of the strategies that contributed to the achievement of the goals and priorities;

(C) To the extent to which the goals and priorities were not achieved, a description of the factors that impeded that achievement; and

(D) An assessment of the performance of the State on the standards and indicators established pursuant to section 106 of the Act.

(2) The vocational rehabilitation services portion of the Unified or Combined State Plan must assure that the designated State unit and the State Rehabilitation Council, if the State unit has a Council, will jointly submit to the Secretary a report that contains the information described in paragraph (e)(1) of this section at such time and in such manner the Secretary determines appropriate.

**34 CFR §361.48 Scope of vocational rehabilitation services for individuals with disabilities.**

(a) *Pre-employment transition services.* Each State must ensure that the designated State unit, in collaboration with the local educational agencies involved, provide, or arrange for the provision of, pre-employment transition services for all students with disabilities, as defined in §361.5(c)(51), in need of such services, without regard to the type of disability, from Federal funds reserved in accordance with §361.65, and any funds made available from State, local, or private funding sources. Funds reserved and made available may be used for the required, authorized, and pre-employment transition coordination activities under paragraphs (2), (3) and (4) of this section.

(1) *Availability of services.* Pre-employment transition services must be made available Statewide to all students with disabilities, regardless of whether the student has applied or been determined eligible for vocational rehabilitation services.

(2) *Required activities.* The designated State unit must provide the following pre-employment transition services:

(i) Job exploration counseling;

(ii) Work-based learning experiences, which may include in-school or after school opportunities, or experience outside the traditional school setting (including internships), that is provided in an integrated environment in the community to the maximum extent possible;

(iii) Counseling on opportunities for enrollment in comprehensive transition or postsecondary educational programs at institutions of higher education;

(iv) Workplace readiness training to develop social skills and independent living; and

(v) Instruction in self-advocacy (including instruction in person-centered planning), which may include peer mentoring (including peer mentoring from individuals with disabilities working in competitive integrated employment).

(3) *Authorized activities.* Funds available and remaining after the provision of the required activities described in paragraph (a)(2) of this section may be used to improve the transition of students with disabilities from school to postsecondary education or an employment outcome by—

(i) Implementing effective strategies to increase the likelihood of independent living and inclusion in communities and competitive integrated workplaces;

(ii) Developing and improving strategies for individuals with intellectual disabilities and individuals with significant disabilities to live independently; participate in postsecondary education experiences; and obtain, advance in and retain competitive integrated employment;

(iii) Providing instruction to vocational rehabilitation counselors, school transition personnel, and other persons supporting students with disabilities;

(iv) Disseminating information about innovative, effective, and efficient approaches to achieve the goals of this section;

(v) Coordinating activities with transition services provided by local educational agencies under the Individuals with Disabilities Education Act (20 U.S.C. 1400 et seq.);

(vi) Applying evidence-based findings to improve policy, procedure, practice, and the preparation of personnel, in order to better achieve the goals of this section;

(vii) Developing model transition demonstration projects;

(viii) Establishing or supporting multistate or regional partnerships involving States, local educational agencies, designated State units, developmental disability agencies, private businesses, or other participants to achieve the goals of this section; and

(ix) Disseminating information and strategies to improve the transition to postsecondary activities of individuals who are members of traditionally unserved and underserved populations.

(4) *Pre-employment transition coordination.* Each local office of a designated State unit must carry out responsibilities consisting of—

(i) Attending individualized education program meetings for students with disabilities, when invited;

(ii) Working with the local workforce development boards, one-stop centers, and employers to develop work opportunities for students with disabilities, including internships, summer employment and other employment opportunities available throughout the school year, and apprenticeships;

(iii) Working with schools, including those carrying out activities under section 614(d) of the IDEA, to coordinate and ensure the provision of pre-employment transition services under this section;

(iv) When invited, attending person-centered planning meetings for individuals receiving services under title XIX of the Social Security Act (42 U.S.C. 1396 et seq.); and

**34 CFR §361.49 Scope of vocational rehabilitation services for groups of individuals with disabilities.**

(a) The designated State unit may provide for the following vocational rehabilitation services for the benefit of groups of individuals with disabilities:

(7) Transition services to youth with disabilities and students with disabilities who may not have yet applied or been determined eligible for vocational rehabilitation services, for which a vocational rehabilitation counselor works in concert with educational agencies, providers of job training programs, providers of services under the Medicaid program under title XIX of the Social Security Act (42 U.S.C. 1396 et seq.), entities designated by the State to provide services for individuals with developmental disabilities, centers for independent living (as defined in section 702 of the Act), housing and transportation authorities, workforce development systems, and businesses and employers. These specific transition services are to benefit a group of students with disabilities or youth with disabilities and are not individualized services directly

related to an individualized plan for employment goal. Services may include, but are not limited to, group tours of universities and vocational training programs, employer or business site visits to learn about career opportunities, career fairs coordinated with workforce development and employers to facilitate mock interviews and resume writing, and other general services applicable to groups of students with disabilities and youth with disabilities.

**34 CFR §361.65 Allotment and payment of Federal funds for vocational rehabilitation services.**

(3) *Reservation for pre-employment transition services.* (i) Pursuant to section 110(d) of the Act, the State must reserve at least 15 percent of the State’s allotment, received in accordance with section 110(a) of the Act for the provision of pre-employment transition services, as described in §361.48(a) of this part.

(ii) The funds reserved in accordance with paragraph (3)(i) of this section--

(A) Must only be used for pre-employment transition services specified in §361.48(a); and

(B) Must not be used to pay for administrative costs, (as defined in §361.5(c)(2)) associated with the provision of such services or any other vocational rehabilitation services.

**B. Focus Area V - The State Supported Employment Services Program**

**Rehabilitation Act of 1973, as amended by the Workforce Innovation and Opportunity Act**

**SEC. 7 DEFINITIONS**

For the purposes of this Act:

(13) **EXTENDED SERVICES.**—The term “extended services” means ongoing support services and other appropriate services, needed to support and maintain an individual with a most significant disability in supported employment, that—

(A) are provided singly or in combination and are organized and made available in such a way as to assist an eligible individual in maintaining supported employment;

(B) are based on a determination of the needs of an eligible individual, as specified in an individualized plan for employment; and

(C) are provided by a State agency, a nonprofit private organization, employer, or any other appropriate resource, after an individual has made the transition from support provided by the designated State unit.

(38) **SUPPORTED EMPLOYMENT.**— The term “supported employment” means competitive integrated employment, including customized employment, or employment in an integrated work setting in which individuals are working on a short-term basis toward competitive integrated

employment, that is individualized and customized consistent with the strengths, abilities, interests, and informed choice of the individuals involved, for individuals with the most significant disabilities--

(A)(i) for whom competitive integrated employment has not historically occurred; or

(ii) for whom competitive integrated employment has been interrupted or intermittent as a result of a significant disability; and

(B) who, because of the nature and severity of their disability, need intensive supported employment services, and extended services after the transition described in paragraph (13)(C), in order to perform the work involved. .

(39) SUPPORTED EMPLOYMENT SERVICES.—The term “supported employment services” means ongoing support services, including customized employment, needed to support and maintain an individual with a most significant disability in supported employment, that—

(A) are provided singly or in combination and are organized and made available in such a way as to assist an eligible individual to achieve competitive integrated employment;

(B) are based on a determination of the needs of an eligible individual, as specified in an individualized plan for employment; and

(C) are provided by the designated State unit for a period of not more than 24 months, except that period may be extended, if necessary, in order to achieve the employment outcome identified in the individualized plan for employment.

#### **SEC. 604 . AVAILABILITY OF SERVICES.**

(a) SUPPORTED EMPLOYMENT SERVICES.— Funds provided under this title may be used to provide supported employment services to individuals who are eligible under this title.

(b) EXTENDED SERVICES.—

(1) IN GENERAL Except as provided in paragraph (2), funds provided under this title, or title I, may not be used to provide extended services to individuals under this title or title I.

(2) EXTENDED SERVICES FOR YOUTH WITH THE MOST SIGNIFICANT DISABILITIES. – Funds allotted under this title, or title I, and used for the provision of services under this title to youth with the most significant disabilities pursuant to section 603(d), may be used to provide extended services to youth with the most significant disabilities. Such extended services shall be available for a period not to exceed 4 years.

**Final Regulations: State Vocational Rehabilitation Services Program; State Supported Employment Services Program; Limitations on Use of Subminimum Wage (81 FR 55629 (August 19, 2016))**

**34 CFR part 361**

### **34 CFR §361.5(c) Definitions.**

34 CFR §361.5(c)(19) *Extended services* means ongoing support services and other appropriate services that are--

- (i) Needed to support and maintain an individual with a most significant disability including a youth with a most significant disability, in supported employment;
- (ii) Organized or made available, singly or in combination, in such a way as to assist an eligible individual in maintaining supported employment;
- (iii) Based on the needs of an eligible individual, as specified in an individualized plan for employment;
- (iv) Provided by a State agency, a private nonprofit organization, employer, or any other appropriate resource, after an individual has made the transition from support from the designated State unit; and
- (v) Provided to a youth with a most significant disability by the designated State unit in accordance with requirements set forth in this part and part 363 for a period not to exceed four years, or at such time that a youth reaches age 25 and no longer meets the definition of a youth with a disability under 34 CFR 361.5(c)(58), whichever occurs first. The designated State unit may not provide extended services to an individual with a most significant disability who is not a youth with a most significant disability.

34 CFR §361.5(c)(53) *Supported employment--* (i) *Supported employment* means competitive integrated employment, including customized employment, or employment in an integrated work setting in which an individual with a most significant disability, including a youth with a most significant disability, is working on a short-term basis toward competitive integrated employment that is individualized, and customized, consistent with the unique strengths, abilities, interests, and informed choice of the individual, including with ongoing support services for individuals with the most significant disabilities—

(A) For whom competitive integrated employment has not historically occurred, or for whom competitive integrated employment has been interrupted or intermittent as a result of a significant disability; and

(B) Who, because of the nature and severity of their disabilities, need intensive supported employment services and extended services after the transition from support provided by the designated State unit, in order to perform this work.

(ii) For purposes of this part, an individual with a most significant disability, whose supported employment in an integrated setting does not satisfy the criteria of competitive integrated employment, as defined in paragraph (c)(9) of this section is considered to be working on a short-term basis toward competitive integrated employment so long as the individual can reasonably anticipate achieving competitive integrated employment—

(A) Within six months of achieving a supported employment outcome; or

(B) In limited circumstances, within a period not to exceed 12 months from the achievement of the supported employment outcome, if a longer period is necessary based on the needs of the individual, and the individual has demonstrated progress toward competitive earnings based on information contained in the service record.

34 CFR §361.5(c)(54) *Supported employment services* means ongoing support services, including customized employment, and other appropriate services needed to support and maintain an individual with a most significant disability, including a youth with a most significant disability, in supported employment that are—

(i) Organized and made available, singly or in combination, in such a way as to assist an eligible individual to achieve competitive integrated employment;

(ii) Based on a determination of the needs of an eligible individual, as specified in an individualized plan for employment;

(iii) Provided by the designated State unit for a period of time not to exceed 24 months, unless under special circumstances the eligible individual and the rehabilitation counselor jointly agree to extend the time to achieve the employment outcome identified in the individualized plan for employment; and

(iv) Following transition, as post-employment services that are unavailable from an extended services provider and that are necessary to maintain or regain the job placement or advance in employment.

### **34 CFR part 363**

#### **34 CFR §363.1 What is the State Supported Employment Services program?**

(a) Under the State supported employment services program, the Secretary provides grants to assist States in developing and implementing collaborative programs with appropriate entities to provide programs of supported employment services for individuals with the most significant disabilities, including youth with the most significant disabilities, to enable them to achieve an employment outcome of supported employment in competitive integrated employment. Grants made under the State supported employment services program supplement a State's vocational rehabilitation program grants under 34 CFR part 361.

(b) For purposes of this part and 34 CFR part 361, "supported employment" means competitive integrated employment, including customized employment, or employment in an integrated work setting in which an individual with a most significant disability, including a youth with a most significant disability, is working on a short-term basis toward competitive integrated employment, that is individualized and customized, consistent with the unique strengths, abilities, interests, and informed choice of the individual, including with ongoing support services for individuals with the most significant disabilities--

(1)(i) For whom competitive integrated employment has not historically occurred; or

(ii) For whom competitive integrated employment has been interrupted or intermittent as a result

of a significant disability; and

(2) Who, because of the nature and severity of the disability, need intensive supported employment services, and extended services after the transition from support provided by the designated State unit in order to perform the work.

(c) *Short-term Basis.* For purposes of this part, an individual with a most significant disability, whose supported employment in an integrated setting does not satisfy the criteria of competitive integrated employment, as defined in 34 CFR 361.5(c)(9), is considered to be working on a short-term basis toward competitive integrated employment so long as the individual can reasonably anticipate achieving competitive integrated employment—

(1) Within six months of achieving a supported employment outcome; or,

(2) In limited circumstances, within a period not to exceed 12 months from the achievement of the supported employment outcome, if a longer period is necessary based on the needs of the individual, and the individual has demonstrated progress toward competitive earnings based on information contained in the service record.

#### **34 CFR §363.4 What are the authorized activities under the State Supported Employment Services program?**

(a) The State may use funds allotted under this part to—

(1) Provide supported employment services, as defined in 34 CFR 361.5(c)(54);

(2) Provide extended services, as defined in 34 CFR 361.5(c)(19), to youth with the most significant disabilities, in accordance with §363.11(f), for a period of time not to exceed four years, or until such time that a youth reaches the age of 25 and no longer meets the definition of a youth with a disability under 34 CFR 361.5(c)(58), whichever occurs first; and

(3) With funds reserved, in accordance with §363.22 for the provision of supported employment services to youth with the most significant disabilities, leverage other public and private funds to increase resources for extended services and expand supported employment opportunities.

(b) Except as provided in paragraph (a)(2) of this section, a State may not use funds under this part to provide extended services to individuals with the most significant disabilities.

(c) Nothing in this part will be construed to prohibit a State from providing—

(1) Supported employment services in accordance with the vocational rehabilitation services portion of the Unified or Combined State Plan submitted under 34 CFR part 361 by using funds made available through a State allotment under that part.

(2) Discrete postemployment services in accordance with 34 CFR 361.48(b) by using funds made available under 34 CFR part 361 to an individual who is eligible under this part.

(d) A State must coordinate with the entities described in §363.50(a) regarding the services provided to individuals with the most significant disabilities, including youth with the most significant disabilities, under this part and under 34 CFR part 361 to ensure that the services are complementary and not duplicative.

**34 CFR §363.51 What are the allowable administrative costs?**

(a) A State may use funds under this part to pay for expenditures incurred in the administration of activities carried out under this part, consistent with the definition of administrative costs in 34 CFR 361.5(c)(2).

(b) A designated State agency may not expend more than 2.5 percent of a State's allotment under this part for administrative costs for carrying out the State supported employment program.

**34 CFR §363.53 What requirements must a designated State unit meet for the transition of an individual to extended services?**

(a) A designated State unit must provide for the transition of an individual with a most significant disability, including a youth with a most significant disability, to extended services, as defined in 34 CFR 361.5(c)(19), no later than 24 months after the individual enters supported employment, unless a longer period is established in the individualized plan for employment.

(b) Prior to assisting the individual in transitioning from supported employment services to extended services, the designated State unit must ensure--

(1) The counselor and individual have considered extending the provision of supported employment services beyond 24 months, as appropriate, and have determined that no further supported employment services are necessary to support and maintain the individual in supported employment before the individual transitions to extended services; and

(2) The source of extended services for the individual has been identified in order to ensure there will be no interruption of services. The providers of extended services may include—

(i) A State agency, a private nonprofit organization, employer, or any other appropriate resource, after an individual has made the transition from support from the designated State unit; or,

(ii) The designated State unit, in the case of a youth with a most significant disability, in accordance with requirements set forth in 34 CFR 361.5(c)(19) and this part for a period not to exceed four years, or at such time that a youth reaches the age of 25 and no longer meets the definition of a youth with a disability under 34 CFR 361.5(c)(58), whichever occurs first. For youth who still require extended services after they can no longer receive them from the designated State unit, the designated State unit must identify another source of extended services for those youth in order to ensure there will be no interruption of services. The designated State unit may not provide extended services to individuals with the most significant disabilities who are not youth with the most significant disabilities.

**34 CFR §363.54 When will an individual be considered to have achieved an employment outcome in supported employment?**

An individual with a most significant disability, including a youth with a most significant disability, who is employed in competitive integrated employment or who is employed in an integrated setting working on a short-term basis to achieve competitive integrated employment will be considered to have achieved an employment outcome, including customized employment, in supported employment when—

(a) The individual has completed supported employment services provided under this part and 34 CFR part 361, except for any other vocational rehabilitation services listed on the individualized plan for employment provided to individuals who are working on a short-term basis toward the achievement of competitive integrated employment in supported employment. An individual has completed supported employment services when—

(1) The individual has received up to 24 months of supported employment services; or

(2) The counselor and individual have determined that an extension of time to provide supported employment services beyond 24 months is necessary to support and maintain the individual in supported employment before the individual transitions to extended services and that extension of time has concluded; and

(b) The individual has transitioned to extended services provided by either the designated State unit for youth with the most significant disabilities, or another provider, consistent with the provisions of §§363.4(a)(2) and 363.22; and

(c) The individual has maintained employment and achieved stability in the work setting for at least 90 days after transitioning to extended services; and

(d) The employment is individualized and customized consistent with the strengths, abilities, interests, and informed choice of the individual.

**34 CFR §363.55 When will the service record of an individual who has achieved an employment outcome in supported employment be closed?**

(a) The service record of an individual with a most significant disability, including a youth with a most significant disability, who has achieved an employment outcome in supported employment in competitive integrated employment will be closed concurrently with the achievement of the employment outcome in supported employment when the individual—

(1) Satisfies requirements for case closure, as set forth in 34 CFR 361.56; and

(2) Is not receiving extended services or any other vocational rehabilitation service provided by the designated State unit with funds under this part or 34 CFR part 361.

(b) The service record of an individual with a most significant disability, including a youth with a most significant disability who is working toward competitive integrated employment on a short-term basis and is receiving extended services from funds other than those allotted under this part and 34 CFR part 361 will be closed when the individual—

(1) Achieves competitive integrated employment within the short-term basis period established pursuant to §363.1(c); and the individual—

(i) Satisfies requirements for case closure, as set forth in 34 CFR 361.56; and

(ii) Is no longer receiving vocational rehabilitation services provided by the designated State unit with funds under 34 CFR part 361; or

(2) Does not achieve competitive integrated employment within the short-term basis period established pursuant to §363.1(c).

(c) The service record of a youth with a most significant disability who is receiving extended services provided by the designated State unit from funds under this part or 34 CFR part 361 will be closed when—

(1) The youth with a most significant disability achieves an employment outcome in supported employment in competitive integrated employment without entering the short-term basis period; and

(i) Is no longer eligible to receive extended services provided by the designated State unit with funds allotted under this part and 34 CFR part 361 because the individual—

(A) No longer meets age requirements established in the definition of a youth with a disability pursuant to 34 CFR 361.5(c)(58); or

(B) Has received extended services for a period of four years; or

(C) Has transitioned to extended services provided with funds other than those allotted under this part or part 361 prior to meeting the age or time restrictions established under paragraphs (A) and (B) of this section, respectively; and

(ii) Satisfies requirements for case closure, as set forth in 34 CFR 361.56; and

(iii) The individual is no longer receiving any other vocational rehabilitation service from the designated State unit provided with funds under 34 CFR part 361; or

(2) The youth with a most significant disability who is working toward competitive integrated employment on a short-term basis—

(i) Achieves competitive integrated employment within the short-term basis period established pursuant to §363.1(c);

(ii) Is no longer eligible to receive extended services provided by the designated State unit with funds allotted under this part and 34 CFR part 361 because the individual—

(A) No longer meets age requirements established in the definition of a youth with a disability pursuant to 34 CFR 361.5(c)(58); or

(B) Has received extended services for a period of four years; or

(C) Has transitioned to extended services provided with funds other than those allotted under this part or 34 CFR part 361 prior to meeting the age or time restrictions established under paragraphs (A) and (B) of this section, respectively; and

(iii) Satisfies requirements for case closure, as set forth in 34 CFR 361.56; or

(3) The youth with a most significant disability working toward competitive integrated employment on a short-term basis does not achieve competitive integrated employment within the short-term basis period established pursuant to §363.1(c).

# APPENDIX C

## Program Performance Tables

### Vocational Rehabilitation Program Federal Fiscal Year (FFY) 2018 Monitoring and Technical Assistance Guide

**Table 1. [AGENCY] Summary Statistics from RSA 113: FFYs 2015-2017**

Row	Performance category	2015	2016	2017
1	Number of total applicants			
2	Number of total eligible individuals			
3	Agency implementing order of selection (Y/N)			
4	Number of individuals on order of selection waiting list at year-end			
5	Percent of eligible individuals with an IPE who received no services			
6	Number of individuals in plan receiving services			

Data source: RSA-113

**Table 2a. [AGENCY] Case Status Information, Exit Status, and Employment Outcomes for All Individuals at Closure-FFYs 2015-2017**

Row	Performance category	2015 Number	2015 Percent	2016 Number	2016 Percent	2017* Number	2017*Percent
1	Exited as applicants						
2	Exited from trial work experience						
3	Exited with employment						
4	Exited without employment						
5	Exited from OOS waiting list						
6	Exited without employment outcomes, after eligibility, before an IPE was signed or before receiving services						
7	Employment rate*						
8	Competitive employment outcomes						
9	Average hourly earnings for competitive employment outcomes**						
10	Average hours worked for competitive employment outcomes						
11	Median hourly earnings for competitive employment outcomes						
12	Median hours worked for competitive employment outcomes						
13	Quarterly median earnings for competitive employment outcomes***						
14	Competitive employment outcomes meeting SGA						
15	Competitive employment outcomes with employer-provided medical insurance						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

\*Using RSA-911: Total number of individuals who exited with employment divided by total number of individuals who received services multiplied by 100.

\*\*Using RSA-911: Sum of the Weekly Wage at Closure divided by sum of the Hours Worked in a Week at Closure for individuals achieving a competitive employment outcome.

\*\*\*Using RSA-911: Weekly earnings at closure (Data Element 197) multiplied by hours worked in a week at closure (Data Element 198) for individuals who achieved a competitive employment outcome multiplied by 13. Then the values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median quarterly earnings, so there is the same quantity of numbers above the median number as there is below the median number.

**Table 2b. [AGENCY] Case Status Information, Exit Status, and Employment Outcomes for Individuals below Age 25 at Closure -FFYs 2015-2017**

Row	Performance category	2015 Number	2015 Percent	2016 Number	2016 Percent	2017 Number	2017 Percent
1	Exited as applicants						
2	Exited from trial work experience						
3	Exited with employment						
4	Exited without employment						
5	Exited from OOS waiting list						
6	Exited without employment outcomes, after eligibility, before an IPE was signed or before receiving services						
7	Employment rate*						
8	Competitive employment outcomes						
9	Average hourly earnings for competitive employment outcomes**						
10	Average hours worked for competitive employment outcomes						
11	Median hourly earnings for competitive employment outcomes						
12	Median hours worked for competitive employment outcomes						
13	Quarterly median earnings for competitive employment outcomes***						
14	Competitive employment outcomes meeting SGA						
15	Competitive employment outcomes with employer-provided medical insurance						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

\*Using RSA-911: Total number of individuals who exited with employment divided by total number of individuals who received services multiplied by 100.

\*\*Using RSA-911: Sum of the Weekly Wage at Closure divided by sum of the Hours Worked in a Week at Closure for individuals achieving a competitive employment outcome.

\*\*\*Using RSA-911: Weekly earnings at closure (Data Element 197) multiplied by hours worked in a week at closure (Data Element 198) for individuals who achieved a competitive employment outcome multiplied by 13. Then the values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median quarterly earnings, so there is the same quantity of numbers above the median number as there is below the median number.

**Table 2c. [AGENCY] Case Status Information, Exit Status, and Employment Outcomes for Individuals Age 25 and Older at Closure -FFYs 2015-2017**

Row	Performance category	2015 Number	2015 Percent	2016 Number	2016 Percent	2017 Number	2017 Percent
1	Exited as applicants						
2	Exited from trial work experience						
3	Exited with employment						
4	Exited without employment						
5	Exited from OOS waiting list						
6	Exited without employment outcomes, after eligibility, before an IPE was signed or before receiving services						
7	Employment rate*						
8	Competitive employment outcomes						
9	Average hourly earnings for competitive employment outcomes**						
10	Average hours worked for competitive employment outcomes						
11	Median hourly earnings for competitive employment outcomes						
12	Median hours worked for competitive employment outcomes						
13	Quarterly median earnings for competitive employment outcomes***						
14	Competitive employment outcomes meeting SGA						
15	Competitive employment outcomes with employer-provided medical insurance						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

\*Using RSA-911: Total number of individuals who exited with employment divided by total number of individuals who received services multiplied by 100.

\*\*Using RSA-911: Sum of the Weekly Wage at Closure divided by sum of the Hours Worked in a Week at Closure for individuals achieving a competitive employment outcome.

\*\*\*Using RSA-911: Weekly earnings at closure (Data Element 197) multiplied by hours worked in a week at closure (Data Element 198) for individuals who achieved a competitive employment outcome multiplied by 13. Then the values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median quarterly earnings, so there is the same quantity of numbers above the median number as there is below the median number.

**Table 3a. [AGENCY] Source of Referral for All Individuals at Closure-FFYs 2015-2017**

Row	Source of Referral	2015 Percent	2016 Percent	2017* Percent
1	Educational Institutions (elementary/secondary)			
2	Educational Institutions (post-secondary)			
3	Medical Health Provider (Public or Private)			
4	Welfare Agency (State or local government)			
5	Community Rehabilitation Programs			
6	Social Security Administration (Disability Determination Service or District office)			
7	One-stop Employment/Training Centers			
8	Self-referral			
9	Other Sources			
10	American Indian VR Services Program			
11	Centers for Independent Living			
12	Child Protective Services			
13	Consumer Organizations or Advocacy Groups			
14	Employers			
15	Faith Based Organizations			
16	Family/Friends			
17	Intellectual and Developmental Disabilities Providers			
18	Mental Health Provider (Public or Private)			
19	Public Housing Authority			
20	State Department of Correction/Juvenile Justice			
21	State Employment Service Agency			
22	Veteran's Administration			
23	Worker's Compensation			
24	Other State Agencies			
25	Other VR State Agencies			
26	Total Identified Referral Sources			
27	Other Referral Sources			

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 3b. [AGENCY] Source of Referral for Individuals below Age 25 at Closure -FFYs 2015-2017**

Row	Source of Referral	2015 Percent	2016 Percent	2017 Percent
1	Educational Institutions (elementary/secondary)			
2	Educational Institutions (post-secondary)			
3	Medical Health Provider (Public or Private)			
4	Welfare Agency (State or local government)			
5	Community Rehabilitation Programs			
6	Social Security Administration (Disability Determination Service or District office)			
7	One-stop Employment/Training Centers			
8	Self-referral			
9	Other Sources			
10	American Indian VR Services Program			
11	Centers for Independent Living			
12	Child Protective Services			
13	Consumer Organizations or Advocacy Groups			
14	Employers			
15	Faith Based Organizations			
16	Family/Friends			
17	Intellectual and Developmental Disabilities Providers			
18	Mental Health Provider (Public or Private)			
19	Public Housing Authority			
20	State Department of Correction/Juvenile Justice			
21	State Employment Service Agency			
22	Veteran's Administration			
23	Worker's Compensation			
24	Other State Agencies			
25	Other VR State Agencies			
26	Total Identified Referral Sources			
27	Other Referral Sources			

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 3c. [AGENCY] Source of Referral for Individuals Age 25 and Older at Closure - FFYs 2015-2017**

<b>Row</b>	<b>Source of Referral</b>	<b>2015 Percent</b>	<b>2016 Percent</b>	<b>2017 Percent</b>
1	Educational Institutions (elementary/secondary)			
2	Educational Institutions (post-secondary)			
3	Medical Health Provider (Public or Private)			
4	Welfare Agency (State or local government)			
5	Community Rehabilitation Programs			
6	Social Security Administration (Disability Determination Service or District office)			
7	One-stop Employment/Training Centers			
8	Self-referral			
9	Other Sources			
10	American Indian VR Services Program			
11	Centers for Independent Living			
12	Child Protective Services			
13	Consumer Organizations or Advocacy Groups			
14	Employers			
15	Faith Based Organizations			
16	Family/Friends			
17	Intellectual and Developmental Disabilities Providers			
18	Mental Health Provider (Public or Private)			
19	Public Housing Authority			
20	State Department of Correction/Juvenile Justice			
21	State Employment Service Agency			
22	Veteran's Administration			
23	Worker's Compensation			
24	Other State Agencies			
25	Other VR State Agencies			
26	Total Identified Referral Sources			
27	Other Referral Sources			

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 4a. [AGENCY] Outcomes by Disability Type for All Individuals at Closure - FFYs 2015-2017**

Row	Disability Type	2015 Number	2015 Percent	2016 Number	2016 Percent	2017 Number	2017 Percent
1	Visual - Individuals served						
2	Visual - Employment rate						
3	Auditory and Communicative - Individuals served						
4	Auditory and Communicative - Employment rate						
5	Physical - Individuals served						
6	Physical - Employment rate						
7	Intellectual and Learning disability - Individuals served						
8	Intellectual and Learning disability - Employment rate						
9	Psychosocial and psychological- Individuals served						
10	Psychosocial and psychological- Employment rate						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 4b. [AGENCY] Outcomes by Disability Type for Individuals below Age 25 at Closure - FFYs 2015-2017**

Row	Disability Type	2015 Number	2015 Percent	2016 Number	2016 Percent	2017 Number	2017 Percent
1	Visual - Individuals served						
2	Visual - Employment rate						
3	Auditory and Communicative - Individuals served						
4	Auditory and Communicative - Employment rate						
5	Physical - Individuals served						
6	Physical - Employment rate						
7	Intellectual and Learning disability - Individuals served						
8	Intellectual and Learning disability - Employment rate						
9	Psychosocial and psychological- Individuals served						
10	Psychosocial and psychological- Employment rate						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 4c. [AGENCY] Outcomes by Disability Type for Individuals Age 25 and Older at Closure - FFYs 2015-2017**

Row	Disability Type	2015 Number	2015 Percent	2016 Number	2016 Percent	2017 Number	2017 Percent
1	Visual - Individuals served						
2	Visual - Employment rate						
3	Auditory and Communicative - Individuals served						
4	Auditory and Communicative - Employment rate						
5	Physical - Individuals served						
6	Physical - Employment rate						
7	Intellectual and Learning disability - Individuals served						
8	Intellectual and Learning disability - Employment rate						
9	Psychosocial and psychological- Individuals served						
10	Psychosocial and psychological- Employment rate						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 5a. [AGENCY] Number of Days from Application to Eligibility Determination for All Individuals at Closure - FFYs 2015-2017**

Number of Days	2015 Number	2015 Percent	2016 Number	2016 Percent	2017* Number	2017* Percent
0 – 60 days						
More than 60 days						
<b>Total eligible</b>						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 5b. [AGENCY] Number of Days from Application to Eligibility Determination for Individuals below Age 25 at Closure - FFYs 2015-2017**

Number of Days	2015 Number	2015 Percent	2016 Number	2016 Percent	2017 Number	2017 Percent
0 – 60 days						
More than 60 days						
<b>Total eligible</b>						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 5c. [AGENCY] Number of Days from Application to Eligibility Determination for Individuals Age 25 and Older at Closure - FFYs 2015-2017**

Number of Days	2015 Number	2015 Percent	2016 Number	2016 Percent	2017 Number	2017 Percent
0 – 60 days						
More than 60 days						
<b>Total eligible</b>						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 6a. [AGENCY] Number of Days from Eligibility\* Determination to IPE for All Individuals Served at Closure- FFYs 2015-2017**

Number of Days	2015 Number	2015 Percent	2016 Number	2016 Percent	2017*Number	2017* Percent
0 – 90 days						
More than 90 days						
<b>Total served</b>						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 6b. [AGENCY] Number of Days from Eligibility\* Determination to IPE for Individuals Served below Age 25 at Closure- FFYs 2015-2017**

Number of Days	2015 Number	2015 Percent	2016 Number	2016 Percent	2017 Number	2017 Percent
0 – 90 days						
More than 90 days						
<b>Total served</b>						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 6c. [AGENCY] Number of Days from Eligibility\* Determination to IPE for Individuals Served Age 25 and Older at Closure- FFYs 2015-2017**

Number of Days	2015 Number	2015 Percent	2016 Number	2016 Percent	2017 Number	2017 Percent
0 – 90 days						
More than 90 days						
<b>Total served</b>						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

\*Eligibility occurred on or after July 22, 2014

**Table 7a. [AGENCY] VR Services Provided for All Individuals Served\* at Closure – FFYs 2015-2017**

Row	Services Provided**	2015 Percent	2016 Percent	2017 Percent
1	Training - Graduate degree training			
2	Training - Bachelor degree training			
3	Training - Junior or community college training			
4	Training - Occupational or vocational training			
5	Training - On-the-job training			
6	Training - Apprenticeship training			
7	Training - Basic academic remedial or literacy training			
8	Training - Job readiness training			
9	Training - Disability-related skills training			
10	Training - Miscellaneous training			
11	Career - Assessment			
12	Career - Diagnosis and treatment of impairment			
13	Career - Vocational rehab counseling and guidance			
14	Career - Job search assistance			
15	Career - Job placement assistance			
16	Career - On-the-job supports-short term			
17	Career - On-the-job supports-SE			
18	Career - Information and referral services			
19	Career - Benefits counseling			
20	Career - Customized employment services			
21	Other services - Transportation			
22	Other services - Maintenance			
23	Other services - Rehabilitation technology			
24	Other services - Reader services			
25	Other services - Interpreter services			
26	Other services - Personal attendant services			
27	Other services - Technical assistance services			
28	Other services - Other services			

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

\*For individuals who were determined eligible, placed on an IPE, and received a service under the IPE.

\*\* VR Services include both those provided and purchased by the VR agency as well as those provided by comparable service providers

**Table 7b. [AGENCY] VR Services Provided for Individuals Served\* below Age 25 at Closure- FFYs 2015-2017**

Row	Services Provided**	2015 Percent	2016 Percent	2017 Percent
1	Training - Graduate degree training			
2	Training - Bachelor degree training			
3	Training - Junior or community college training			
4	Training - Occupational or vocational training			
5	Training - On-the-job training			
6	Training - Apprenticeship training			
7	Training - Basic academic remedial or literacy training			
8	Training - Job readiness training			
9	Training - Disability-related skills training			
10	Training - Miscellaneous training			
11	Career - Assessment			
12	Career - Diagnosis and treatment of impairment			
13	Career - Vocational rehab counseling and guidance			
14	Career - Job search assistance			
15	Career - Job placement assistance			
16	Career - On-the-job supports-short term			
17	Career - On-the-job supports-SE			
18	Career - Information and referral services			
19	Career - Benefits counseling			
20	Career - Customized employment services			
21	Other services - Transportation			
22	Other services - Maintenance			
23	Other services - Rehabilitation technology			
24	Other services - Reader services			
25	Other services - Interpreter services			
26	Other services - Personal attendant services			
27	Other services - Technical assistance services			
28	Other services - Other services			

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

\*For individuals who were determined eligible, placed on an IPE, and received a service under the IPE.

\*\*VR Services include those provided and purchased by the VR agency.

**Table 7c. [AGENCY] VR Services Provided for Individuals Served\* Age 25 and Older at Closure - FFYs 2015-2017**

Row	Services Provided**	2015 Percent	2016 Percent	2017 Percent
1	Training - Graduate degree training			
2	Training - Bachelor degree training			
3	Training - Junior or community college training			
4	Training - Occupational or vocational training			
5	Training - On-the-job training			
6	Training - Apprenticeship training			
7	Training - Basic academic remedial or literacy training			
8	Training - Job readiness training			
9	Training - Disability-related skills training			
10	Training - Miscellaneous training			
11	Career - Assessment			
12	Career - Diagnosis and treatment of impairment			
13	Career - Vocational rehab counseling and guidance			
14	Career - Job search assistance			
15	Career - Job placement assistance			
16	Career - On-the-job supports-short term			
17	Career - On-the-job supports-SE			
18	Career - Information and referral services			
19	Career - Benefits counseling			
20	Career - Customized employment services			
21	Other services - Transportation			
22	Other services - Maintenance			
23	Other services - Rehabilitation technology			
24	Other services - Reader services			
25	Other services - Interpreter services			
26	Other services - Personal attendant services			
27	Other services - Technical assistance services			
28	Other services - Other services			

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

\*For individuals who were determined eligible, placed on an IPE, and received a service under the IPE.

\*\*VR Services include those provided and purchased by the VR agency.

**Table 8a. [AGENCY] Standard Occupational Classification (SOC) Codes Percentages of Employment Outcomes and Median Hourly Earnings for All Individuals Who Achieved Competitive Employment Outcomes at Closure - FFYs 2015-2017**

Row	SOC for Competitive Integrated Employment Outcomes	2015 Percent	2015 Median Hourly Wage	2016 Percent	2016 Median Hourly Wage	2017 Percent	2017 Median Hourly Wage
1	Architecture and Engineering Occupations						
2	Arts, Design, Entertainment, Sports, and Media						
3	Building and Grounds Cleaning and Maintenance						
4	Business and Financial Operations Occupations						
5	Community and Social Services Occupations						
6	Computer and Mathematical Occupations						
7	Constructive and Extraction Occupations						
8	Education, Training, and Library Occupations						
9	Farming, Fishing, and Forestry Occupations						
10	Food Preparation and Serving Related Occupations						
11	Healthcare Practitioners and Technical Occupations						
12	Healthcare Support Occupations						
13	Installation, Maintenance, and Repair Occupations						
14	Legal Occupations						
15	Life, Physical, and Social Science Occupations						
16	Management Occupations						
17	Military Specific Occupations						
18	Office and Administrative Support Occupations						
19	Personal Care and Service Occupations						
20	Production Occupations						
21	Protective Service Occupations						
22	Randolph-Sheppard vending facility clerk*						
23	Randolph-Sheppard vending facility operator*						
24	Sales and Related Occupations						
25	Transportation and Material Moving Occupations						
26	Total competitive employment outcomes						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

\*RSA specific occupational classifications

**Table 8b. [AGENCY] Standard Occupational Classification (SOC) Codes Percentages of Employment Outcomes and Median Hourly Earnings for Individuals below Age 25 Who Achieved Competitive Employment Outcomes at Closure - FFYs 2015-2017**

Row	SOC for Competitive Integrated Employment Outcomes	2015 Percent	2015 Median Hourly Wage	2016 Percent	2016 Median Hourly Wage	2017 Percent	2017 Median Hourly Wage
1	Architecture and Engineering Occupations						
2	Arts, Design, Entertainment, Sports, and Media						
3	Building and Grounds Cleaning and Maintenance						
4	Business and Financial Operations Occupations						
5	Community and Social Services Occupations						
6	Computer and Mathematical Occupations						
7	Constructive and Extraction Occupations						
8	Education, Training, and Library Occupations						
9	Farming, Fishing, and Forestry Occupations						
10	Food Preparation and Serving Related Occupations						
11	Healthcare Practitioners and Technical Occupations						
12	Healthcare Support Occupations						
13	Installation, Maintenance, and Repair Occupations						
14	Legal Occupations						
15	Life, Physical, and Social Science Occupations						
16	Management Occupations						
17	Military Specific Occupations						
18	Office and Administrative Support Occupations						
19	Personal Care and Service Occupations						
20	Production Occupations						
21	Protective Service Occupations						
22	Randolph-Sheppard vending facility clerk*						
23	Randolph-Sheppard vending facility operator*						
24	Sales and Related Occupations						
25	Transportation and Material Moving Occupations						
26	Total competitive employment outcomes						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

\*RSA specific occupational classifications

**Table 8c. [AGENCY] Standard Occupational Classification (SOC) Codes Percentages of Employment Outcomes and Median Hourly Earnings for Individuals Age 25 and Older Who Achieved Competitive Employment Outcomes at Closure- FFYs 2015-2017**

Row	SOC for Competitive Integrated Employment Outcomes	2015 Percent	2015 Median Hourly Wage	2016 Percent	2016 Median Hourly Wage	2017 Percent	2017 Median Hourly Wage
1	Architecture and Engineering Occupations						
2	Arts, Design, Entertainment, Sports, and Media						
3	Building and Grounds Cleaning and Maintenance						
4	Business and Financial Operations Occupations						
5	Community and Social Services Occupations						
6	Computer and Mathematical Occupations						
7	Constructive and Extraction Occupations						
8	Education, Training, and Library Occupations						
9	Farming, Fishing, and Forestry Occupations						
10	Food Preparation and Serving Related Occupations						
11	Healthcare Practitioners and Technical Occupations						
12	Healthcare Support Occupations						
13	Installation, Maintenance, and Repair Occupations						
14	Legal Occupations						
15	Life, Physical, and Social Science Occupations						
16	Management Occupations						
17	Military Specific Occupations						
18	Office and Administrative Support Occupations						
19	Personal Care and Service Occupations						
20	Production Occupations						
21	Protective Service Occupations						
22	Randolph-Sheppard vending facility clerk*						
23	Randolph-Sheppard vending facility operator*						
24	Sales and Related Occupations						
25	Transportation and Material Moving Occupations						
26	Total competitive employment outcomes						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

\*RSA specific occupational classifications

**Table 9a. [AGENCY] Reason for Exit for All Individuals Who Did Not Achieve an Employment Outcome at Closure- FFYs 2015-2017**

Row	Reason for Closure	2015 number	2015 Percent	2016 number	2016 Percent	2017*number	2017* Percent
1	Unable to locate or contact						
2	Disability too significant to benefit from VR services - ineligible						
3	No longer interested in receiving services or further services						
4	Death						
5	Transferred to another agency						
6	No disabling condition – ineligible						
7	No impediment to employment - ineligible						
8	Transportation not feasible or available						
9	Does not require VR services - ineligible						
10	All other reasons						
11	Extended employment						
12	Individual in institution other than a prison or jail						
13	Individual is incarcerated in a prison or jail						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 9b. [AGENCY] Reason for Exit for Individuals below Age 25 Who Did Not Achieve an Employment Outcome at Closure - FFYs 2015-2017**

Row	Reason for Closure	2015 number	2015 Percent	2016 number	2016 Percent	2017 number	2017 Percent
1	Unable to locate or contact						
2	Disability too significant to benefit from VR services - ineligible						
3	No longer interested in receiving services or further services						
4	Death						
5	Transferred to another agency						
6	No disabling condition - ineligible						
7	No impediment to employment - ineligible						
8	Transportation not feasible or available						
9	Does not require VR services - ineligible						
10	All other reasons						
11	Extended employment						
12	Individual in institution other than a prison or jail						
13	Individual is incarcerated in a prison or jail						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 9c. [AGENCY] Reason for Exit for Individuals Age 25 and Older Who Did Not Achieve an Employment Outcome at Closure - FFYs 2015-2017**

Row	Reason for Closure	2015 number	2015 Percent	2016 number	2016 Percent	2017 number	2017 Percent
1	Unable to locate or contact						
2	Disability too significant to benefit from VR services - ineligible						
3	No longer interested in receiving services or further services						
4	Death						
5	Transferred to another agency						
6	No disabling condition - ineligible						
7	No impediment to employment - ineligible						
8	Transportation not feasible or available						
9	Does not require VR services - ineligible						
10	All other reasons						
11	Extended employment						
12	Individual in institution other than a prison or jail						
13	Individual is incarcerated in a prison or jail						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

**Table 2. Calculations for [AGENCY] Case Status Information, Exit Status, and Employment Outcomes for All Individuals at Closure-FFYs 2015-2017**

	<b>Performance category</b>	<b>Number</b>	<b>Percent</b>
1	Exited as applicants	Total number of individuals where closure type = 1	Total number of individuals where type of closure = 1 divided by the total number of closed cases multiplied by 100.
2	Exited from trial work experience	Total number of individuals where closure type = 2	Total number of individuals where type of closure = 2 divided by the total number of closed cases multiplied by 100.
3	Exited with employment	Total number of individuals where closure type = 3	Total number of individuals where type of closure = 3 divided by the total number of closed cases multiplied by 100.
4	Exited without employment	Total number of individuals where closure type = 4	Total number of individuals where type of closure = 4 divided by the total number of closed cases multiplied by 100.
5	Exited from OOS waiting list	Total number of individuals where closure type = 6	Total number of individuals where type of closure = 6 divided by the total number of closed cases multiplied by 100.
	Exited without employment outcomes, after eligibility, before an IPE was signed or before receiving services	Total number of individuals where type of closure type = 5 or closure type=7	Total number of individuals where type of closure = 5 or closure type=7 divided by the total number of closed cases multiplied by 100.

7	Employment rate*		Total number of individuals who exited with employment outcomes divided by total number of individuals who received services multiplied by 100.
8	Competitive employment outcomes	Total number of individuals who exited with employment in an integrated setting with or without supports, self-employment, or Business Enterprise Program (Employment Status at Closure = 1, 3, 4, or 7) and whose hourly wage at closure (Weekly Wage at Closure divided by the Number of Hours Worked in a Week in at Closure) is equal to or greater than the Federal or state minimum wage whichever is higher minus .005.	Total number of individuals achieving a competitive employment outcomes divided by the total number who exited with employment outcomes multiplied by 100.
9	Average hourly earnings for competitive employment outcomes**	Sum of the Weekly Wage at Closure divided by sum of the Hours Worked in a Week at Closure for individuals achieving a competitive employment outcome.	
10	Average hours worked for competitive employment outcomes	Sum of the hours worked in a week at closure for individuals who exited with a competitive employment outcome divided by total number of individuals who exited with a competitive employment outcome.	
11	Median hourly earnings for competitive employment outcomes	Sum of the hours worked in a week at closure for individuals who exited with a competitive employment outcome divided by total number of individuals who exited with a competitive employment outcome.	
12	Median hours worked for competitive employment outcomes	The hours worked per week at Closure for individuals achieving a competitive employment outcome.	

13	Quarterly median earnings for competitive employment outcomes***	Weekly earnings at closure (DE 197) multiplied by hours worked in a week at closure (DE 198) for individuals who achieved a competitive employment outcome multiplied by 13.	
14	Competitive employment outcomes meeting SGA	Number of individuals who achieved a competitive employment outcomes and whose weekly earnings at closure is equal to or greater than the monthly substantial gainful activity amount as reported by SSA divided by 4.3 weeks rounded down. Use the SGA blind monthly amount for blind or visually impaired individuals, based on impairment codes 01,02, and 08. For individuals with all other impairment codes use the non-blind SGA monthly amount.	(Total number of individuals who achieved a competitive employment outcomes and whose weekly earnings at closure is equal to or greater than the monthly substantial gainful activity amount as reported by SSA divided by 4.3 weeks rounded down) divided by total number of individuals achieving a competitive employment outcome multiplied by 100.
15	Competitive employment outcomes with employer-provided medical insurance	Total number of individuals who achieved a competitive employment outcomes and whose medical insurance coverage at closure is private insurance through own employment.	Total number of individuals who achieved a competitive employment outcomes and whose medical insurance coverage at closure is private insurance through own employment divided by total number of individuals achieving a competitive employment outcome multiplied by 100.

FFY 17 contains closed case data from October 1, 2016 to June 30, 2017.

Median is calculated by the values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median quarterly earnings, so there is the same quantity of numbers above the median number as there is below the median number.

**Table 3. Calculations for [AGENCY] Source of Referral for All Individuals at Closure-FFYs 2015-2017**

	<b>Source of Referral</b>	<b>Percent Formula</b>
1	Educational Institutions (elementary/secondary)	Total number of data element 17 (source of referral) code 1 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
2	Educational Institutions (post-secondary)	Total number of data element 17 (source of referral) code 2 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
3	Medical Health Provider (Public or Private)	Total number of data element 17 (source of referral) code 3 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
4	Welfare Agency (State or local government)	Total number of data element 17 (source of referral) code 4 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
5	Community Rehabilitation Programs	Total number of data element 17 (source of referral) code 5 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
6	Social Security Administration (Disability Determination Service or District office)	Total number of data element 17 (source of referral) code 6 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
7	One-stop Employment/Training Centers	Total number of data element 17 (source of referral) code 7 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
8	Self-referral	Total number of data element 17 (source of referral) code 8 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
9	Other Sources	Total number of data element 17 (source of referral) code 9 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
10	American Indian VR Services Program	Total number of data element 17 (source of referral) code 10 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
11	Centers for Independent Living	Total number of data element 17 (source of referral) code 11 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.

12	Child Protective Services	Total number of data element 17 (source of referral) code 12 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
13	Consumer Organizations or Advocacy Groups	Total number of data element 17 (source of referral) code 13 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
14	Employers	Total number of data element 17 (source of referral) code 14 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
15	Faith Based Organizations	Total number of data element 17 (source of referral) code 15 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
16	Family/Friends	Total number of data element 17 (source of referral) code 16 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
17	Intellectual and Developmental Disabilities Providers	Total number of data element 17 (source of referral) code 17 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
18	Mental Health Provider (Public or Private)	Total number of data element 17 (source of referral) code 18 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
19	Public Housing Authority	Total number of data element 17 (source of referral) code 18 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
20	State Department of Correction/Juvenile Justice	Total number of data element 17 (source of referral) code 20 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
21	State Employment Service Agency	Total number of data element 17 (source of referral) code 21 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
22	Veteran's Administration	Total number of data element 17 (source of referral) code 22 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
23	Worker's Compensation	Total number of data element 17 (source of referral) code 23 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
24	Other State Agencies	Total number of data element 17 (source of referral) code 24 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.

25	Other VR State Agencies	Total number of data element 17 (source of referral) code 25 divided by total closed cases (data element 213-type of closure codes 1 to 7) multiplied by 100.
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*FFY 17 contains closed case data from October1, 2016 to June 30, 2017.*

**Table 4. Calculations for [AGENCY] Outcomes by Disability Type for All Individuals at Closure - FFYs 2015-2017**

To determine each type of impairment, use the primary disability code listed below.

<b>Disability Type</b>	<b>Primary Disability Code</b>
Visual Impairments	01, 02, and 08
Auditory and Communicative Impairments	03, 04, 05, 06, 07, and 09
Physical Impairments	10, 11, 12, 13, 14, 15, and 16
Intellectual and Learning Impairment	17
Psychosocial and psychological Impairment	18 and 19

	<b>Disability Type</b>	<b>Percent Formula</b>
1	Visual - Individuals served	Total number of individuals with visual impairments where type of closure=3 or 4 divided by total number of individuals where closure type=3 or 4 multiplied by 100.
2	Visual - Employment rate	Total number of individuals with visual impairments where type of closure=3 divided by total number of individuals with visual impairments where closure type=3 or 4 multiplied by 100.
3	Auditory and Communicative - Individuals served	Total number of individuals with Auditory and Communicative impairments where type of closure=3 or 4 divided by total number of individuals where closure type=3 or 4 multiplied by 100.
4	Auditory and Communicative - Employment rate	Total number of individuals with Auditory and Communicative impairments where type of closure=3 divided by total number of individuals with Auditory and Communicative impairments where closure type=3 or 4 multiplied by 100.

5	Physical - Individuals served	Total number of individuals with Physical impairments where type of closure=3 or 4 divided by total number of individuals where closure type=3 or 4 multiplied by 100.
6	Physical - Employment rate	Total number of individuals with Physical impairments where type of closure=3 divided by total number of individuals with Physical impairments where closure type=3 or 4 multiplied by 100.
7	Intellectual and Learning disability - Individuals served	Total number of individuals with Intellectual and Learning disability where type of closure=3 or 4 divided by total number of individuals where closure type=3 or 4 multiplied by 100.
8	Intellectual and Learning disability - Employment rate	Total number of individuals with Intellectual and Learning disability where type of closure=3 divided by total number of individuals with Intellectual and Learning disability where closure type=3 or 4 multiplied by 100.
9	Psychosocial and psychological-Individuals served	Total number of individuals with Psychosocial and psychological impairments where type of closure=3 or 4 divided by total number of individuals where closure type=3 or 4 multiplied by 100.
10	Psychosocial and psychological-Employment rate	Total number of individuals with Psychosocial and psychological impairments with Psychosocial and psychological impairments where type of closure=3 divided by total number of individuals where closure type=3 or 4 multiplied by 100.

Data source: RSA-911

FFY 17 contains closed case data from October 1, 2016 to June 30, 2017.

**Table 7. Calculations for [AGENCY] VR Services Provided for All Individuals Served at Closure - FFYs 2015-2017**

Services Provided	Percent Formulas
Training services - Graduate degree training	<p>Calculate the total number of individuals served by the agency (type of closure equals to 3 or 4). To determine the number of individuals who received each of the specified services, sum the number of individuals where services provided is greater than 0. To determine the percent receiving the specified service, divide the number of individuals who received the specified service by the total number of individuals served multiplied by 100.</p>
Training services - Bachelor degree training	
Training services - Junior or community college training	
Training services - Occupational or vocational training	
Training services - On-the-job training	
Training services - Apprenticeship training	
Training services - Basic academic remedial or literacy training	
Training services - Job readiness training	
Training services - Disability-related skills training	
Training services - Miscellaneous training	
Career services - Assessment	
Career services - Diagnosis and treatment of impairment	
Career services - Vocational rehab counseling and guidance	
Career services - Job search assistance	
Career services - Job placement assistance	
Career services - On-the-job supports-short term	
Career services - On-the-job supports-SE	
Career services - Information and referral services	
Career services - Benefits counseling	
Career services - Customized employment services	
Other services - Transportation	

Services Provided	Percent Formulas
Other services - Maintenance	
Other services - Rehabilitation technology	
Other services - Reader services	
Other services - Interpreter services	
Other services - Personal attendant services	
Other services - Technical assistance services	
Other services - Other services	

Data source: RSA-911

*FFY 17 contains closed case data from October 1, 2016 to June 30, 2017.*

*For individuals who were determined eligible, placed on an IPE, and received a service under the IPE.*

*VR Services include those provided and purchased by the VR agency.*

**Table 8. Calculations for [AGENCY] Standard Occupational Classification (SOC) Codes Percentages of Employment Outcomes and Median Hourly Earnings for All Individuals Who Achieved Competitive Employment Outcomes at Closure - FFYs 2015-2017**

SOC for Competitive Integrated Employment Outcomes	Percent	Median Hourly Wage
Architecture and Engineering Occupations	<p>The percentage of the total competitive employment outcomes is total number of competitive employment outcomes for each occupational category divided by the total number of competitive employment outcomes multiplied by 100.</p>	<p>For median hourly earnings, first calculate the average hourly wage at closure using weekly earnings at closure divided by the number of hours worked in a week at closure for individuals who exited with a competitive employment outcome for each of the occupational categories listed, then the average hours earnings values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median hourly earnings value, so there is the same quantity of numbers above the median number as there is below the median number.</p>
Arts, Design, Entertainment, Sports, and Media		
Building and Grounds Cleaning and Maintenance		
Business and Financial Operations Occupations		
Community and Social Services Occupations		
Computer and Mathematical Occupations		
Constructive and Extraction Occupations		
Education, Training, and Library Occupations		
Farming, Fishing, and Forestry Occupations		
Food Preparation and Serving Related Occupations		
Healthcare Practitioners and Technical Occupations		
Healthcare Support Occupations		
Installation, Maintenance, and Repair Occupations		
Legal Occupations		
Life, Physical, and Social Science Occupations		
Management Occupations		
Military Specific Occupations		
Office and Administrative Support Occupations		
Personal Care and Service Occupations		
Production Occupations		
Protective Service Occupations		
Randolph-Sheppard vending facility clerk*		
Randolph-Sheppard vending facility operator*		

Sales and Related Occupations		
Transportation and Material Moving Occupations		
Total competitive employment outcomes		

Data Source: RSA-911

*FFY 17 contains closed case data from October 1, 2016 to June 30, 2017.*

The data source for table 8 (a,b,c) is the RSA-911. For each occupational category, the table shows the percentage of individuals served who achieved a competitive employment outcome (Total number of individuals who exited with employment in an integrated setting with or without supports, self-employment, or Business Enterprise Program (Employment Status at Closure = 1, 3, 4, or 7) and whose hourly wage at closure (Weekly Wage at Closure divided by the Number of Hours Worked in a Week in at Closure) is equal to or greater than the Federal or state minimum wage whichever is higher minus .005).

**Table 9. Calculations for [AGENCY] Reason for Exit for All Individuals Who Did Not Achieve an Employment Outcome at Closure- FFYs 2015-2017**

	<b>Reason for Closure</b>	<b>Number</b>	<b>Percent</b>
1	Unable to locate or contact	Total number of data element 214 (reason for closure) code 1.	Total number of data element 214 (reason for closure) code 1 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.
2	Disability too significant to benefit from VR services - ineligible	Total number of data element 214 (reason for closure) code 2.	Total number of data element 214 (reason for closure) code 2 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.
3	No longer interested in receiving services or further services	Total number of data element 214 (reason for closure) code 3.	Total number of data element 214 (reason for closure) code 3 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.
4	Death	Total number of data element 214 (reason for closure) code 4.	Total number of data element 214 (reason for closure) code 4 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.
5	Transferred to another agency	Total number of data element 214 (reason for closure) code 6.	Total number of data element 214 (reason for closure) code 6 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.
6	No disabling condition - ineligible	Total number of data element 214 (reason for closure) code 8.	Total number of data element 214 (reason for closure) code 8 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.
7	No impediment to employment - ineligible	Total number of data element 214 (reason for closure) code 9.	Total number of data element 214 (reason for closure) code 9 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.

8	Transportation not feasible or available	Total number of data element 214 (reason for closure) code 10.	Total number of data element 214 (reason for closure) code 10 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.
9	Does not require VR services - ineligible	Total number of data element 214 (reason for closure) code 11.	Total number of data element 214 (reason for closure) code 11 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.
10	All other reasons	Total number of data element 214 (reason for closure) code 13.	Total number of data element 214 (reason for closure) code 13 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.
11	Extended employment	Total number of data element 214 (reason for closure) code 14.	Total number of data element 214 (reason for closure) code 14 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.
12	Individual in institution other than a prison or jail	Total number of data element 214 (reason for closure) code 15.	Total number of data element 214 (reason for closure) code 15 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.
13	Individual is incarcerated in a prison or jail	Total number of data element 214 (reason for closure) code 16.	Total number of data element 214 (reason for closure) code 16 divided by total closed cases (data element 213-type of closure codes 1, 2 and 4 to 7) multiplied by 100.

Data Source: RSA-911

FFY 17 contains closed case data from October 1, 2016 to June 30, 2017.

## APPENDIX D

### 2017 [AGENCY] Supported Employment Program Profile

Summary Statistics – Supported Employment Outcomes						
Performance category	2015 Number	2015 Percent	2016 Number	2016 Percent	2017 Number	2017 Percent
Supported employment outcomes*						
Competitive employment outcomes**						
Median hourly earnings for competitive employment outcomes						
Average hours worked for competitive employment outcomes						

Data source: RSA-911

Note: FFY 2017 data is not comparable with other FFY data. FFY 2017 shows Oct. – June data. FFY 15-16 show Oct. – Sept. data.

\*Using RSA-911: Total number of individuals who exited with supported employment outcomes divided by total number of individuals who exited with an employment outcome multiplied by 100.

\*\*Using RSA-911: Total number of individuals who exited with competitive supported employment divided by total number of individuals who received supported employment services multiplied by 100.

Top Five Services Provided to Individuals in Competitive Supported Employment	
Services Provided	2017 Percent

Data source: RSA-911

Note: FFY 17 contains closed case data from October 1, 2016 to June 30, 2017.

Top Five Occupations by Percentages of Employment Outcomes with Median Hourly Earnings for All Individuals Who Achieved Competitive Supported Employment Outcomes at Closure for FFY17		
SOC Code	2017 Percent	2017 Median Hourly Wage

Data source: RSA-911

Note: FFY 17 contains closed case data from October 1, 2016 to June 30, 2017.

## APPENDIX E

### WIOA Shared Monitoring Guide

#### A. Nature and Scope

(see narrative in section VII of this MTAG, Focus Area – Joint Workforce Innovation and Opportunity Act Final Rule Implementation)

#### B. WIOA Partnership

Beyond complying with the requirements of the law, WIOA offers an opportunity to modernize and establish a workforce system that is customer-centered, where: the needs of business and workers drive workforce solutions; American Job Centers provide excellent customer service to all jobseekers and businesses; and the workforce system supports strong regional economies. Realizing this vision and potential requires strong partnerships throughout and across the workforce, education, and social services systems at the State and local levels. Therefore, it prompts States and local areas to build new, and strengthen existing, partnerships to fully realize WIOA's vision.

WIOA requires States and local areas to enhance coordination and partnerships with local entities and supportive service agencies for strengthened service delivery, including through Unified/Combined State Plans. Beyond the partnerships reflected in the Governance and One-Stop Operations sections of this Guide, Federal partners thought it was important for Federal agencies to inquire about the broader partnership activities occurring to implement many of the approaches called for within WIOA, such as career pathways and sector strategies. These require robust relationships across programs and with businesses, economic development, education, and training institutions, including community colleges and career and technical education local entities and supportive service agencies. These activities are often led by the State or Local workforce development boards or educational institutions, but also by other intermediary organizations. Therefore, exploring how these activities are led and sustained – whether there is an existence of a cross-agency team and with roles of the members from State and local agencies – may be useful in assessing how these initiatives are progressing within a State.

The qualitative questions in this section are intended to determine where the State has had success in partnering and to determine areas that may need strengthening:

- Determine where coordination is crucial, but does not occur or is limited.
- Listen when more than one partner identifies a concern.
- Consider whether any issues need a Federal, or State, or local resolution.
- Consider how lack of partnerships may lead to gaps in participant or business services.

#### WIOA Partnership

#### Qualitative Questions

1. Describe how the State engages with businesses and other stakeholders in partnerships for the purposes of unified planning, career pathway development and apprenticeships, sector strategies, or other related workforce development activities.
2. What mechanisms are in place to support and maintain partnerships? Does the membership have clearly defined roles through an established charter, partnership agreement or MOU (beyond those required in WIOA)? Are there feedback mechanisms in place?

## **C. Governance**

State Workforce Development Boards (SWDBs) and Local Workforce Development Boards (LWDBs), which should include representation from all six core programs, set strategy and policies for an aligned workforce development system that partners with the education continuum, economic development, human services, and business.

### **SWDB Membership**

#### **Compliance Section**

1. Is the lead State official with the primary responsibility for the adult, dislocated worker, and youth programs and the Wagner-Peyser program represented on the SWDB?
2. Where the lead State Official represents more than one core program for WIOA title I and Wagner-Peyser programs, does the official adequately represent the needs of all core programs under his or her jurisdiction?
3. Is the lead State official with the primary responsibility the Adult Education and Family Literacy Act program represented on the SWDB?
4. Does the representative for the AEFLA program meet the requirement that the AEFLA representative may not serve as a representative of more than one program or interest (unique representation)?
5. Does the AEFLA representative meet the requirement that the representative must be an individual who has optimum policy making authority for the AEFLA program?
6. Is the lead State official with the primary responsibility the State Vocational Rehabilitation Services program represented on the SWDB?
7. Does the representative for the VR program meet the requirement that the VR representative may not serve as a representative of more than one program or interest (unique representation), except that where a single government agency is responsible for multiple required programs, the head of the agency may represent each of the required programs?
8. Does the VR representative meet the requirement that the representative must be an individual who has optimum policy making authority for the VR program?

#### **Qualitative Questions**

1. If any of the core programs are not represented, what steps are being taken to appoint missing core partner members?
2. Is the Temporary Assistance for Needy Families (TANF) program represented on the SWDB? If not, how are TANF interests being represented on the SWDB?

## **SWDB Functions**

### **Qualitative Questions**

1. What role did the SWDB play in development of the State Plan and how will it be engaged in modifications moving forward?
2. Does the State have processes and/or procedures for issuing joint policy? If so, what joint policies has the State issued? What additional policies does the State Plan issue?
3. If joint policies are not issued, how are Statewide strategies/operational goals disseminated across the core programs?
4. WIOA requires the SWDB to develop strategies for effectively serving individuals with barriers to employment and for coordinating programs and services among one-stop partners for these individuals. What progress has the State made in developing such strategies?
5. What coordination is occurring across core and mandatory partner programs to meet the needs of TANF and other recipients of public assistance (e.g., Supplemental Nutrition Assistance Program (SNAP))?
6. What strategies has the SWDB developed towards aligning technology and data systems across one-stop partner programs?
7. What other strategies has the State created for policy and programmatic alignment within the system?
8. Does the SWDB have plans to train core program staff? If so, what are they?
9. How is the SWDB approaching sector strategies?
10. Describe the career pathways strategies developed by the SWDB.
11. How is the SWDB doing against the goals set for itself in the State Plan?
12. Have partners been involved in one stop certification procedures? If so, what is the composition of the cross-agency partnership?

## **LWDB Membership**

### **Compliance Section**

1. Does the LWDB have at least one eligible provider administering adult education and literacy activities under title II of WIOA?
2. Does the LWDB have at least one representative from programs carried out under title I of the Rehabilitation Act of 1973 (other than sec. 112 or part C of that title)?

### **Qualitative Questions**

1. How does the State ensure compliance with LWDB membership requirements?
2. Is there a TANF representative on LWDBs? If not, how are the needs of TANF recipients considered?

## **LWDB Functions**

### **Qualitative Questions**

1. Was the local plan a collaborative effort, developed by the board in partnership with the chief elected official and consistent with section 108 of WIOA?
2. Has the LWDB, in conjunction with the core and required partners and the chief elected official (CEO), developed and executed an MOU?
3. Does the MOU include negotiation of infrastructure costs of one-stop centers in the local area?
4. Has the LWDB developed coordinated strategies of core program service delivery efforts to employers, economic development entities and/or service providers, where appropriate?
5. Has the LWDB created strategies for developing and implementing career pathways?
6. How will, or how did, the LWDB coordinate with education and training providers to review applications to provide adult education and literacy activities under WIOA title II in order to determine the applications' consistency with the local plan?
7. What is the LWDB's process for one-stop certification? How are the core partner programs involved? Does it include both comprehensive and affiliate American Job Centers (AJCs)?

## **Local Plan**

### **Qualitative Questions**

1. Does the local plan describe how the LWDB will support the strategy identified in the State Plan, and work with the entities carrying out core programs and other workforce development programs, to support service alignment?
2. Does the local plan describe how the LWDB will coordinate WIOA title I workforce investment activities with adult education and literacy activities under WIOA title II, especially in the review of local applications submitted under title II consistent with sections 107(d)(11)(A) and (B)(i) and section 232 of WIOA?
3. How are AJC customers connected to local community agencies for relevant supportive services?

## **Regional Plan**

### **Qualitative Questions**

1. If regional plans are in place, how were partners engaged in those plans?

## **D. One-Stop Operations**

The one-stop delivery system brings together workforce development, educational, and other human resource services in a seamless customer-focused service delivery network that enhances access to services and improves long-term employment outcomes for individuals receiving assistance. One-stop partners administer separately funded programs as a set of integrated streamlined services to customers. Some compliance sections in Core Activity 3 contain questions that a Federal partner may ask broadly of the State's workforce development system. For example, a Federal partner may ask its grantee, a SWDB, a LWDB or a one-stop operator, to

speak to the State’s system-wide implementation of requirements under WIOA. These questions are labeled “System-wide.” On the other hand, a Federal partner may ask its grantee a question narrower in scope related to a specific partner program’s implementation of requirements under WIOA in the State’s workforce development system. These questions are labeled “Program-specific.” When asking “Program-specific” questions, a Federal partner will account for the manner in which its grantee implements the program at the State and/or local level.

## **One-Stop Partner Roles and Responsibilities**

### **Background Information**

The one-stop delivery system brings together workforce development, educational, and other human resource services in a seamless customer-focused service delivery network that enhances access to the programs' services and improves long-term employment outcomes for individuals receiving assistance. Required one-stop partner programs must provide access to programs, services, and activities through electronic means if applicable and practicable. This is in addition to providing access to services through the mandatory comprehensive physical one-stop center and any affiliated sites or specialized centers.

### **Compliance Section**

1. System-wide: Are all of the required partners represented in the comprehensive AJCs across the State?  
Program-specific: How is the required partner program represented in each of the comprehensive AJCs across the State?
2. System-wide: How does each required one-stop partner provide “access” to its programs or activities through the one-stop delivery system? Is it onsite, via cross training of partner staff, or via direct linkage?  
Program-specific: How does the required partner program provide access to its program or activities through the one-stop delivery system? Is it onsite, via cross training of partner staff, or via direct linkage?
3. System-wide: Does the one-stop delivery system include affiliated sites or specialized AJCs?  
Program-specific: Does the required partner program provide access to its services through any affiliated sites or specialized AJCs in the State?
4. For each affiliated site or specialized AJC in which the required partner program provides access to its services, is access to services provided onsite, via cross training of partner staff, or via direct linkage?
5. System-wide: How are career services provided in AJCs in the State?  
Program-specific: Does the required partner program provide career services through AJCs in the State? What specific career services is the required partner program providing through AJCs?
6. System-wide: How are business services provided in AJCs in the State?  
Program-specific: Does the required partner program provide business services through AJCs?
  - What types of business services are provided through AJCs?

- Is a fee charged for the business services provided?
  - Has the required partner program established a written policy for charging a fee for business services?
7. Has the Governor determined that TANF will not be a required partner in the State?
  8. Where the Governor has determined that TANF is not a required partner in the one-stop delivery system, has the Governor notified the Secretaries of the U.S. Departments of Labor and Health and Human Services in writing of this determination?
  9. In States, or local areas within a State, where the Governor has determined that TANF is not required to be a partner, local TANF programs may still work in collaboration or partnership with the local one-stop centers to deliver employment and training services to the TANF population unless inconsistent with the Governor's direction.

### **Qualitative Questions**

1. Does the State maintain a list of the required one-stop partner programs in the State?
2. In States, or local areas within a State, where the Governor has determined that TANF is not required to be a partner, are local TANF programs working in collaboration or partnership with the local one-stop centers to deliver employment and training services to the TANF population so long as this work is not inconsistent with the Governor's direction?
3. Are TANF services co-located in the AJC? How are services aligned and coordinated with other AJC partners?
4. For AJCs where TANF is not co-located, how have AJC staff been cross-trained to assist/meet the needs of TANF clients that are employment ready?
5. How do the AJCs provide individuals with the opportunity to initiate an application for TANF benefits and services?
6. How are the career services that are available through TANF identified and accessed via the local one-stop delivery system?
7. How are TANF clients within 2 years of exhausting lifetime eligibility identified and prioritized for services?

### **Memoranda of Understanding**

#### **Background Information**

The MOU must be updated not less than every three years to reflect any changes in the signatory official of the Board, one-stop partners, and chief elected officials, or one-stop infrastructure funding. WIOA emphasizes full and effective partnerships between LWDBs, chief elected officials, and one-stop partners. LWDBs and partners must enter into good-faith negotiations. LWDBs, chief elected officials, and one-stop partners may also request assistance from a State agency responsible for administering the partner program, the Governor, SWDB, or other appropriate parties on other aspects of the MOU. LWDBs and one-stop partners must establish, in the MOU, how they will fund the infrastructure costs and additional costs of the one-stop centers. If agreement regarding infrastructure costs is not reached when other sections of the MOU are ready, an interim IFA may be included instead, as described in §361.715(c). Once agreement on infrastructure funding is reached, the LWDB and one-stop partners must amend

the MOU to include the infrastructure funding of the one-stop centers. Infrastructure funding is described in detail in §§361.700 through 361.760. The LWDB must report to the SWDB, Governor, and relevant State agency when MOU negotiations with one-stop partners have reached an impasse. The LWDB and partners must document the negotiations and efforts that have taken place in the MOU. The SWDB, one-stop partner programs, and the Governor may consult with the appropriate Federal agencies to address impasse situations related to issues other than infrastructure funding after attempting to address the impasse. Impasses related to infrastructure cost funding must be resolved using the State infrastructure cost funding mechanism described in §361.730. The LWDB must report failure to execute an MOU with a required partner to the Governor, SWDB, and the State agency responsible for administering the partner's program. Additionally, if the State cannot assist the LWDB in resolving the impasse, the Governor or the SWDB must report the failure to the Secretary of Labor and to the head of any other Federal agency with responsibility for oversight of a partner's program.

### **Compliance Section**

- System-wide: Have the required and additional one-stop partners executed MOUs with each of the LWDBs in the State?  
Program-specific: Has the required partner program executed an MOU with each LWDB in the State?
- Do MOUs contain a description of services to be provided through the one-stop delivery system, including the manner in which the services will be coordinated and delivered through the system?
- Do MOUs contain a one-stop operating budget identifying the costs of the services and the operating costs of the system? Does the MOU include:
  - An IFA for the infrastructure costs of one-stop centers in accordance with §§678.700 through 678.755; and
  - Funding of additional costs, including career services and shared services and shared operating costs of the one-stop delivery system described in §678.760?
- Do MOUs contain methods for referring individuals between the one-stop operators and partners for appropriate services and activities?
- Do MOUs contain methods to ensure that the needs of workers, youth, and individuals with barriers to employment, including individuals with disabilities, are addressed in providing access to services, including access to technology and materials that are available through the one-stop delivery system?
- Do MOUs contain assurances that each MOU will be reviewed, and if substantial changes have occurred, renewed, not less than once every three-year period to ensure appropriate funding and delivery of services?
- Do MOUs outline the duration of the MOU and procedures for amending it?
- Do MOUs contain any other provisions agreed to by the parties that are consistent with WIOA title I, the authorizing statutes and regulations of one-stop partner programs, and the WIOA regulations?
- Do MOUs contain the signatures of the:
  - LWDB Director;
  - Authorized representatives of One-stop partners; and
  - Chief elected official(s).

- Do MOUs also contain the time period in which the agreement is effective?
- Whether local areas used the Local funding mechanism to fund one-stop infrastructure costs, or the State-funding mechanism was triggered and implemented, do MOUs contain the following information related to infrastructure funding.
  - The period of time in which the IFA is effective. (This may be a different time period than the duration of the MOU.)
  - Identification of a one-stop operating budget, including infrastructure costs in the IFA and additional costs, which will be periodically reconciled against actual costs incurred and adjusted accordingly to ensure that it reflects a cost allocation methodology that demonstrates how infrastructure costs are charged to each partner in proportion to its use of the one-stop center and relative benefit received, and that complies with 2 CFR part 200 (or any corresponding similar regulation or ruling).
  - Identification of all one-stop partners, chief elected officials, and LWDB participating in the infrastructure funding arrangement.
  - Steps the LWDB, chief elected officials, and one-stop partners used to reach consensus or an assurance that the local area followed the guidance for the State funding process.
  - Description of the process to be used among partners to resolve issues during the MOU duration period when consensus cannot be reached.
  - Description of the periodic modification and review process to ensure equitable benefit among one-stop partners?
- Do MOUs contain any additional costs agreed upon by the one-stop partners, including:
  - Applicable career services that must be included; and
  - Shared operating costs and shared services that may be included?
- Did the LWDB, chief elected official, and all partners develop a single “umbrella” MOU or has the LWDB (with agreement of chief elected official) entered into separate agreements between each partner or groups of partners?
- Did the LWDB, chief elected official, and all partners develop a single “umbrella” IFA or did they enter into separate IFAs between each partner or groups of partners?

### **Qualitative Questions**

1. To what extent have TANF partners been included in locally negotiated MOUs?
2. Is TANF providing funds to the LWDB beyond infrastructure costs? If so, how are the funds being used?

### **One-Stop Infrastructure Cost Funding**

#### **Compliance Section**

1. After consultation with chief elected officials, the SWDB, and LWDBs and consistent with guidance and policies provided by the SWDB, has the Governor developed and issued guidance for use by local areas?
2. Does the guidance specifically include the following?

- Guidelines for State-administered one-stop partner programs for determining such programs' contributions to a one-stop delivery system, based on such programs' proportionate use of such system, and relative benefit received, consistent with Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) in 2 CFR part 200, including determining funding for the costs of infrastructure.
  - Guidance to assist LWDBs, chief elected officials, and one-stop partners in local areas in determining equitable and stable methods of funding the costs of infrastructure at one-stop centers based on proportionate use and relative benefit received, and consistent with Federal cost principles contained in the Uniform Guidance at 2 CFR part 200.
3. Does the guidance contain the following?
    - The appropriate roles of the one-stop partner programs in identifying one-stop infrastructure costs.
    - Approaches to facilitate equitable and efficient cost allocation that results in a reasonable cost allocation methodology where infrastructure costs are charged to each partner based on its proportionate use of the one-stop centers and relative benefit received, consistent with Federal cost principles at 2 CFR part 200.
    - The timelines regarding notification to the Governor for not reaching local agreement and triggering the State funding mechanism described in §361.730, and timelines for a one-stop partner to submit an appeal in the State funding mechanism.
  4. How many local areas in the State use the local funding mechanism to fund one-stop infrastructure costs?
    - If so, what funds were used to pay for one-stop infrastructure costs in the local funding mechanism?
  5. Did any LWDBs, chief elected official(s), and one-stop partners fail to reach consensus on the funding of one-stop infrastructure costs in any of the local areas in the State?
    - If so, did the LWDB notify the Governor by the deadline established in the Governor's guidance?
    - Once notified, did the Governor administer funding through the State funding mechanism for the program year impacted by the local area's failure to reach consensus?
  6. If initiated, did the State funding mechanism follow the requirements at §§678.730 through 678.738?
  7. In determining the amount to be paid under the State funding mechanism, did the LWDB follow the steps outlined at §678.731(a) and (b)(1)?
  8. Under the State funding mechanism, were budgets for one-stop infrastructure costs in local areas determined according to the requirements at §678.735?
  9. After the appropriate budget was determined, did the Governor establish a cost allocation methodology for determining one-stop partners' proportionate shares of infrastructure costs under the State funding mechanism?
  10. Did the Governor follow the steps outlined at §678.737?
  11. Were Statewide caps on the contributions of one-stop infrastructure costs determined in accordance with §678.738?

12. If initiated, what funds were used to pay for one-stop infrastructure costs under the State funding mechanism?
13. Has the Governor established a process for one-stop partners to appeal the Governor's determination of one-stop infrastructure cost funding? Is this process outlined in the Unified State Plan?
14. Do one-stop partners use a portion of funds made available under their programs' authorizing Federal law (or fairly evaluated in-kind contributions) to pay the additional costs relating to the operation of the one-stop delivery system? (These other costs must include applicable career services and may include other costs, including shared services and shared operating costs.)

### **Accessibility/One-Stop Certification**

#### **Background Information**

LWDBs must assess at least once every three years the effectiveness, physical and programmatic accessibility, and continuous improvement of one-stop centers and the one-stop delivery systems using the criteria and procedures developed by the SWDB. The criteria must evaluate the one-stop centers and one-stop delivery system for effectiveness, including customer satisfaction, physical and programmatic accessibility, and continuous improvement.

#### **Compliance Section**

1. Have the local area's one-stop centers and system been certified by the LWDB or SWDB in cases where the LWDB is the one-stop operator?
2. Does the required partner program play a role in verifying that AJCs are physically accessible to individuals with disabilities?
3. Does the required partner program have a role in verifying that AJCs are programmatic accessibility to individuals with disabilities?
4. Does the required partner program have a role in ensuring the continuous improvement of AJCs? This includes:
  - How well the AJCs support the achievement of the negotiated local levels of performance for the indicators of performance for the local area;
  - A regular process for identifying and responding to technical assistance needs;
  - A regular system of continuing professional staff development; and
  - Having systems in place to capture and respond to specific customer feedback.
5. Does the required partner program have a role in evaluating the effectiveness of AJCs? This includes evaluating:
  - How well the AJCs integrate available services for participants and businesses;
  - How well the AJCs meet the workforce development needs of participants and the employment needs of local employers;
  - How well the AJCs coordinate services among the one-stop partner programs coordinates services among the one-stop partner programs; and
  - How well the AJCs ensure equal opportunity for individuals with disabilities to participate in or benefit from one-stop center services.
6. Does the local area use technology to maximize customer accessibility to services?

7. Do AJCs provide auxiliary aids and services, including assistive technology devices and services, where necessary to afford individuals with disabilities an equal opportunity to participate in programs and activities?
8. Does the required partner program maintain written procedures for filing grievances or complaints alleging violations of nondiscrimination and equal opportunity provisions?

### **Qualitative Questions**

1. What policies has the SWDB established for one-stop certification, for accessibility, effectiveness and continuous improvement?

### **Common Identifier**

#### **Background Information**

The Departments established the “American Job Center” network, a unifying name and brand, which identifies online and in-person workforce development services as part of a single network of publicly-funded services. The one-stop delivery system must use either that common identifier as its name, or use the tag line phrase “a proud partner of the American Job Center network.” Either the plain text or one of the logos may be used. If a logo is used, it must be used in accordance with the guidelines contained in the Graphics Style Guide for Partners, and with the terms of use for the logos, all of which are available at [US Department of Labor](#). As of July 1, 2017, each one-stop delivery system must include the “American Job Center” identifier or “a proud partner of the American Job Center network” on all products, programs, activities, services, electronic resources, facilities, and related property and new materials used in the one-stop delivery system. One-stop partners, States, or local areas may use additional identifiers on their products, programs, activities, services, facilities, and related property and materials.

#### **Compliance Section**

1. Is the one-stop delivery system using the common identifier as its name, or the tag line phrase “a proud partner of the American Job Center network?”
2. As a required partner, is the “American Job Center” identifier or the tag line “a proud partner of the American Job Center network” on all products, programs, activities, services, electronic resources, facilities, and related property and new materials used in the one-stop delivery system?

### **E. Performance Accountability**

Section 116 of WIOA establishes performance accountability indicators and performance reporting requirements to assess the effectiveness of States and local areas in achieving positive outcomes for individuals served in the workforce development system. WIOA requires that these requirements apply across all six core programs, with a few exceptions.

The Federal partner programs recognize that significant effort to monitor State implementation of performance accountability requirements are contained in each partner program-specific

monitoring processes (e.g., Focus Area III of the FFY 2018 MTAG). The following questions are not intended to duplicate those existing efforts; rather, they are designed to capture additional information related to the interaction of the core programs in carrying out performance requirements.

## **Performance Accountability**

### **Qualitative Questions**

1. Do partners have regular meetings to discuss performance accountability issues? If so, describe. What are main concerns among partners regarding performance accountability?
2. Which approaches to collecting data on the “Effectiveness in Serving Employers” did the State choose?
3. Did the State add a State-specific Effectiveness in Serving Employers approach? If so, describe.
4. Did the core programs come to agreement on which Federal approaches to use and how to establish expected level of performance? If so, describe.
5. Which office has been designated to lead the collection and reporting of the data for the shared outcome?
6. Is the State working towards establishing a unique identification number to be retained by the same individual across multiple programs?
7. Describe progress in developing a mechanism to track co-enrollment across programs to comply with §677.160 performance reporting requirements.
8. If States have established additional performance indicators for the six core programs, describe the additional indicators and application across programs.

## **Data Sharing and Matching**

### **Compliance Section**

1. Is the State, consistent with State law, using quarterly wage record information in measuring its performance of its core programs on the primary indicators of performance?

### **Qualitative Questions**

1. Has the Governor designated a State agency to assist core agency in carrying out performance reporting related to facilitating data matches, data quality reliability, and protection against disaggregation that would violate privacy provisions?
2. If the Governor did not designate an agency, how is the Governor meeting these regulatory provisions?
3. Have the agencies entered into appropriate a data sharing agreements to allow for sharing data related to performance reporting?
4. Are all partner programs participating in the interstate data exchange?
5. Is the State allowing the use of supplemental wage data for verifying performance outcomes? Is the policy the same for all core programs?

6. How are the partner programs accessing and integrating supplemental wage data into its performance calculations?
7. What progress has the State made toward the creation of information technology solutions such as data system interfaces?
8. Does the State have any mechanisms to monitor performance across core partners to identify performance issues that may affect the State's ability to meet its performance targets?

## APPENDIX F

### State Vocational Rehabilitation Services Program Third-Party Cooperative Arrangement Review Instrument

#### I. Introduction

Historically, some vocational rehabilitation (VR) agencies have used sources of match other than State general revenue fund appropriations directed to the designated State unit (DSU) to meet the non-Federal share (match) requirement for Federal VR program funds. Such matching funds can come from a variety of sources. The use of funds other than State general revenue appropriations to the DSU is allowable under the Rehabilitation Act of 1973 (Act), as amended by the Workforce Innovation and Opportunity Act (WIOA), and there are specific statutory requirements pertaining to the use of such funds. A significant number of VR agencies utilize third-party cooperative arrangements (TPCA) as a source of match for Federal VR funds. The Federal regulations, which detail the TPCA requirements, in 34 CFR §361.28 read, in pertinent part, as follows:

- (a) The designated State unit may enter into a third-party cooperative arrangement for providing or contracting for the provision of vocational rehabilitation services with another State agency or a local public agency that is providing part or all of the non-Federal share in accordance with paragraph (c) of this section, if the designated State unit ensures that--
  - (1) The services provided by the cooperating agency are not the customary or typical services provided by that agency but are new services that have a vocational rehabilitation focus or existing services that have been modified, adapted, expanded, or reconfigured to have a vocational rehabilitation focus;
  - (2) The services provided by the cooperating agency are only available to applicants for, or recipients of, services from the designated State unit;
  - (3) Program expenditures and staff providing services under the cooperative arrangement are under the administrative supervision of the designated State unit; and
  - (4) All requirements of the VR services portion of the Unified or Combined State Plan, including a State's order of selection (OOS), will apply to all services provided under the cooperative arrangement.
- (b) If a third party cooperative agreement does not comply with the statewideness requirement in § 361.25, the State unit must obtain a waiver of statewideness, in accordance with § 361.26.

#### II. The Cooperating Agency Must Furnish All or Part of the Non-Federal Share

The first requirement for TPCAs is that the third-party cooperating agency is a State or local public agency that furnishes all or part of the non-Federal share (34 CFR §361.28(a)). Public,

as applied to an agency, organization, or institution, means that the agency, organization, or institution is under the administrative supervision or control of a government other than the Federal government (34 CFR §77.1). TPCAs cannot be developed with private non-profit or for-profit entities.

The following questions may be helpful.

1. Is the cooperating agency a State agency or other public agency?
2. Is the cooperating agency furnishing all or part of the non-Federal share for that particular TPCA?

If the answer to the above questions is NO, the TPCA is not in compliance with the requirements of 34 CFR §361.28 and 34 CFR §77.1.

In addition, the Federal VR regulations that detail the TPCA non-Federal share requirements, in 34 CFR §361.28 read, in pertinent part, as follows:

- (c) The cooperating agency's contribution toward the non-Federal share required under the arrangement, as set forth in paragraph (a) of this section, may be made through:
  - (1) Cash transfers to the designated State unit;
  - (2) Certified personnel expenditures for the time cooperating agency staff spent providing direct vocational rehabilitation services pursuant to a third-party cooperative arrangement that meets the requirements of this section. Certified personnel expenditures may include the allocable portion of staff salary and fringe benefits based upon the amount of time cooperating agency staff directly spent providing services under the arrangement; and
  - (3) other direct expenditures incurred by the cooperating agency for the sole purpose of providing services under this section pursuant to a third-party cooperative arrangement that—
    - (i) Meets the requirements of this section;
    - (ii) Are verifiable as being incurred under the third-party cooperative arrangement; and
    - (iii) Do not meet the definition of third-party in-kind contributions under 2 CFR §200.96.

The following questions may be helpful.

3. What is/are the source(s) of non-Federal share that the cooperating agency provides under the TPCA (i.e., cash, certified personnel expenditures, other direct expenditures)?
4. How much/what percentage of each source is provided?

5. What internal controls has the VR agency established to ensure that non-Federal share is reasonable, necessary, and allocable to the TPCA, making it allowable as match for the VR program?
  - Is cash transferred directly by the cooperating agency into the sole account of the VR agency?
  - Are certified personnel expenditures submitted by the cooperating agency along with supporting documentation (e.g., personnel activity reports) to demonstrate time worked on the TPCA vs. time not worked on the TPCA?
  - Are other direct expenditures submitted by the cooperating agency along with supporting documentation (e.g., receipts) that ensures the expenditures were incurred during the time the TPCA contract was in force, for the sole purpose of providing VR services to applicants and recipients of VR services under the TPCA?
6. Is there a budget within the TPCA contract that specifically identifies the portion of allowable costs that meet the 34 CFR §361.28 provisions, including those incurred as non-Federal share for the direct provision of VR services, and those incurred with Federal VR funds?

### **III. New or Modified Services with a VR Focus**

The second requirement for TPCAs is “the services provided by the cooperating agency are not the customary or typical services provided by that agency but are new services that have a VR focus or existing services that have been modified, adapted, expanded, or reconfigured to have a VR focus” (34 CFR §361.28(a)(1)). The question of whether services are “new” or “modified, adapted, expanded, or reconfigured” may be difficult to discern. The services cannot be services that the cooperating agency is providing or has the legal responsibility to provide.

The following questions may be helpful in determining whether a service is “new” or “modified, adapted, expanded, or reconfigured.”

7. Does the TPCA specify that the cooperating agency is responsible for providing or directly arranging for the provision of (e.g., contracting for) the VR services specified in the arrangement?
8. When was the TPCA program started, and what customary services was the cooperating agency providing prior to that time?
9. Are the VR services provided through the TPCA program also available to individuals through avenues other than the TPCA? For example, if a high school student is provided job coaching through a TPCA, are other high school students who are not being served through the TPCA also provided job coaching?
10. Were the TPCA staff already providing the same VR services to

applicants/recipients of VR services prior to the TPCA's implementation?

11. Is there a substantive difference between the services provided by the cooperating agency prior to the TPCA and "new" or "modified, adapted, expanded, or reconfigured" VR services?
12. Does the TPCA contract detail the VR focus of the new or modified services?

If the services are not "new" or "modified, adapted, expanded, or reconfigured," then these services cannot be included in the arrangement. If such services are included in the arrangement, the TPCA is out of compliance with 34 CFR §361.28(a)(1).

#### **IV. Services are Only Available to Applicants for, or Recipients of, VR Services**

The third regulatory requirement for TPCAs is that "the services provided by the cooperating agency are only available to applicants for, or recipients of, services from the designated State unit" (34 CFR §361.28(a)(2)). It is important to look for language in the TPCA document that outlines whom the program will serve. Even if the written document states that the program serves only VR applicants or recipients, it is important to discern how it unfolds in practice. Students with disabilities who are potentially eligible for services from the VR program may receive the five pre-employment transition services required activities (34 CFR §361.48(a)(2)) regardless of whether they have applied or been determined eligible for VR services (34 CFR §361.48(a)(1)). However, all individuals must be applicants or eligible to receive any of the VR services provided under 34 CFR §361.48(b), including when those services are provided under a TPCA.

The following questions may be helpful in determining whether the services are provided to applicants for, or recipients of, VR services.

13. Are all individuals served through the TPCA program applicants for, or recipients of, VR services?
14. Does the TPCA provide the five pre-employment transition services required activities in 34 CFR §361.48(a)(2), or other VR services identified in 34 CFR §361.48(b)?
15. What role do the VR counselors play in the TPCA program?

If the TPCA provides any VR services under 34 CFR §361.48(b) that have different requirements than the five pre-employment transition services required activities under 34 CFR §361.48(a)(2), the following questions apply.

16. How do VR counselors ensure that individuals with disabilities have applied or been determined eligible for VR services when a TPCA provides VR services identified in 34 CFR §361.48(b)?

17. How and when is an application taken?
18. How and when is eligibility determined?
19. When is an individualized plan for employment (IPE) written?
20. At what point in the VR process are services provided?

If the cooperating agency wants to serve individuals who are neither applicants for nor recipients of VR services, the cooperating agency may do so provided no Federal or non-Federal VR funds are used to support those services (e.g., personnel costs, supplies, etc.). The VR agency could use neither title I funds to serve such individuals, nor consider the costs of serving such individuals paid with non-Federal funds in the VR agency's efforts to comply with the matching requirements under 34 CFR §361.60. These individuals would have to be served outside of the parameters of the TPCA. RSA recommends that the cooperating agency and VR agency clarify such arrangements in the written agreement implementing the TPCA.

## **V. DSU Maintains Administrative Supervision**

The fourth regulatory requirement for TPCAs is that “program expenditures and staff providing services under the cooperative arrangement are under the administrative supervision of the designated State unit” in accordance with 34 CFR §361.28(a)(3). It is RSA's position that the third-party staff should not be employees of the VR agency.

The following questions may be helpful in determining whether the DSU is maintaining “administrative supervision.”

21. Is there a signed agreement supported by a line item budget that details the personnel and other associated costs? (Generally, this is enough to meet this requirement.)
22. Who supervises the provision of VR services under the TPCA?
23. Who manages and administers the TPCA contract (program and fiscal components)?
24. What types of performance measures are included in the TPCA and who evaluates the performance?
25. Who/what agency maintains control of the expenditures of the program?
26. What internal control activities do VR agency staff conduct to ensure non-Federal and Federal expenditures are spent under the TPCA in accordance with the 34 CFR §361.28 requirements?
27. How does the VR agency ensure that non-Federal and Federal expenditures reported an incurred under the TPCA are allocable to the TPCA program?
28. How does the VR agency ensure that non-Federal share provided as match under the

TPCA is consistent with 34 CFR §361.28(c)?

29. What are the hiring and firing practices for third-party program staff?
30. What agency is responsible for issuing paychecks to the cooperating agency providing the TPCA VR services?
31. Who does the TPCA program staff consider as the lead of the program and supervisor?
32. Who performs the non-delegable VR duties outlined in 34 CFR §361.13?

For example, a TPCA transition program's third-party cooperative arrangement staff is employees of the schools (the schools do the hiring and firing, issue the paychecks, etc.). However, the VR agency maintains control of expenditures; has authority over the TPCA staff; is involved with the interview process; performs continuous reviews of the schools' progress, performance and internal controls; conducts at least annual reviews of performance expectations; and maintains control of the non-delegable functions of the VR program. This would meet the requirement of "administrative supervision" even though the TPCA staff members are not employees of the DSU but rather are employees of the school.

If there is no administrative supervision exercised by the VR agency, the VR program must restructure the TPCA contract to ensure the requirements listed above are met. RSA is available to provide technical assistance, upon request.

## **VI. VR Services Portion of the Unified or Combined State Plan Requirements Apply**

The fifth regulatory requirement for TPCAs is that "all requirements of the VR services portion of the Unified or Combined State Plan, including a State's OOS, will apply to all services provided under the cooperative arrangement" (34 CFR §361.28(a)(4)). If an agency is on an OOS, the TPCA program must also adhere to the OOS for the individuals that it serves. Please note that the VR agency must continue to provide pre-employment transition services to students with disabilities who were receiving any of the five pre-employment transition services prior to being determined eligible for VR services and placed in a closed OOS priority category or waiting list (34 CFR §361.36(e)(3)(i)). So long as the students received one of the required activities, prior to being placed in a closed priority category under an OOS, they can receive any of the five required activities while on a waiting list.

The following questions may be helpful:

33. If the VR agency is on an OOS, are the individuals served in the TPCA program selected based on that OOS?
34. How is informed choice provided to individuals served via the TPCA?

35. Are there any limits or caps on services provided under the TPCA?
36. What, if any, services are being provided by the VR agency through TPCAs to individuals assigned to a closed OOS priority category or waiting list?
37. Are all the requirements within the agency's VR services portion of the Unified or Combined State Plan being adhered to by the cooperating agency?

NOTE: If this requirement is not met, the RSA team should provide technical assistance to restructure the arrangement language to clearly specify that all requirements under the VR services portion of the Unified or Combined State Plan are to be met and eliminate provisions that are not consistent with the VR services portion of the Unified or Combined State Plan.

## **VII. Statewideness**

The final regulatory requirement for TPCAs is that, "if a third-party cooperative agreement does not comply with the statewideness requirement in 34 CFR §361.25, the State unit must obtain a waiver of statewideness, in accordance with 34 CFR §361.26" (34 CFR §361.28(b)). Pursuant to 34 CFR §361.25, "The vocational rehabilitation services portion of the Unified or Combined State Plan must assure that services provided under the vocational rehabilitation services portion of the Unified or Combined State Plan will be available in all political subdivisions of the State, unless a waiver of statewideness is requested and approved in accordance with 34 CFR §361.26."

The main questions to ask for this requirement are as follows.

38. Are the services provided through the TPCA available to all individuals across the State? If so, statewideness is met.
39. If not, has the VR agency obtained a waiver of statewideness through the submission of its most recent VR services portion of the Unified or Combined State Plan?

Are the services provided through the TPCA program offered throughout the State, yet some parts of the State are not participating in the program? If so, this does not meet the statewideness requirement. For example, if a TPCA transition program is offered in all parts of the State, but is not available statewide because not all schools in the State participate in the program, the statewideness requirement is not met and the VR agency must request a waiver of statewideness.

TPCAs with school districts to provide transition services to eligible students receiving special education services from the school system, or working with a county developmental disability or mental health office to establish an employment program for individuals who are eligible for both the county programs and for VR almost always require a waiver of statewideness.

A VR agency may provide services under a waiver of statewideness when the:

- Non-Federal share of the cost of the services to be provided under the waiver is met

- from funds provided by a public agency;
- Services are likely to promote the VR of substantially larger numbers of individuals with disabilities, or of individuals with disabilities with particular types of impairments; and
- The VR agency includes in the VR services portion of the Unified or Combined State Plan, and the Secretary of Education approves, a waiver of statewideness (34 CFR §361.26(a)).

The requirements for requesting a waiver of statewideness are found in 34 CFR §361.26(b). VR agencies must request approval from RSA, by submitting an attachment to the State Plan, prior to waiving responsibility for providing services statewide. The waiver of statewideness request must:

- Identify the types of services to be provided;
- Include a written assurance that the cooperating agency will make available the non-Federal share of funds required for the arrangement;
- Include a written assurance that the VR agency approval will be obtained for each service before that service is put into effect; and
- Include a written assurance that all other requirements under the VR services portion of the Unified or Combined State Plan will apply to all services approved under the waiver.

# APPENDIX G

## Focus Area IV Optional Discussion Questions

### Vocational Rehabilitation Program Federal Fiscal Year (FFY) 2017 Monitoring and Technical Assistance Guide

#### Order of Selection

**Resources:** State Plan assurance 4(c) and description (m) of the VR services portion of the most recently submitted Unified or Combined State Plan to determine if an order of selection (OOS) has been established and implemented; and policies specific to the implementation of an order of selection, including the definitions of priority categories and the criteria for assignment to each category

In States implementing an OOS, if a student applies for VR services and is assigned to a closed OOS priority category prior to receiving pre-employment transition services, he or she may not receive pre-employment transition services or individualized transition services while on the waiting list. However, if a student with a disability is receiving pre-employment transition services prior to eligibility determination and assignment to a closed priority category (waiting list), the VR agency must continue providing those pre-employment transition services and any of the other required activities under pre-employment transition services.

#### Questions:

1. Are VR program resources strained in a manner that the VR agency is concerned with its ability to continue serving all eligible individuals? If so, how is the agency addressing this potential impact given the new requirement to reserve at least 15 percent of the VR allotment for the provision of pre-employment transition services to students with disabilities?
2. What pre-employment transition services are being provided to students with disabilities who are on the waiting list?
3. What group transition services are being provided to students and youth with disabilities who are on the waiting list?
4. How many students with disabilities are on the waiting list without being able to receive pre-employment transition services because they are assigned to a closed category before receiving pre-employment transition services?
5. How is the VR agency coordinating the provision of individualized services with other entities (e.g., local education agencies (LEAs), workforce development system, employers) while a student is on a waiting list and VR cannot provide such services? Describe services that are being provided by other entities.

6. Does the VR agency have a policy in place regarding the continuation of VR services (i.e., pre-employment transition services and group transition services), while an individual is on a waiting list?

## APPENDIX H

### Scenarios for the Achievement of a Supported Employment Outcome and Closure of the Service Record

**SCENARIO 1:** Bob has been placed in a competitive wage job in an integrated setting individualized and customized for him that is consistent with his strengths, abilities, interests and informed choice; has completed up to 24 months of supported employment services; has transitioned to extended services provided by a provider other than the vocational rehabilitation (VR) agency; and has been stable for a minimum of 90 days after transitioning to extended services.

Has he achieved a supported employment outcome? YES

Can the service record be closed? YES, if the requirements for case closure in 34 CFR §361.56 have also been satisfied.

**SCENARIO 2:** In the previous scenario, what if Bob is a youth and is receiving extended services from the VR agency?

Has he achieved a supported employment outcome? YES

Can the service record be closed? NO. Bob is continuing to receive services (extended services) from the VR agency. Once he no longer is receiving extended services from the VR agency, his case can be closed, if the requirements for case closure in 34 CFR §361.56 have also been satisfied.

**SCENARIO 3:** Bob has been placed in a job in an integrated setting at a subminimum wage that is individualized and customized for him that is consistent with his strengths, abilities, interests, and informed choice; has completed up to 24 months of supported employment services; has transitioned to extended services provided by a provider other than the VR agency; and has been stable for a minimum of 90 days after transitioning to extended services and is receiving VR services while working on a short-term basis toward competitive integrated employment.

Has he achieved a supported employment outcome? YES

Can the service record be closed at the time of the supported employment outcome? NO. Bob is continuing to receive VR services during the short-term basis period from the VR agency with funds under 34 CFR part 361 (title I VR program funds).

When can the service record be closed?

The service record can be closed when Bob:

- Achieves competitive integrated employment within the short-term basis period established pursuant to 34 CFR §363.1(c);
- Satisfies the requirements for case closure in 34 CFR §361.56; and

- Is no longer receiving VR services provided by the VR agency with funds under 34 CFR part 361.

The service record must be closed if Bob does not achieve competitive integrated employment within the short-term basis period.

**SCENARIO 4:** Bob is a youth who has been placed in a job in an integrated setting at a subminimum wage that is individualized and customized for him that is consistent with his strengths, abilities, interests, and informed choice; has completed up to 24 months of supported employment services; has transitioned to extended services provided by the VR agency; has been stable for a minimum of 90 days after transitioning to extended services and is receiving VR services funded under title I VR program funds while working on a short-term basis toward competitive integrated employment.

Has he achieved a supported employment outcome? YES

Can the service record be closed at the time of the supported employment outcome? NO. Bob is continuing to receive extended services funded under the Supported Employment or the VR program and VR services during the short-term basis from the VR agency with title I VR program funds.

When can the service record be closed?

The service record can be closed when Bob:

- Achieves competitive integrated employment within the short-term basis period; and
- Is no longer receiving VR services provided by the VR agency with funds under 34 CFR part 361; and/or
- Is no longer eligible to receive extended services provided by the VR agency with funds allotted under the Supported Employment program or the VR program or has transitioned to another extended services provider; and
- Satisfies the requirements for case closure in 34 CFR §361.56.

The service record must be closed if Bob does not achieve competitive integrated employment within the short-term basis period and, in such a case, extended services should be coordinated with another extended services provider.

# APPENDIX I

## Fiscal Data Tables for Focus Area VI

### State Vocational Rehabilitation Services Program Federal Fiscal Year (FFY) 2018 Monitoring and Technical Assistance Guide

**Table 6.1 (INSERT AGENCY NAME & ACRONYM) VR Resources and Expenditures—FFYs 2015–2017**

VR Resources and Expenditures	2015	2016	2017*
Total program expenditures			
Federal expenditures			
State agency expenditures (4 <sup>th</sup> quarter)			
State agency expenditures (latest/final)			
Federal formula award amount			
MOE penalty from prior year			
Federal award amount relinquished during reallocation			
Federal award amount received during reallocation			
Federal funds transferred from State VR agency			
Federal funds transferred to State VR agency			
Federal award amount (net)			
Federal award funds deobligated			
Federal award funds used			
Percent of formula award amount used			
Federal award funds matched but not used			

\* Indicates the award is currently in an open status. Therefore, data is either not currently available or not final.

**Table 6.1 (INSERT AGENCY NAME & ACRONYM) VR Resources and Expenditures—Descriptions, Sources and Formulas**

VR Resources and Expenditures	Source/Formula
Total program expenditures	The sum of the Federal and non-Federal expenditures. <b>Source/Formula:</b> Table 6.1: Federal expenditures plus State expenditures (latest/final)
Federal expenditures	The cumulative amount of disbursements from Federal funds. <b>Source/Formula:</b> SF-425 line 10e from latest/final report
State expenditures (4 <sup>th</sup> quarter)	The cumulative amount of disbursements and unliquidated obligations from State funds through September 30 <sup>th</sup> of the award period. <b>Source/Formula:</b> SF-425 line 10j from 4 <sup>th</sup> quarter report
State expenditures (latest/final)	The cumulative amount of disbursements and unliquidated obligations from State funds as reported on the agency’s latest or final SF-425 report. Final reports do not include unliquidated obligations. <b>Source/Formula:</b> SF-425 line 10j from latest/final report
Federal formula award amount	The amount of the Federal funds available to the agency based on the formula mandated in the Rehabilitation Act. <b>Formula/Source:</b> Federal formula award calculation
MOE penalty from prior year	The amount of the Maintenance of Effort (MOE) deficit from the previous FFY which resulted in a MOE penalty against the current FFY. <b>Source/Formula:</b> Table 6.2: MOE difference from prior year
Federal award amount relinquished during reallotment	Amount of Federal award voluntarily relinquished through the reallotment process. <b>Formula/Source:</b> RSA-692
Federal award received during reallotment	Amount of funds received through the reallotment process. <b>Source/Formula:</b> RSA-692
Federal funds transferred from State VR agency	Amount of award funds transferred from State VR agencies (Blind to General or General to Blind). <b>Formula/Source:</b> Agency transfer request documentation
Federal funds transferred to State VR agency	Amount of award funds transferred to State VR agencies (Blind to General or General to Blind). <b>Formula/Source:</b> Agency transfer request documentation
Federal award amount (net)	Federal award amount available after accounting for adjustments to award (e.g., MOE penalties, relinquishment, reallotment and transfers). <b>Formula/Source:</b> Federal formula award calculation, RSA-692, agency documentation, SF-425 : Federal formula calculation minus MOE penalty minus funds relinquished in reallotment

<b>VR Resources and Expenditures</b>	<b>Source/Formula</b>
	plus funds received in reallocation plus funds transferred from agency minus funds transferred to agency
Federal award funds deobligated	Federal award funds deobligated at the request of the agency or as part of the award closeout process. These funds may include matched or unmatched Federal funds. <b>Source/Formula:</b> Agency deobligation request documentation, G5 closeout reports
Federal award funds used	Amount of Federal award funds expended. <b>Source/Formula:</b> Federal formula calculation, RSA-692, agency documentation, SF-425 lessor of the 4 <sup>th</sup> quarter or latest/final: Federal award amount (net) (calculation above) minus Federal award funds deobligated
Percent Federal formula award used	Percent of Federal formula award funds used. <b>Source/Formula:</b> Federal award funds used (calculation above) divided by Federal formula award amount
Federal award funds matched but not used	This represents unused Federal award funds for which the agency provided match. <b>Source/Formula:</b> Table 6.2 Federal award funds matched (actual) minus Table 6.1 Federal award funds used

**Table 6.2 (INSERT AGENCY ACRONYM) Non-Federal Share and Maintenance of Effort—FFYs 2015–2017**

<b>Non-Federal Share (Match) and Maintenance of Effort (MOE)</b>	<b>2015</b>	<b>2016</b>	<b>2017*</b>
Match required per net award amount			
Match provided (actual)			
Match difference**			
Federal funds matched (actual)			
Percent Federal funds matched			
Match from State appropriation			
Percent match from State appropriation			
Match from Third-Party Cooperative Arrangements (TPCA)			
Percent match from TPCAs			
Match from Randolph-Sheppard program			

<b>Non-Federal Share (Match) and Maintenance of Effort (MOE)</b>	<b>2015</b>	<b>2016</b>	<b>2017*</b>
Percent match from Randolph-Sheppard Program			
Match from interagency transfers			
Percent match from interagency transfers			
Match from other sources			
Percent match from other sources			
MOE required			
MOE: Establishment/construction expenditures			
MOE actual			
MOE difference**			

\* Indicates the award is currently in an open status. Therefore, data is either not currently available or not final.

\*\* A positive amount indicates a deficit. A negative amount indicates a surplus.

**Table 6.2 (INSERT AGENCY NAME & ACRONYM) Non-Federal Share and Maintenance of Effort—Descriptions, Sources and Formulas**

<b>Non-Federal Share (Match) and Maintenance of Effort (MOE)</b>	<b>Source/Formula</b>
Match required per net award amount	Non-Federal funds required based upon the net amount of the Federal award. <b>Source/Formula:</b> (Table 6.1 Federal award amount net divided by 0.787 ) multiplied by 0.213
Match provided (actual)	Amount of match (non-Federal share) provided, by the agency. <b>Source/Formula:</b> SF-425 line 10j lesser of the 4 <sup>th</sup> quarter or latest/final
Match difference**	The difference between match required to access the net Federal award funds and the actual amount of match provided by agency. <b>Source/Formula:</b> SF-425 lesser of the 4 <sup>th</sup> quarter or latest/final: ((Federal formula award amount divided by 0.787 ) multiplied by 0.213) minus SF-425 line 10j
Federal funds matched (actual)	Total amount of Federal funds the agency was able to match based upon the non-Federal share reported. The maximum amount of Federal funds the agency can access is limited to the Federal grant award amount. <b>Source/Formula:</b> (Match provided actual divided by .213) multiplied by .787

<b>Non-Federal Share (Match) and Maintenance of Effort (MOE)</b>	<b>Source/Formula</b>
Percent of Federal funds matched	Percent of Federal funds matched. <b>Source/Formula:</b> Federal funds matched divided by Federal award amount net
Match from State appropriation	Match amount from State appropriation. <b>Source/Formula:</b> Data provided by State
Percent match from State appropriation	Match amount from State appropriation expressed as a percentage of total match provided. <b>Source/Formula:</b> Match from State appropriation divided by SF-425 line 10j
Match from TPCAs	Match amount from Third-Party Cooperative Arrangements (TPCAs). <b>Source/Formula:</b> Data provided by State
Percent match from TPCAs	Match amount from Third-Party Cooperative Arrangements (TPCAs) expressed as a percentage of total match provided. <b>Source/Formula:</b> Match from TPCAs divided by SF-425 line 10j
Match from Randolph-Sheppard program	Match amount from Randolph-Sheppard program. <b>Source/Formula:</b> Data provided by State
Percent match from Randolph-Sheppard Program	Match amount from Randolph-Sheppard program expressed as a percentage of total match provided. <b>Source/Formula:</b> Match from Randolph-Sheppard Program divided by SF-425 line 10j
Match from interagency transfers	Match amount from interagency transfers. <b>Source/Formula:</b> Data provided by State
Percent match from interagency transfers	Match amount from interagency transfers expressed as a percentage of total match provided. <b>Source/Formula:</b> Match from interagency transfers divided by SF-425 line 10j
Match from other sources	Match amount from all sources of match not previously listed. <b>Source/Formula:</b> Data provided by State
Percent match from other sources	Match amount from all other sources expressed as a percentage of total match provided. <b>Source/Formula:</b> Match from other sources divided by SF-425 line 10j

<b>Non-Federal Share (Match) and Maintenance of Effort (MOE)</b>	<b>Source/Formula</b>
Maintenance of Effort (MOE) required	Maintenance of effort (MOE) is the level of non-Federal expenditures established by the State's non-Federal expenditures two years prior, i.e. Recipient Share of Expenditures. <b>Source/Formula:</b> SF-425 4 <sup>th</sup> quarter or latest/final report: line 10j minus line 12a
MOE: Establishment / construction expenditures	Non-Federal share of expenditures for construction of facilities for community rehabilitation program (CRP) purposes and the establishment of facilities for community rehabilitation purposes. <b>Source/Formula:</b> SF-425 latest/final report: line 12a
MOE actual	Non-Federal share provided by agency minus establishment/construction expenditures for CRPs. <b>Source/Formula:</b> SF:425: Match provided actual minus establishment/construction expenditures
MOE difference**	The difference between MOE required and the actual MOE provided. <b>Source/Formula:</b> MOE required minus MOE actual

\*\* A positive amount indicates a deficit. A negative amount indicates a surplus.

**Table 6.3 (INSERT AGENCY NAME & ACRONYM) Program Income and Carryover—FFYs 2015–2017**

<b>Program Income and Carryover</b>	<b>2015</b>	<b>2016</b>	<b>2017*</b>
Program income received			
Program income disbursed			
Program income transferred			
Program income used for VR program			
Federal grant amount matched			
Federal expenditures and unobligated funds 9/30			
Carryover amount			
Carryover as percent of award			

\* Indicates the award is currently in an open status. Therefore, data is either not currently available or not final.

**Table 6.3 (INSERT AGENCY NAME & ACRONYM) Program Income and Carryover—Descriptions, Sources and Formulas**

<b>Program Income and Carryover</b>	<b>Source/Formula</b>
Program income received	Total amount of Federal program income received by the grantee. <b>Source/Formula:</b> SF-425 latest/final line 10l
Program income disbursed	Amount of Federal program income disbursed, including transfers. <b>Source/Formula:</b> SF-425 latest/final: line 10m plus line 10n
Program income transferred	Amount of Federal program income transferred to other allowable programs. <b>Source/Formula:</b> SF-425 latest/final: line 12e plus line 12f plus line 12g plus line 12h
Program income used for VR program	Amount of Federal program income utilized for the VR program. <b>Source/Formula:</b> SF-425 latest/final: Program income expended minus program income transferred
Federal grant amount matched	Federal funds an agency is able to draw down based upon on reported non-Federal share not to exceed net award amount. <b>Source/Formula:</b> Table 6.2 Federal funds matched actual
Federal expenditures and unobligated funds 9/30	Federal funds expended by 9/30 of the FFY of appropriation. This does not include unliquidated obligations. <b>Source/Formula:</b> SF-425 4 <sup>th</sup> quarter: line 10e
Carryover amount	The amount of Federal funds matched that the grantee did not liquidate, by 9/30 of the FFY of appropriation. This includes any unliquidated Federal obligations as of 9/30. <b>Source/Formula:</b> G5 Reports run as of 9/30 of the FFY of appropriation.
Carryover as percent of award	Amount of carryover expressed as a percentage of total Federal funds available. <b>Source//Formula:</b> G5, SF-425 latest/final: Carryover amount divided by Federal net award amount.

**Table 6.4 (INSERT AGENCY ACRONYM) RSA-2 Expenditures—FFYs 2015–2017\***

<b>RSA-2 Expenditures</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>
Total expenditures			
Administrative costs			
Administration as Percent expenditures			
Purchased services expenditures			
Purchased services as a Percent expenditures			

<b>RSA-2 Expenditures</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>
Services to groups			
Services to groups percentage			

\*Expenditures for RSA-2 data represent current FFY expenditures and carryover from prior FFY. Therefore, these figures may differ from the expenditures in Tables 6.1, 6.2, and 6.3 which are from SF-425 reports.

**Table 6.4 (INSERT AGENCY NAME & ACRONYM)- RSA-2 Expenditures—Descriptions, Sources and Formulas\***

<b>RSA-2 Expenditures</b>	<b>Sources/Formula</b>
Total expenditures	All expenditures from Federal, State and other rehabilitation funds (including VR, supported employment, program income, and carryover from previous FFY). This includes unliquidated obligations. <b>Source:</b> RSA-2: Schedule 1.4
Administrative costs	Total amount expended on administrative costs under the VR program. <b>Source/Formula:</b> RSA-2: Schedule 1.1
Administration as percent of expenditures	Administrative costs expressed as a percentage of all expenditures. <b>Source/Formula:</b> Administrative costs divided by total expenditures
Purchased services expenditures	Expenditures made for services purchased by the agency. <b>Source/Formula:</b> RSA-2: Schedule 1.2.B
Purchased services as a percent of expenditures	Purchased services expressed as a percentage of total expenditures. <b>Source/Formula:</b> Purchased services expenditures divided by total expenditures
Services to groups	Expenditures made by the agency for the provision of VR services for the benefit of groups of individuals with disabilities. <b>Source/Formula:</b> RSA-2: Schedule 1.3
Services to groups percentage	Services to groups expressed as a percentage of total expenditures. <b>Source/Formula:</b> Services to groups divided by total expenditures

\*Expenditures for RSA-2 data represent current FFY expenditures and carryover from prior FFY. Therefore, these figures may differ from the expenditures in Tables 6.1, 6.2, and 6.3 which are from SF-425 reports.