PROGRAMMATIC ASSURANCES—PROGRAM YEAR 2011 GRANT

The programmatic assurances below reflect standard grant requirements that DOL has determined are consistent with sound program practices.

Applicants, please certify that your agency or organization conforms - and will continue to conform - to these assurances throughout the period of the grant by checking off the assurances below. This form is designed to be filled out electronically; to check off the assurances, go to the "View" function, choose "Toolbars," click on the left side of "Forms," then click on small lock.

PARTICIPANT ASSURANCES

The Applicant agrees to:

Recruitment and Selection of Participants

☐ Developed and implements methods to recruit and select participants to assure that a maximum number of eligible individuals are able to participate in the program.

☐ Uses income definitions and income inclusions and exclusions for SCSEP eligibility, as described in TEGL 12-06, to determine and document participant eligibility. (TEGL 12-06 may be accessed at olderworkers.workforce3one.org under "Resources.")

☐ Developed and implements methods to recruit minority populations to ensure they are enrolled at least in proportion to their numbers in the population in the area.

☐ Developed and implements strategies to recruit applicants who have priority of service as defined in OAA section 518(b)(1)-(2) and by the Jobs for Veterans Act, P.L. 107-288. Individuals have priority who:

    a) Are covered persons in accordance with the Jobs for Veterans Act (covered persons – veterans and eligible spouses, including widows and widowers – who are eligible for SCSEP must receive services instead of, or before, non-covered persons);

    b) Are 65 years or older;

    c) Have a disability;

    d) Have limited English proficiency;

    e) Have low literacy skills;

    f) Reside in a rural area;

    g) Have low employment prospects;

    h) Have failed to find employment after utilizing services provided through the One-Stop Delivery System;

    i) Are homeless or are at risk for homelessness.

Assessment

☐ Assesses participants at least twice per 12 month period.

☐ Uses assessment information to determine the most appropriate community service assignments for participants.

Individual Employment Plan (IEP)

☐ Establishes an initial goal of unsubsidized employment for all participants.

☐ Updates the IEP at least as frequently as assessments occur (at least twice per 12 month period).

☐ Modifies the IEP as necessary to reflect other approaches to self-sufficiency, if it becomes clear that unsubsidized employment is not feasible for a participant.

☐ For participants who will reach the individual durational limit or would not otherwise achieve unsubsidized employment, includes provision in the IEP to transition to other services.

Community Service Assignment (CSA)

☐ Ensures that the initial CSA is based on the assessment done at enrollment.
☐ Uses the IEP to determine when, if appropriate, to rotate participants through assignments- to acquire skills necessary for unsubsidized employment.
☐ Selects host agencies that are designated 501(c)(3) organizations or public agencies.
☐ Ensures procedures are in place to assure adequate supervision of participants at host agencies.
☐ Ensures procedures are in place to ensure safe and healthy working conditions.

Recertification of Participants

☐ Recertifies the income eligibility of each participant at least once every 12 months, or more frequently if circumstances warrant.

Physical Examinations

☐ Offers physical examinations to participants upon program entry, and each year thereafter, as a benefit of enrollment.

☐ Obtains a written waiver from each participant who declines to have a physical examination.

☐ Grantee does not receive a copy or use the results of the physical examination.

Host Agencies

☐ Developed and implemented methods for recruiting new host agencies to provide a variety of training options that will enable participants to increase their skill level and transition to unsubsidized employment.
☐ *Maintenance of Effort:* Community service assignments do not reduce the number of employment opportunities or vacancies that would otherwise be available to individuals who are not SCSEP participants.

- Community service assignments do not displace currently employed workers (including partial displacement, such as a reduction in non-overtime work, wages, or employment benefits).

- Community service assignments do not impair existing contracts or result in the substitution of Federal funds for other funds in connection with work that would otherwise be performed.

- Community service assignments do not assign or continue to assign a participant to perform the same work, or substantially the same work, as that performed by an individual who is on layoff.

Orientation

Provides orientations for its participants <u>and</u> host agencies, including information on:

Program Overview

- ☐ Project goals and objectives
- ☐ Community service assignments
- ☐ Training opportunities
- ☐ Available supportive services
- ☐ Availability of a free physical examination
- ☐ Participant rights and responsibilities
- ☐ Host agencies
- ☐ Sub-recipients must also provide sufficient orientation to applicants and particpants, which should include the following information:

  - Maximum individual duration policy, including the possibility of waiver
  - Termination policies
  - Grievance procedures
  - Holiday and sick leave
  - Grantee and local project roles, policies, and procedures
  - SCSEP goals and objectives
  - Role of supervisors and host agencies
  - Evaluation of participant progress
  - Provision of safe working environment
  - Annual monitoring and safety assessment
  - Documentation requirements
  - Development of Individual Employment Plans

Wages

- ☐ Provides participants with the highest applicable required wage for time spent while in orientation, training and community service assignment. The applicable wage is either the highest of the Federal, state, or local minimum wage.

Participant Benefits

☐ Provides benefits that are required by state or Federal law (such as workers' compensation and unemployment insurance), and the costs of physical examinations.

☐ Includes established written policies relating to compensation for scheduled work hours during which grantee or sub-recipients are closed for Federal holidays.

☐ Includes established written policies relating to approved breaks in participation and any necessary sick leave that is not part of an accumulated sick leave program.

☐ Does not use grant funds to pay the cost of pension benefits, annual leave, accumulated sick leave, or bonuses.

Durational Limits

Maximum Average Project Duration: 27 Months

☐ Complies with an average project duration of 27 months or less, unless DOL approves an extension to 36 months.

Maximum Participant Duration: 48 Months

☐ Complies with the requirement that participants may participate in the program no longer than 48 months (whether or not consecutively) unless the grantee's approved policy allows for an extension of time and the participant meets the extension criteria.

☐ Notifies participants of its policy pertaining to the maximum duration requirement, including the possibility of a waiver, if applicable, at the time of enrollment and each year.

Transition Services

☐ Has a system in place to transition participants to unsubsidized employment or other assistance before the participants' maximum enrollment duration has expired.

☐ Provides 30-day written notice to participants prior to durational limit exit from the program.

Termination Procedures

☐ Provides a 30-day written notice for all terminations that states the reason for termination and informs the participants of grievance policies.

☐ Written Termination Policies

Written termination policies are in effect and provided to participants at enrollment for:

☐ Provision of false information

☐ Incorrect initial eligibility determination

☐ Income ineligibility determined at recertification

☐ Participant has reached individual durational limit

☐ Participant has become employed while enrolled

☐ Cause (a for-cause termination policy must be approved by the Department prior to implementation)

☐ IEP-related termination (an IEP termination policy must be approved by the Department prior to implementation).
- IEP terminations are based on a participant's refusal to accept a reasonable number of job offers or referrals to unsubsidized employment consistent with their IEP, unless there are extenuating circumstances.

Equitable Distribution

☐ Manages slot allotments within equitable distribution guidelines, to the extent feasible, so that potential participants have equal access to the program.

Over-Enrollment

☐ Manages over-enrollment to minimize impact on participants and avoid layoffs.

Administrative Systems

☐ Ensures representation at any and all DOL-sponsored required grantee meetings.

☐ Communicates grant policy, data collection, and performance developments and directives to staff, sub-recipients, and local project operators on a regular basis.

☐ Has a written monitoring tool that lists items the grantee will review during monitoring visits, and provides this tool to sub-recipients and local project operators.

☐ Has a monitoring schedule; notifies sub-grantees and local project operators of monitoring plans; and monitors sub-grantees and local project operators on a regular basis.

☐ Provides training to increase sub-recipients' and local project operators' skills, knowledge, and abilities.

☐ When appropriate, prescribes corrective action and follow-up procedures for sub-recipients and local project operators to ensure that identified problems are remedied.

☐ Monitors the financial systems and expenditures of sub-recipients and local project operators on a regular basis.

☐ Ensures that sub-recipients and local project operators receive adequate resources to effectively operate local projects.

☐ Trains sub-recipients and local project operators on SCSEP financial requirements to help them effectively manage their own expenditures, and provides more general financial training as needed.

☐ Ensures that all financial reports are accurate and submits them in a timely manner, as required.

☐   Has a written plan in place for both disaster response and recovery so SCSEP may continue to operate and provide services.

Collaboration and Leveraged Resources

☐   Collaborates with other organizations to maximize opportunities for participants to obtain workforce development, education, and supportive services to help them move into unsubsidized employment. These organizations may include but are not limited to: workforce investment boards, One-Stop Career Centers, vocational rehabilitation providers, basic education and literacy providers, and community colleges.

Supportive Services

☐   Provides supportive services, as needed, to help participants participate in their community service assignment and to obtain and retain unsubsidized employment.

☐   Has established criteria to assess the need for supportive services and to determine when participants will receive supportive services, including after obtaining unsubsidized employment.

Sub-Recipient Selection (If Applicable)

☐   In selecting sub-recipients in areas with a substantial population of individuals with barriers to employment, national grantees give special consideration to organizations (including former recipients of national grants) with demonstrated expertise in serving individuals with barriers to employment, as defined in the statute.

Complaint Resolution

☐   Establishes and uses written grievance procedures for complaint resolution for applicants, employees, sub-recipients, and participants.

☐   Provides applicants, employees, sub-recipients, and participants with a copy of grievance procedures.

Procedures for Payroll and Workers' Compensation

☐   Makes all required payments for participant payroll and pays workers' compensation premiums on a timely basis.

☐   Ensures that host agencies do not pay workers' compensation costs for participants.

Maintenance of Files and Privacy Information

☐   Maintains participant files for three program years after the program year in which all follow-up activity for a participant is completed.

☐   Ensures that participant records are securely stored and access is limited to appropriate staff in order to safeguard personal identifying information.

☐   Ensures that participant medical records are securely stored separately from all other participant records and access is limited to authorized staff for authorized purposes.

☐ Has established safeguards to preclude tampering with electronic media, e.g., personal identification numbers (PINs).

☐ Ensures that the SCSEP national office at DOL is immediately notified in the event of any potential security breach of personal identifying information, whether electronic files, paper files, or equipment are involved.

☐ Complies with, and ensures that authorized users under its grant comply with all SPARQ access and security rules.

Documentation

☐ Maintains documentation of waivers of physical examinations by participant.

☐ Maintains documentation of the provision of complaint procedures to participants.

☐ Maintains documentation of eligibility determinations and recertifications.

☐ Maintains documentations of terminations and reasons for termination.

☐ Maintains records of grievances and outcomes.

☐ Maintains records required for data validation.

Data Collection and Reporting

☐ Ensures that accurate data are submitted in a timely manner to SPARQ, as required by the national office.

☐ Ensures that those capturing and recoding data are familiar with the latest instructions for data collection, including DOL administrative issuances, e.g., Older Worker Bulletins, TEGLs, Data Collection Handbook, Data Validation Handbook, and Internet postings.

☐ Legally obligates sub-recipients to turn over complete data files in the specified electronic format, as well as hard copy case files, to the grantee when sub-recipients cease to administer SCSEP.

☐ Legally obligates new sub-recipients to enter complete data related to any participants whom they acquire upon becoming sub-recipients, including any participants who are still in the follow-up period.

☐ Non-Web Data Collection System users ensure that accurate data are uploaded to SPARQ in accordance with Department timelines and administrative guidance.

If any box(es) are not checked, information must be provided on a separate attachment indicating what specific steps the grantee is taking to conform to those standard grant requirement(s).

By checking the boxes above, I certify that my organization currently complies with each of the listed requirements and will remain in compliance for the program year for which we are submitting this application.

_____   _____
Signature of Authorized Representative   **Date**