

## PROGRAMMATIC ASSURANCES – PY 2009 GRANT

The programmatic assurances below reflect standard grant requirements – i.e., those that we have determined are consistent with sound program practices. These assurances first appeared in TEGL 30-07 (the PY 08 grant application). They were also present in TEGL 15-08 (the Recovery Act grant application) as well, but with some additions and changes. While most assurances found below are the same as those that appeared in these two TEGs, there are some new assurances that were previously items in the program narrative. This was done primarily to reduce the amount of narrative required for this grant application. The applicant should certify by check mark that its agency or organization conforms to the following assurances and will continue to conform to these assurances throughout the period of the grant.

### Participant-Related Assurances

#### The applicant:

#### Recruitment and Selection of Participants

- Has developed and implemented methods for recruiting and selecting participants that assure that the maximum number of eligible individuals have an opportunity to participate in the program.
- Uses income definitions and income inclusions and exclusions for determining Senior Community Service Employment Program (SCSEP) eligibility, as described in Training and Employment Guidance Letter (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 at Older Americans Act (OAA) Section 518(b)(1)-(2). Priority is to be afforded to individuals who are 65 years of age, or older or who:
- a) Are veterans or eligible spouses of veterans (in accordance with 20 CFR part 1010);
  - b) Have a disability;
  - c) Have limited English proficiency or low literacy skills;
  - d) Reside in a rural area;
  - e) Have low employment prospects;
  - f) Have failed to find employment after utilizing services provided through the One-Stop Delivery System; or
  - g) Are homeless or are at risk for homelessness.

#### Assessment

- Assesses participants at least two times 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.

#### Community Service Assignment (CSA)

- Ensures that the initial CSEA is based on the assessment done at the time of enrollment.
- Uses the IEP as the basis for determining when, if appropriate, to rotate participants through assignments within a CSEA or to other CSEAs to acquire the skills necessary to obtain unsubsidized employment.
- Selects host agencies that are designated 501(c)(3) organizations or public agencies.
- Has procedures in place for assuring adequate supervision of participants at the 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 be taken to deal with those 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.

#### Orientation

Provides orientations for its participants and host agencies, including information on:

##### *Program Overview*

- Project goals and objectives
- Community service employment assignments
- Training opportunities
- Available supportive services
- The availability of a free physical examination
- Participant rights and responsibilities

- Host agencies
- Sub-recipients 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
  - 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 an applicant's or sub-recipient's business is closed for Federal holidays.
- Has established written policies relating to 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 in the aggregate (whether or not consecutive) unless the participant receives a waiver of this requirement.
- Notifies participants of its policy pertaining to the maximum duration requirement at the time of enrollment.
- Allows participants a 48-month maximum lifetime participation in SCSEP unless it has applied for a waiver to establish a lesser maximum duration of program participation.

- Notifies participants if they are enrolled under the American Recovery and Reinvestment Act of 2009 and, if so, what their right to continued enrollment is.

#### Termination Procedures

- Provides a reason for termination and informs participants of grievance policies. An IEP termination policy must be approved by DOL prior to implementation.

#### 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).
- If applicable and there are no extenuating circumstances that would hinder the participant from moving to unsubsidized employment, refusal, and without good cause, to accept a reasonable number of job offers or referrals to unsubsidized employment consistent with the IEP.

#### Equitable Distribution

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

#### Over-Enrollment

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

#### Administrative Systems

- Communicates grant policy, data collection, and performance developments and directives to staff and sub-recipients and/or local project operators.
- Has developed a written monitoring tool and procedures for its SCSEP grant that lists items to be reviewed during monitoring visits, and provided this tool to sub-recipients and/or local project operators.
- Has developed a monitoring schedule; notified sub-grantees and/or local project operators of its monitoring plans; and monitors sub-grantees and/or local project operators on a regular basis.
- Provides training to increase sub-recipients' and/or local project operators' skills, knowledge, and abilities.
- Prescribes corrective action and follow-up procedures for sub-recipients and/or local project operators to ensure that identified problems have been remedied, when appropriate.

- Monitors the financial systems and expenditures of sub-recipients and/or local project operators on a regular basis.
- Ensures that sub-recipients and/or local project operators receive adequate resources to effectively operate local projects.
- Has trained sub-recipients and/or 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 to the participants and community.

#### Collaboration and Leveraged Resources

- Collaborates with other organizations to maximize opportunities for SCSEP 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 an unsubsidized job.
- Has established criteria to determine when participants will get supportive services, including after obtaining unsubsidized employment.

#### **Sub-Recipient Selection (If Applicable)**

- In areas where a substantial population of individuals with barriers to employment exists, a national grantee, in selecting sub-recipients, gives special consideration to organizations (including former recipients of such 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 such procedures.

### Maintenance of Effort

- Does not reduce the number of employment opportunities or vacancies that would otherwise be available to individuals not participating in the program.
- Does not displace currently employed workers (including partial displacement, such as a reduction in the hours of 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 any eligible individual to perform the same work or substantially the same work as that performed by any other individual who is on layoff.

### Procedures for Payroll and Payment of 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 (3) program years after the program year in which all follow-up activity for a participant has been completed.
- Participant records are securely stored and access is limited to appropriate staff to safeguard personal identifying information.
- Participant medical records are securely stored separate 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 (also known as "PINs")) for recordkeeping.
- Ensures that the SCSEP National Program Office at the Department of Labor is immediately notified in the event of any potential security breach of personal identifying information, whether electronic/paper files and/or equipment is involved.
- Complies with, and ensures that authorized users under its grant comply with, all SCSEP Performance and Results Quarterly Progress Report System (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 re-determinations.
- Maintains documentations of terminations and the reasons for such terminations.
- Maintains records of grievances and outcomes.
- Maintains records required for Data Validation.

Data Collection and Reporting

- Ensures that accurate data are submitted timely to SPARQ, as required.
- Ensures that those capturing and recoding data are familiar with the latest instructions for data collection, including Department administrative issuances, such as Older Worker Bulletins, TEGs, the 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 at the time that the sub-recipient ceases to administer SCSEP.
- Legally obligates any 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 with this standard grant requirement(s).**

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