

Subpart F—Administrative Appeal Process

§ 645.800 What administrative remedies are available under this Part?

(a) Within 21 days of receipt of a final determination that has directly imposed a sanction or corrective action pursuant to § 645.250(b) of this part, a recipient, subrecipient, or a vendor directly against which the Grant Officer has imposed a sanction or corrective action, may request a hearing before the Department of Labor Office of Administrative Law Judges, pursuant to the provisions of 29 CFR part 96 subpart 96.6.

(b) In accordance with 29 CFR 96.603(b)(2), the rules of practice and procedure published at 29 CFR part 18 shall govern the conduct of hearings under this section, except that a request for hearing under this section shall not be considered a complaint to which the filing of an answer by DOL or a DOL agency is required. Technical rules of evidence shall not apply to a hearing conducted pursuant to this part; however, rules or principles designed to assure production of the most credible evidence available and to subject testimony to cross-examination shall apply.

(c) The decision of the Administrative Law Judge (ALJ) shall constitute final agency action unless, within 20 days of the decision, a party dissatisfied with the decision of the ALJ has filed a petition for review with the Administrative Review Board (ARB) (established pursuant to the provisions of Secretary's Order No. 2-96, published at 61 FR 19977 (May 3, 1996)), specifically identifying the procedure, fact, law or policy to which exception is taken. Any exception not specifically urged shall be deemed to have been waived. A copy of the petition for review must be sent to the opposing party at that time. Thereafter, the decision of the ALJ shall constitute final agency action unless the ARB, within 30 days of the filing of the petition for review, has notified the parties that the case has been accepted for review. Any case accepted by the ARB shall be decided within 120 days of such acceptance. If not so decided, the decision of the ALJ shall constitute final agency action.

PART 646—PROVISIONS GOVERNING THE INDIAN AND NATIVE AMERICAN WELFARE-TO-WORK GRANT PROGRAM

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AUTHORITY: 42 U.S.C. 612(a)(3)(B)(iii), unless otherwise noted.

SOURCE: 63 FR 15988, Apr. 1, 1998, unless otherwise noted.

Subpart A—Introduction to Indian and Native American Welfare to Work Programs

§ 646.100 What is the purpose of the Indian and Native American Welfare-to-Work (INA WtW) Program?

The INA WtW Program, authorized by title V, section 5001(c) of the Balanced Budget Act of 1997, is a program to complement the Indian provisions of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA—commonly called the “Welfare Reform Act”) [Pub. L. 104-193, 42 U.S.C. 601 *et seq.*] by providing additional funds to eligible federally-recognized Indian tribes to facilitate the transition of public assistance recipients from welfare dependency to self-sufficiency by helping recipients to obtain lasting unsubsidized employment. The INA WtW Program is authorized by title V, section 5001(c) of the Balanced Budget Act of 1997 (Pub. L. 105-33), which amended title IV-A of the Social Security Act by adding section 412(a)(3) [42 U.S.C. 612(a)(3)].

§ 646.105 What are the purposes of these regulations?

These regulations are designed to provide INA WtW program operators with the basic rules and guidelines needed to operate a Welfare-to-Work program which helps Native American public assistance recipients secure unsubsidized employment. Where applicable, these regulations also establish definitions and parameters not defined in the amended Social Security Act. These regulations cross-reference title V of the Balanced Budget Act of 1997, title IV of the amended Social Security Act (42 U.S.C. 601 *et seq.*), and appropriate sections of the “Welfare Reform Act”.

§ 646.110 What are the administrative requirements for the INA WtW Program?

Tribes and tribal consortia who are participating in the INA WtW Program shall follow the common rule, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, which is codified in DOL regulations at 29 CFR part 97. Alaska Native regional nonprofit corporations shall follow OMB Circular A–110, as codified by the Department at 29 CFR part 95. General principles of cost allowability may be found in OMB Circulars A–87 (for tribes) and A–122 (for nonprofits). The audit requirements of OMB Circular A–133 [issued in the FEDERAL REGISTER on June 30, 1997] shall apply to both tribes and nonprofits.

§ 646.115 What are the definitions which apply uniquely to the INA WtW program?

The definition of “substantial services” is only applicable to Indian and Native American Welfare-to-Work programs (see § 646.215 of this part).

Subpart B—Eligibility to Receive INA WtW Grants**§ 646.200 What entities are eligible to receive INA WtW grants?**

The three categories of Federally-recognized Indian tribes or Alaska Native regional nonprofit corporations eligible to receive INA WtW funds, as de-

scribed at section 412(a)(3)(B) of the amended Social Security Act, are those which: Operate a tribal TANF program; operate a NEW program; or operate an employment program funded through other sources under which substantial services are provided to recipients of assistance under a program funded under Part A of title IV of the Social Security Act. The term “substantial services” is defined at § 646.215 of this part.

§ 646.205 What entities are eligible to receive INA WtW grants in Alaska?

The twelve Alaska Native regional nonprofit corporations, along with the Metlakatla Indian Community of the Annette Islands Reserve, are the only entities in Alaska eligible to apply for INA WtW grants. These nonprofit corporations are listed in section 419(4)(B) of the amended Social Security Act [42 U.S.C. 619(4)(B)].

§ 646.210 Can a consortium composed of tribes which do not operate TANF or NEW programs still receive an INA WtW grant?

Yes, although the consortium must collectively meet the “substantial services” criteria outlined at § 646.215 below. Refer to subpart C of this part for more information on consortium requirements.

§ 646.215 How does a tribe document that it is currently providing “substantial services” to public assistance recipients?

Tribes which currently operate employment programs funded through other sources, such as those under the Job Training Partnership Act (JTPA) or Employment Assistance (EA) under the Bureau of Indian Affairs (BIA), must provide verifiable documentation that: At least twenty percent (20%) of those served in such an employment program were public assistance recipients during the most recent program or fiscal year; *and* employment services have been provided to a minimum of fifty (50) public assistance recipients over the last two program or fiscal years.

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§ 646.220 What criteria apply to TANF/NEW tribes regarding the provision of “substantial services”?

None. Tribes which operate TANF or NEW programs do not need to meet the criteria for providing “substantial services” to public assistance recipients.

§ 646.225 If a tribe is awarded an INA WtW grant, is the tribe required to participate in an evaluation of the program?

Yes. The Act specifies that each INA WtW grantee “must agree to negotiate in good faith with the Secretary of Health and Human Services with respect to the substance and funding of any evaluation * * * and to cooperate with the conduct of any such evaluation.” [42 U.S.C. 612(a)(3)(B)(iv)]

Subpart C—Application for INA WtW Grants

§ 646.300 How does my tribe apply for an INA WtW grant?

Each eligible tribe must submit an INA WtW plan to the Department of Labor in accordance with the planning instructions issued by the Department of Labor. For those tribes with an approved tribal family assistance plan (TANF plan), the application for an INA WtW grant must take the form of an addendum to that TANF plan. Tribes already participating in the demonstration project under Public Law 102-477 [25 U.S.C. 3401 *et seq.*], The Indian Employment, Training and Related Services Demonstration Act of 1992, should reference § 646.900 of this part. Planning information is also available on the INA WtW web site at www.wdsc.org/dinap.

§ 646.305 Can a consortium of Federally-recognized tribes apply for an INA WtW grant on behalf of consortium member tribes approved to operate a TANF or NEW program?

Yes. Consortium member tribes which operate approved TANF or NEW programs are by law eligible to apply for an INA WtW grant. Their consortium may apply for the INA WtW grant on their behalf, under the following circumstances: if an established consortium exists for one purpose, such as op-

erating a JTPA grant, this established consortium may apply for an INA WtW grant on behalf of those member tribes authorized to receive NEW funding.

§ 646.310 Some of our consortium members operate their own TANF/NEW programs, and some do not. Can we still apply for an INA WtW grant as a consortium?

Yes. For those consortium member tribes which DO NOT operate TANF or NEW programs, they must collectively meet the “substantial services” criteria.

§ 646.315 If our consortium members not operating TANF or NEW programs meet the “substantial services” criteria, do we then have to submit two separate INA WtW plans?

Yes. Because of the different funding formulas involved for FY 1998, such a “mixed consortium” (composed of tribes which operate TANF/NEW programs and those which do not) shall submit two plans for providing WtW services across the consortium, one plan for the TANF/NEW tribes and the other for those tribes eligible under the “substantial services” criteria. However, once both plans have been funded, the consortium may administer one program across the consortium.

§ 646.320 If we choose to operate a single INA WtW program for our “mixed consortium” for FY 1998, must we submit a single plan to the Department for FY 1999?

Yes. All FY 1998 INA WtW grantees must submit AFDC/TANF counts to the Department so that a single funding formula may be utilized for FY 1999.

§ 646.325 What unique documentation is required of a tribal consortium?

Consortium tribes must submit a legally-binding consortium agreement signed by all the tribes in the consortium with the grant application.

§ 646.330 If our tribe did not receive an INA WtW grant for FY 1998, can we still receive funding for FY 1999?

Yes, provided the tribe or consortium is eligible under the criteria cited at § 646.200 of this part. Tribes or consortia

having to meet the “substantial services” criteria may use verifiable data from any employment program operated by the tribe, as was the case for FY 1998. Refer to section 646.215 for these criteria. Tribes or consortia are encouraged to submit State-negotiated AFDC/TANF counts for their area prior to applying for FY 1999 INA WtW funds.

Subpart D—Participant Eligibility, Limits, and Allowable Activities

§ 646.400 What TANF recipients are eligible for services under INA WtW grants?

Individual TANF clients must meet the conditions outlined at section 403(a)(5)(C), clauses (ii), or (iii), or (iv) of the amended Social Security Act. For INA WtW purposes, an individual determined to have low skills in reading or mathematics must be proficient at the 8.9 grade level or below. An individual determined to have a poor work history must have worked no more than three (3) consecutive months in the past twelve (12) calendar months.

§ 646.405 What activities are allowable under the Welfare-to-Work program?

All allowable activities are described at section 403(a)(5)(C)(i) of the Social Security Act. INA WtW funds shall be used to “move individuals into and keep individuals in lasting unsubsidized employment by means of any of the following:”

- (a) The conduct and administration of community service or work experience programs;
- (b) Job creation through public or private sector employment wage subsidies;
- (c) On-the-job training;
- (d) Contracts with public or private providers of readiness, placement, and post-employment services;
- (e) Job vouchers for placement, readiness, and post-employment services; and
- (f) Job retention or support services if such services are not otherwise available.

§ 646.410 Are there any special rules governing the use of job vouchers?

In addition to the requirements at 29 CFR 97.36(i) and 29 CFR 95.48, contracts or vouchers for job placement services supported by INA WtW funds must include a provision to require that at least one-half (½) of the payment occur after an eligible individual placed into the workforce has been in the workforce for six (6) months. This provision applies only to placement in unsubsidized jobs.

§ 646.415 What kind of “job readiness” services are allowable under the INA WtW Program?

Job readiness services include activities necessary to prepare an individual for employment. Such activities include, but are not limited to: Intake; eligibility determination; testing; assessment; orientation to the world of work; job search skills; job search assistance; job clubs; and employment counseling.

§ 646.420 What assistance can be provided under the “supportive services” category?

The provision of supportive services must be directly related to retaining employment, and not otherwise available to the client. Supportive services include, but are not limited to: Day care; transportation; work or protective clothing or equipment; tools; medical devices such as eyeglasses or braces; food; shelter; special services or equipment for the disabled; and financial counseling. Supportive services may be provided in-kind or through cash assistance. In cases where severe substance abuse or chemical dependency is a significant barrier to employment, substance abuse treatment may be undertaken as a “supportive services” activity, to the extent that such services do not constitute medical services.

§ 646.425 Are any education or training activities allowable under the INA WtW grant?

Although the Act does not authorize the use of grant funds for independent or stand-alone training activities, the

Department recognizes that basic education and skills development as part of an employment experience will be needed by some recipients in order to achieve the ultimate objective of INA WtW assistance, which is self-sufficiency. Therefore, basic education and vocational skills training where needed, based on an assessment of the recipient's needs, may be provided as a post-employment service where the recipient is employed in either a subsidized or unsubsidized job.

§ 646.430 Are there any time limits on client participation under the INA WtW program?

There are no specific participant time limitations for the INA WtW program. However, grantees should keep in mind the purpose of WtW, which is to provide transitional assistance to hard-to-employ welfare recipients to help them secure lasting, unsubsidized employment.

Subpart E—Tribal Service Areas and Populations

§ 646.500 We're a TANF/NEW tribe. What is my tribe's service area and/or population under an INA WtW grant?

NEW tribes will have the same service area and service population as they have under the NEW program. TANF tribes may elect to serve only their own tribal members in their service area, in accordance with their TANF funding.

§ 646.505 My tribe (or consortium) must qualify for an INA WtW grant under the "substantial services" criteria. How will our service area be determined?

Tribes qualifying for the INA WtW program under the "substantial services" criteria (i.e., not operating their own TANF or NEW programs) may use the service area(s) established for the tribe under the JTPA or BIA Employment Assistance programs. INA WtW grantees funded under the "substantial services" criteria shall ensure that all AFDC/TANF recipients within the service area for which the grantee was designated are afforded an equitable opportunity for INA WtW services, because their funding is predicated on

1990 Census data for all Native Americans residing in their service area, regardless of tribal affiliation. While there is no individual entitlement to INA WtW services, all eligible AFDC/TANF recipients shall be afforded equal consideration in the decision to provide INA WtW services. Service areas differing from those outlined above may be negotiated with the Department of Labor.

§ 646.510 Are there any special service area provisions made for Indians residing in Oklahoma?

Yes. With the exception of the Osage reservation in Oklahoma, service areas will be determined by reference to the "tribal jurisdiction statistical areas" (TJSAs). TJSAs are defined by the Bureau of the Census as being areas, delineated by Federally-recognized tribes in Oklahoma without a reservation, for which the Census Bureau tabulates data. TJSAs represent areas generally containing the American Indian population over which one or more tribal governments have jurisdiction. Service areas for Oklahoma Indian residents differing from those outlined under the TJSAs may also be negotiated with the Department of Labor.

Subpart F—Funding and Spending Requirements

§ 646.600 How will the INA WtW grant funding allotments be determined?

Funds will be allotted to INA WtW grantees on a formula basis. To determine the FY 1998 allotments, poverty data from the 1990 Decennial Census will be used to determine the "split" between TANF/NEW tribes and all other tribes. The percentage of the annual appropriation reserved for TANF and NEW tribes will then be allocated using 1995 AFDC counts previously published by DHHS. For FY 1999, a single funding formula will be employed utilizing AFDC/TANF counts.

§ 646.605 What spending limitations are imposed on the INA WtW program?

No less than seventy percent (70%) of INA WtW funds must be spent directly on assistance for the benefit of TANF

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recipients who meet the eligibility requirements of section 403(a)(5)(C)(ii) of the Social Security Act. Up to thirty percent (30%) of INA WtW funds can be spent to provide assistance to individuals who meet the eligibility requirements of section 403(a)(5)(C)(iii) of the Social Security Act. No more than twenty percent (20%) of INA WtW grant funds may be spent for administration. Refer to § 646.400 for the definitions of “low skills in reading or mathematics” and “poor work history”.

§ 646.610 What definition of “administration” is applicable to the INA WtW program?

Administrative costs consist of all direct and indirect costs associated with the management of the grantee’s program. These costs include but are not limited to: the salaries and fringe benefits of personnel engaged in executive, fiscal, data collection, personnel, legal, audit, procurement, data processing, communications, maintenance, and similar functions; and related materials, supplies, equipment, office space costs, and staff training. Also included are salaries and fringe benefits of direct program administrative positions such as supervisors, program analysts, labor market analysts, and project directors. Additionally, all costs of clerical personnel, materials, supplies, equipment, space, utilities, and travel which are identifiable with these program administration positions are charged to administration.

§ 646.615 How long does the tribe have to spend INA WtW funds?

INA WtW grantees must expend all allotted funds within three years after the effective date of each fiscal year grant agreement signed by the Grant Officer, pursuant to section 403(a)(5)(C)(vii) of the Social Security Act. Unexpended funds must be returned to the Department in accordance with the closeout provisions at 29 CFR parts 97 or 95, as applicable.

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§ 646.620 Are there any other restrictions on the use of INA WtW funds?

Yes. INA WtW funds may not be used for any other fund matching requirements under this Act or other Federal law, pursuant to section 403(a)(5)(C)(vi) of the Social Security Act.

Subpart G—Recordkeeping and Reporting Requirements

§ 646.700 What are the recordkeeping requirements for the INA WtW program?

Tribes must meet the recordkeeping and retention requirements of the Department’s regulations at 29 CFR 97.42. Alaska Native regional nonprofit corporations must follow the requirements of 29 CFR 95.53. Tribes receiving INA WtW grants may follow the recordkeeping requirements of section 411 of the Social Security Act, as applicable.

§ 646.705 What are the reporting requirements for the INA WtW program?

Grantees are required to submit both quarterly and annual reports covering program activity and financial expenditures. Two forms have been approved by OMB for INA WtW reporting. A modified version of the Standard Form (SF) 269A (ETA 9069–1) shall be used to report financial expenditures. A Participation and Characteristics Report (PCR) (ETA 9069) shall be used to report program activity and participant characteristics.

§ 646.710 Are tribes operating a TANF program required to report INA WtW activities under TANF as well?

Yes. Pursuant to the requirements of section 411 of the Social Security Act, INA WtW grantees who are TANF tribes shall report INA WtW activities under the TANF program, in addition to submitting the INA WtW reports cited above. However, tribes operating a NEW program and an INA WtW program, but not their own TANF program, are exempt from the reporting

requirements described in section 411 of the Social Security Act.

Subpart H—Waivers and Performance Standards

§ 646.800 Are statutory waivers allowable under the INA WtW program?

Yes. The Secretary of Labor may waive or modify any provision of section 403(a)(5)(C) [except for clause (vii) thereof, related to the deadline for expenditure of funds] of the Social Security Act, which are otherwise applicable to INA WtW grantees. Accordingly, the Secretary may waive the statutory requirements relating to client eligibility for services, allowable activities, and spending limits. Any waiver(s) requested must demonstrate how the waiver, if granted, will increase the efficiency or effectiveness of the program. Waivers may be requested at any time, and shall be effective as of the date indicated in the approval letter. Grantees must specify and support each provision to be waived.

§ 646.805 What are the performance measures tribes have to meet under the INA WtW program?

The Secretary has determined that the most important measures of the tribe's performance are the number of participants entering unsubsidized employment, the duration of that employment, and the increase in their earnings. Grant applicants will be required to submit planned outcome figures with their INA WtW plans. These planned outcomes will be compared against reported outcomes in the tribe's annual report. In addition, INA WtW grantees must negotiate in good faith with the Secretary of DHHS with respect to the substance and funding of any evaluation under section 413(j) of the Social Security Act, and must cooperate with the conduct of any such evaluation.

Subpart I—Miscellaneous Provisions and Requirements

§ 646.900 May a tribe combine its INA WtW grant with other employment and training programs under Pub. L. 102-477, the Indian Employment, Training and Related Services Demonstration Act of 1992?

Yes. All grants awarded under the INA WtW program are formula-funded, so any INA WtW grant funds awarded to a tribe can therefore be included in a consolidated plan authorized by Public Law 102-477. For those tribes already participating in the "477" demonstration effort, application for an INA WtW grant will take the form of a "477 plan" modification submitted to the lead agency responsible for the "477" program.

§ 646.905 What are the other Federal laws which must be followed by INA WtW grantees?

All otherwise applicable Federal statutes, including those dealing with equal employment opportunity, workplace safety, employment standards, treatment of individuals with disabilities, age discrimination, and civil rights, must be followed by all INA WtW fund recipients.

§ 646.910 What are a tribe's appeal rights under the INA WtW program?

The administrative procedures in proceedings initiated by grantees funded under section 401 of the Job Training Partnership Act, as codified at 20 CFR part 636, shall apply to appeals of agency action by INA WtW grantees. These appeal procedures include the following provisions:

(a) Within twenty-one (21) days of the receipt of a denial of a request for a statutory waiver under § 646.800 of this part, or within twenty-one (21) days of receipt of a final determination imposing a sanction or corrective action issued pursuant to 20 CFR 636.8, an INA WtW grantee whose request for a statutory waiver has been denied, or who seeks review of a Grant Officer's Final

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Determination, may request a hearing before the Department's Office of Administrative Law Judges pursuant to 20 CFR 636.10.

(b) The decision of an Administrative Law Judge (ALJ) shall be final unless, within twenty (20) days of the decision, a party dissatisfied with that ALJ decision has filed a petition for review with the Administrative Review Board (ARB), established pursuant to the provisions of Secretary's Order No. 2-96, published at 61 FR 19977 (May 3, 1996). This petition shall specifically identify the procedure, fact, law, and/or policy to which exception is taken. Those provisions of the determination not specified for review, or the entire determination when no hearing has been requested, shall be considered resolved and not subject to further review. A copy of the petition for review must be sent to the opposing party at that time. Thereafter, the decision of the ALJ shall constitute final agency action unless the ARB, within thirty (30) days of the filing of the petition for review, notifies the parties that the case has been accepted for review. Any case accepted by the ARB shall be decided within 120 days of such acceptance. If no decision is reached in that time, then the decision of the ALJ shall constitute final Departmental action.

§ 646.915 What administrative requirements must be met when the INA WtW program ends?

In accordance with the Department's regulations at 29 CFR 97.50 for tribes and 29 CFR 95.71 for nonprofits, all expiring grants will be closed out. This means that all funds drawn down under the INA WtW grant must be accounted for as allowable expenditures or returned to the Department. The Department will issue appropriate closeout forms and instructions to all INA WtW grantees after the program ends.

PART 650—STANDARD FOR APPEALS PROMPTNESS—UNEMPLOYMENT COMPENSATION

Sec.

650.1 Nature and purpose of the standard.

650.2 Federal law requirements.

650.3 Secretary's interpretation of Federal law requirements.

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650.4 Review of State law and criteria for review of State compliance.

650.5 Annual appeals performance plan.

AUTHORITY: Sec. 1102 of the Social Security Act, 42 U.S.C. 1302; Secretary's Order No. 4-75, dated April 16, 1975. Interpret and apply secs. 303(a)(1), 303(a)(3), and 303(b)(2) of the Social Security Act (42 U.S.C. 503(a)(1), 503(a)(3), 503(b)(2)).

SOURCE: 37 FR 16173, Aug. 11, 1972, unless otherwise noted.

§ 650.1 Nature and purpose of the standard.

(a) This standard is responsive to the overriding concern of the U.S. Supreme Court in *California Department of Human Resources v. Java*, 402 U.S. 121 (1971), and that of other courts with delay in payment of unemployment compensation to eligible individuals, including delays caused specifically by the adjudication process. The standard seeks to assure that all administrative appeals affecting benefit rights are heard and decided with the greatest promptness that is administratively feasible.

(b) Sections 303(a) (1) and (3) of the Social Security Act require, as a condition for the receipt of granted funds, that State laws include provisions for methods of administration reasonably calculated to insure full payment of unemployment compensation when due, and opportunity for a fair hearing for all individuals whose claims for unemployment compensation are denied. The Secretary has construed these provisions to require, as a condition for receipt of granted funds, that State laws include provisions for hearing and deciding appeals for all unemployment insurance claimants who are parties to an administrative benefit appeal with the greatest promptness that is administratively feasible. What is the greatest promptness that is administratively feasible in an individual case depends on the facts and circumstances of that case. For example, the greatest promptness that is administratively feasible will be longer in cases that involve interstate appeals, complex issues of fact or law, reasonable requests by parties for continuances or rescheduling of hearings or other unforeseen and uncontrollable factors than it will be for other cases.