

**PROGRAMMATIC ASSURANCES – PY 2010 GRANT**

The programmatic assurances below reflect standard grant requirements that the Department 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 interactive; 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:**

Recruitment and Selection of Participants

Has developed and implemented 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 on [www.doleta.gov/seniors](http://www.doleta.gov/seniors) under “Technical Assistance”.

Has developed 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.

Priority is to be afforded to individuals who:

- a) Are covered persons in accordance with the Jobs for Veterans Act.
- b) Are 65 years or older.
- c) Have a disability.
- d) Have limited English proficiency or low literacy skills.
- e) Reside in a rural area.
- f) Have low employment prospects.
- g) Have failed to find employment after utilizing services provided through the One-Stop Delivery System.
- h) Are homeless or are at risk for homelessness.

In addition, veterans’ priority of service means that “covered persons” (veterans and certain spouses, including widows and widowers) who are eligible for SCSEP must receive services instead of, or before, non-covered persons.

### 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 the assessments.
- For participants who will reach the individual durational limit or would not otherwise achieve unsubsidized employment, has provision in the IEP to transition to unsubsidized employment or 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.
- Has procedures in place to assure adequate supervision of participants at host agencies.
- Has procedures 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.
- Has a written policy setting forth actions to deal with participants found to be ineligible (including notification of their right to appeal the finding).

### Physical Examinations

- Offers physicals to participants upon program entry and each year thereafter as a benefit.
- Obtains a written waiver from each participant who declines to have a physical.

### Host Agencies

- Has 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: Does not reduce the number of employment opportunities or vacancies that would otherwise be available to individuals who are not SCSEP participants.
  - Does not displace currently employed workers (including partial displacement, such as a reduction in non-overtime work, wages, or employment benefits).
  - Does not impair existing contracts or result in the substitution of federal funds for other funds in connection with work that would otherwise be performed.
  - Does 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 and host agencies, including information on:

#### *Program Overview*

- Project goals and objectives
- Community service assignments
- Training opportunities
- Available supportive services
- The availability of a free physical examination
- Participant rights and responsibilities
- Host agencies
- Sub-recipients must also provide sufficient orientation, which may include the following information:
  - Grantee and local project roles, policies, and procedures
  - SCSEP goals and objectives
  - Role of supervisors
  - Evaluation of participant progress
  - Maximum individual duration policy
  - Provision of safe working environment
  - Annual monitoring and safety assessment
  - Documentation requirements
  - Termination policies
  - Grievance procedures

### Participant Benefits

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

- Has established written policies relating to compensation for scheduled work hours during which grantee or sub-recipients are closed for Federal holidays.
- Has established written policies relating to approved breaks in participation and 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 Project Duration: 27 Months*

- Complies with an aggregate participant duration cap of 27 months, unless a waiver is approved.

*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 participant receives a waiver or unless the grantee has in place a policy providing a duration of less than 48 months as approved by the Department.
- 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.

Termination Procedures

- Provides a reason for termination and informs participants of grievance policies.

Written Termination Policies Are in Effect for:

- Provision of false information (immediate).
- Incorrect initial eligibility determination (30 days written notice).
- Income ineligibility determined at recertification (30 days written notice).
- Cause (immediate or corrective action, depending on infraction).
- IEP Terminations: An IEP termination policy must be approved by the Department prior to implementation. If applicable and there are no extenuating circumstances to hinder a move to unsubsidized employment, refusal without good cause to accept a reasonable number of job offers or referrals that are consistent with the IEP.

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 required grantee meetings sponsored by the Department.
- Communicates grant policy, data collection, and performance developments and directives to staff, sub-recipients, and local project operators.
- Has developed a written monitoring tool that lists items to be reviewed during monitoring visits, and provides this tool to sub-recipients and local project operators.
- Has developed a monitoring schedule; notified 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.
- Has trained 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 are submitted in a timely manner, as required.
- Has a written plan in place for both disaster response and recovery so the 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 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 and participants.
- Provides applicants, employees, and participants with a copy of grievance procedures.

### Procedures for Payroll and Workers' Compensation

- Makes all required payments for payroll and 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.
- Participant records are securely stored and access is limited to appropriate staff in order to safeguard personal identifying information.
- Participant medical records are securely stored separately from all other participant records and access is limited to authorized staff for authorized purposes.
- Safeguards to preclude tampering with electronic media are established, e.g., personal identification numbers (PINs).
- Ensures that the SCSEP national office at the Department of Labor is immediately notified in the event of any potential security breach of personal identifying information, whether electronic files, paper files, or equipment is 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 a timely manner to SPARQ, as required.
- Ensures that those capturing and recoding data are familiar with the latest instructions for data collection, including Department administrative issuances, e.g., Older Worker Bulletins, TEGs, Data Collection 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.
- Non-Web Data Collection System users ensure that accurate data are uploaded to SPARQ in accordance with Department timelines and administrative guidance.

**If the applicant has not checked a specific box(es) herein, information must be provided on a separate attachment indicating what specific steps it will take to conform to this standard grant requirement(s).**

**Signature of Authorized Representative:** \_\_\_\_\_