

# NORTH CAROLINA

## SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM

### OPERATIONS MANUAL



SCSEP is an equal opportunity employer/program. Auxiliary aids and services are available upon request to persons with disabilities.

**DIVISION OF AGING AND ADULT SERVICES**

JULY 2015

## FOREWORD

The SCSEP Program Operations Manual provides official guidance for the operation of local Senior Community Service Employment Projects funded by the State of North Carolina, Division of Aging and Adult Services. This includes SCSEP projects operated by sub grantees.

The manual is based on the following legislative and regulatory mandates:

- Title V of the Older Americans Act of 1965, as amended,
- Senior Community Service Employment Program (SCSEP) Federal Regulations,
- Department of Labor Older Worker Bulletins and Training and Employment Guidance Letter (TEGL),
- State of North Carolina Grant Terms and Conditions with the U.S. Department of Labor

The operational policy, procedures, and standards outlined in this manual should be followed and enforced by all sub grantees. The local SCSEP Program Manager and staff members designated by the sub grantee must be familiar with the contents of this manual and are responsible for implementing its provisions. The local Program Manager is responsible for periodically updating the manual directed by the State SCSEP Coordinator, Division of Aging and Adult Services (DAAS).

This manual is effective **July 1, 2014**. In case of any perceived discrepancy between this manual and other materials, the State SCSEP Coordinator should be consulted for clarification.

The Program Operations Manual is comprised of six (6) parts and six (6) appendices which include:

- **Part One: Introduction to SCSEP**
- **Part Two: Performance Standards**
- **Part Three: Overview of Program Operations**
- **Part Four: Policy and Procedures for Program Operations** which contains the policies, procedures, standards and instructions for recruiting, assessing, and placing participants and developing high quality training sites.

- **Part Five: Management Information System**, which describes record keeping requirements.
- **Part Six: Financial Management Information.**

**Appendices** are attached with copies of forms, instructions for completing the forms and other essential program information.

All staff members involved with the SCSEP should be familiar with the SCSEP Program Operations Manual. Certain staff members may need to refer to particular sections of the manual on a regular basis; it has been designed so that specific sections may be reproduced and distributed as necessary.

This Operations Manual is an evolving document, subject to revision as legislative and policy changes occur. The Division will send all sub grantee Program Managers a memorandum announcing change(s) when legislative or policy changes require the manual be updated. Copies of the updated manual pages, with revision dates, will accompany the memorandum. (These will be distributed via email)

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## Appendices

The Appendices have been separated from the main text of the SCSEP Program Operations Manual into independent sections for convenience in finding specific forms and instructions as follows:

- Appendix A**      Contains sample forms with instructions that SCSEP projects are required to use to document participant eligibility, services, training, and other activities. Forms for training site files are also included. These forms have been approved and may be reproduced and used in daily operations without prior approval.
  
- Appendix B**      Contains forms and instructions for documents for program and fiscal management
  
- Appendix C**      Contains the SCSEP Data Collection Handbook; Data Validation Handbook; and the SCSEP Quarterly Progress Report Handbook.
  
- Appendix D**      Contains the SCSEP State Monitoring Forms
  
- Appendix E**      Contains information on federal regulations including political activities and the Senior Community Service Employment Program (SCSEP), the Age Discrimination Act, Americans with Disabilities Act, the Hatch Act, WIA and the Drug-Free Workplace Provisions.
  
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 Appendix F: Glossary

SCSEP Glossary

**State of North Carolina**  
**SCSEP PROGRAM OPERATIONS MANUAL**

***I. Introduction***

**A. The Senior Community Service Employment Program**

The Senior Community Service Employment Program (SCSEP) is a participant centered program designed to provide and promote useful work training experience opportunities for economically disadvantaged persons age 55 or older and to facilitate the transition of job-ready participants into unsubsidized employment in public organizations and private-sector businesses and industries.

SCSEP activities are authorized under Title V of the Older Americans Act of 1965, as amended, and are administered by thirteen national sponsors, the 50 State governments, and most of the U.S. territories through grants from U.S. Department of Labor (DOL).

The Senior Community Service Employment Program is designed to:

“Foster individual economic self-sufficiency and promote useful opportunities in community service activities (which shall include community service employment) for unemployed low-income persons who are age 55 or older, particularly persons who have poor employment prospects, and to increase the number of persons who may enjoy the benefits of unsubsidized employment in both the public and private sectors [...].”

Pub.L. 88-452, 78 Stat. 508, 42 U.S.C. § 3056.

## ***II. Performance Standards***

### **A. Reauthorization of the Older Americans Act**

The authorizing legislation for Senior Community service Employment Program (SCSEP) is the Older Americans Act of 1965 and its amendments.

### **B. Policy**

The amended Older Americans Act has significant changes for Title V that authorizes the Senior Community Service Employment Program (SCSEP) and its operations. The OAA Amendments became effective upon enactment. The Senior Community Services Employment Program; Final Rule and Regulations; 20 CFR Part 641 was published on September 1, 2010.

The amended Title V retains the structure of the program under which the national nonprofit agencies and organizations as well as States receive grants to operate SCSEP projects. It retains the current funding allocation that distributes 78% of funds to national nonprofit agencies and organizations and 22% to State grantees. As funding increases above the current fiscal year level, proportionately more funding is directed to State grantees.

### **C. Performance Accountability Requirements**

The policy requires that a Performance Accountability System hold each Grantee (National Sponsors and States) responsible for attaining quality levels of performance with respect to core performance measures.

For each Grantee, the Secretary is authorized to establish performance measures designed to promote continuous improvement in performance. Performance measures consist of indicators of performance and levels of performance applicable to each indicator.

#### **Core Performance Indicators Measures**

SCSEP has six core performance measures that are defined below:

- **Community Service** – The number of hours of community services in the reporting period divided by the number of hours of community service funded by the grant minus the number of paid training hours in the reporting period
- **Entered Employment** – Of those not employed at the time of participation, the number of participants employed in the first quarter after the exit quarter divided by the number of participants who exit during the quarter
- **Employment Retention** – Of those participants who are employed in the first quarter after the exit quarter, the number employed in both the second and third quarters after the exit quarter divided by the number of participants who exit during the quarter
- **Average Earnings** – Of those participants who are employed in the first, second and third quarters after the quarter of program exit, total earnings in the second and third quarters after the exit quarter, divided by the number of exits during the period
- **Service Level** – The number of participants who are active on the last day of the reporting period or who exited during the reporting period divided by the number of modified community service positions
- **Service to Most-in-Need** – Average number of barriers per participant. Barriers are defined as follows:
  - severe disability
  - frail
  - 65 years of age or older
  - old enough for but not receiving SS Title II
  - severely limited employment prospects and living in an area of persistent unemployment
  - limited English proficiency
  - low literacy skills
  - Disability
  - Rural
  - Veterans
  - low employment prospects
  - failed to find employment after using WIA Title I
  - homeless or at risk of homelessness



Service to the Most-in-Need is determined by taking the total number of barriers reported during the reporting period divided by the number of participants who are active on the last day of the reporting period and those who exited during the reporting period

### **Additional Performance Measures**

- ***Retention at 1 Year*** – Of those participants who are employed in the first quarter after the exit quarter: the number of participants who are employed in the fourth quarter after the exit quarter divided by the number of participants who exit during the quarter
- ***Customer Satisfaction:***
  - *Average ACSI for employers*
  - *Average annual ACSI for participants*
  - *Annual average ACSI for host agencies*
- ***Any other indicator of performance that the Secretary determines to be appropriate to evaluate services and performance***

The core indicators of performance and additional indicators of performance are applicable to each grantee without regard to whether the grantee operates the program directly or through sub grantees or agreements with other entities. Each program year, the Department of Labor will determine if Grantees have met the established level of performance.

### **Determining Success**

At the beginning of each program year the Department of Labor proposes a performance level for each core indicator, taking into account any statutory performance requirements, the need to promote continuous improvement in the program overall and in each grantee, the grantee's past performance, and the statutory adjustment factors.

Grantees may request a revision to the Department's initial performance level goal determination. The request must be based on data that supports the revision request. DOL may revise the performance level goal in response to the data provided.

Success will be based on an aggregate calculation of performance. The aggregate is calculated by combining the percentage of goal achieved on each of the individual core indicators to obtain an average score. A score of 90 – 100 percent meets the performance level. A score of 100+ exceeds the performance level. All measures are equally important and there will be no weighting one over another. Sub grantees must balance program priorities to meet the performance level in all performance measures.

#### **D. Consequences for Poor Performance**

Once baseline performance levels are determined, the Secretary of Labor will take corrective action if a State Grantees does not attain levels of performance.

If the Grantee does not meet performance measures in the State for one program year, DOL will provide technical assistance and the Secretary will require the state to submit a Corrective Action Plan not later than 160 days after the end of the Program Year. The corrective action plan must detail the steps the State will take to meet the expected levels of performance in the next program year.

If DOL determines that the State fails to meet the expected levels of performance for 3 consecutive programs years, DOL will require the State to conduct a competition to award the funds allocated to the State under §506 (e) of the OAA for the first full program year following DOL's determination. The new grantee will be responsible for administering the SCSEP in the State and will be subject to the same requirements and responsibilities as had the State grantee.

DOL will annually evaluate, publish and make available for public review, information about the actual performance of each grantee with respect to the levels of performance, compared to expected levels of performance and the actual performance of each grantee with respect to the levels achieved for each of the additional indicators of performance. The results of DOL's annual evaluation will be reported to Congress.

#### **E. North Carolina's Performance Requirements for Sub grantee Agencies**

The sub grantee shall have adequate administrative and accounting controls, personnel standards, evaluation programs and other policies as may be necessary to promote the effective use of funds and to comply with Title V regulations, as amended.

The State of North Carolina will expect each sub grantee to meet the established Department of Labor performance measures.

In addition, sub grantees are required to:

- Maintain Community Service Placement at the total assigned authorized slot level
- Place participants in unsubsidized employment each year as established by the negotiated performance standards
- Keep spending on budget at the monthly-authorized spending levels established at one twelfth of the total budget. (with an appropriate drawn down ratio of participant wage: Administrative cost)

## **F. Monitoring of Sub grantee's Program and Financial Performance**

The Division will conduct an annual fiscal and programmatic evaluation of each sub grantee. The Division's statewide Senior Community Services Employment Program (SCSEP) Coordinator will conduct programmatic evaluations. Division Auditors from the Division's fiscal unit will conduct the fiscal evaluation. Evaluation criteria have been established and have been initiated to assess the sub grantees performance.

Department of Labor sanctions for not meeting performance measures will apply.

The performance guidelines and Older Americans Act amendments of 2006 and the SCSEP regulations at 20 CFR Part 641 form the basis for these criteria as well as the specific work plans contained in the Division's agreement with the Sub grantees. In addition, the following are applied as applicable:

- ***The Age Discrimination Act***
- ***Age Discrimination in Employment Act (ADEA)***
- ***The Americans with Disabilities Act of 1990***
- ***Administrative Rules 29 CFR, Part 97***
- ***Workforce Investment Act: Final Rules –20 CFR Part 652 et.al.***
- ***A87: Cost Principals for States***
- ***A-102: Grants and Cooperative Agreements with State Governments***
- ***A-110: Uniform Administrative Requirements for Grants and other***

***Agreements with Non-Profits***

- ***A-122: Cost Principals for Nonprofit Organizations***
- ***A-133: Audits of States and Nonprofit***
- ***DOL SCSEP Data Validation Handbook***

### ***III. Overview of Program Operations***

#### **A. Mission Statement**

The State of North Carolina and its sub grantee will work with the U.S. Department of Labor and community agencies to help older adults obtain job training, increase their income, learn new skills and find jobs. SCSEP makes it possible for the State to promote the economic independence of older Americans by providing the opportunity for eligible participants to obtain training and unsubsidized employment.

To serve participants and their local communities, the SCSEP emphasizes **four primary mission goals**:

- (1) **To provide the opportunity** for older workers to gain economic self-sufficiency and independence.
- (2) **To provide gainful on the job training** through subsidized part-time work to low-income older adults
- (3) **To demonstrate how older workers can facilitate the delivery of community services** by placing them in human service positions; and
- (4) **Transition low-income unemployed older workers into high quality jobs** in the public, private, and non-profit sectors through training and job-finding assistance.

The primary focus of SCSEP will be to provide participants community service training and job placement. Training programs at community service host sites allow participants to participate in providing community service to local communities, prepares participants for unsubsidized positions and advance them toward economic independence.

- Ineligible applicants will be referred to local One-Stop Centers and Workforce Investment Act (WIA) providers. SCSEP funds will not be used for individuals who only need job search assistance or job referral services.
- Ineligible applicants may also be referred to other DAAS programs and services.

- The SCSEP sub grantees are required partners with the WIA providers. SCSEP sub grantees are required to have signed Memorandum of Understandings (MOU) with the local Workforce Investment Board.
- All SCSEP participants must be co-enrolled with a North Carolina WIA provider and receiving intensive services.

The State SCSEP grantee staff will facilitate, write and complete in cooperation with the sub grantee, national SCSEP grantees operating in the state and other required partners, the Four (4) Year SCSEP State Plan. The State SCSEP grantee staff will also be responsible for updating the plan every two (2) years or as needed.

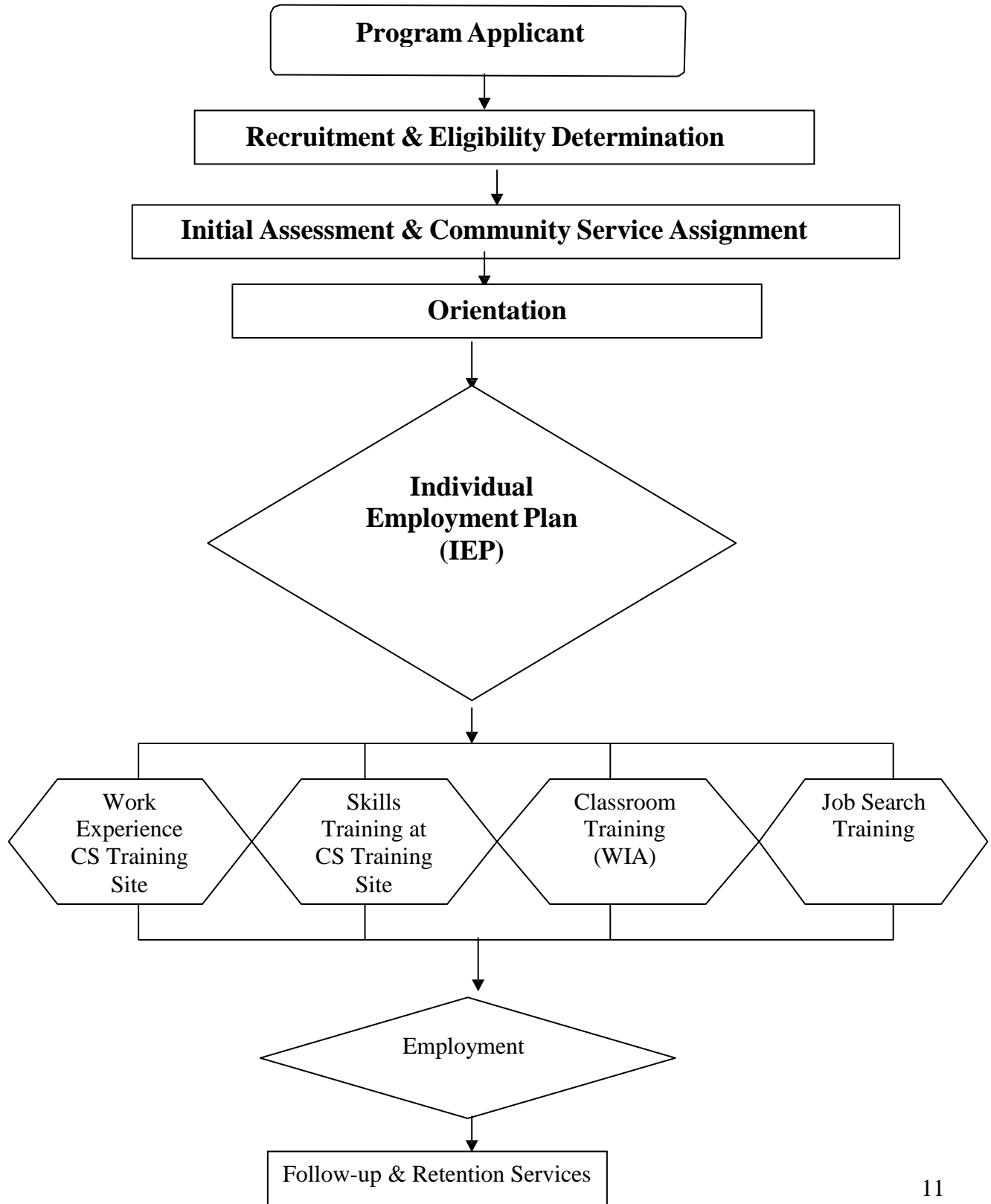
The SCSEP grantee is responsible for facilitating, writing and completing the annual Equitable Distribution Report in collaboration with all national SCSEP grantees operating in the state.

## **B. SCSEP Program Design**

The Governor of the State of North Carolina delegates responsibility for SCSEP to DAAS. The State of North Carolina, DAAS, is responsible for monitoring this project to ensure that all legal and statutory requirements of SCSEP are met.

C. Participant Flow Chart

**SCSEP Participant Flow Chart**



## ***IV. Policy and Procedures for Program Operations***

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) RECRUITMENT AND OUTREACH</b>	<b>DAAS-SCSEP -10.1</b>
<b>Effective Date: July 1, 2014</b>	<b>Updated: August 21, 2014</b>

### **A. Recruitment and Outreach**

#### **1. Purpose**

The purpose of recruitment is to ensure that the maximum number of eligible older individuals will have an opportunity to participate in the SCSEP.

#### **2. Requirements**

The sub grantee shall make efforts to assure that the maximum number of eligible individuals have an opportunity to participate in SCSEP. These efforts must include outreach to minorities, American Indians, individuals with limited English proficiency and those with greatest economic need, at least in proportion to their numbers in the area, taking into consideration, their rates of poverty and unemployment.

Priority service will be given to the following individuals:

- (a) Those 65 years of age or older
- (b) Are veterans (or, in some cases, spouses of veterans) as established in the Jobs for Veterans Act, 38 U.S.C 4215 (a) and the Senior Community Service Employment Program; Final Rule §641.520 (b)

Preference will be given to the following individuals:

- (c) Have a disability (See Z. 2)
- (d) Have limited English proficiency
- (e) Low literacy
- (f) Reside in a rural area;



- (g) Have low employment prospects;
- (h) Have failed to find employment after using services provided through the One-Stop delivery system; or
- (i) Are homeless or at risk for homelessness

**To ensure that these goals are achieved**, the sub grantees shall:

- (a) Use the NC Works Career Centers delivery system as one method in recruitment and selection of eligible individuals. Notify the NC Works Career Center when SCSEP vacancies exist
- (b) Establish collaborative relationships with agencies providing services to older persons, to persons with low incomes, and to persons of various race/ethnic backgrounds
- (c) Place flyers, brochures, posters, and other advertisements in public places where older individuals tend to congregate
- (d) Use low no cost media advertising such as public service announcements on radio and TV, community service announcements, and human interest articles in local newspapers
- (e) Make presentations to groups of older people or the general public to spread the word about opportunities available through the program; and
- (f) Develop a close working relationship with other employment and training programs such as State and local programs under the Workforce Investment Act (WIA), vocational education programs, dislocated worker programs, and adult education programs

### **3. Monitoring of Recruitment Goals**

The State SCSEP Coordinator will monitor the achievement of recruitment goals during visits with the sub grantee. **At no time should vacancies exist in the program when funding is available to provide training opportunities for older workers.**

The U.S. Department of Labor requires that the State periodically monitor the performance of grant-supported activities to assure that project goals related to the recruitment of priority populations are being achieved and that all requirements of the Older Americans Act and its rules and regulations are being met.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Eligibility Determination</b>	<b>DAAS-SCSEP -10.2</b>
<b>Effective Date: July 1, 2014</b>	<b>Updated: August 21, 2014</b>

## **B. Eligibility Determination**

### **1. Purpose**

To determine which applicants meet the SCSEP eligibility criteria.

### **2. Timing**

The eligibility criteria given in section 3 below apply:

- (a) To each individual who seeks initial enrollment in the SCSEP
- (b) To each individual who seeks re-enrollment after termination from the SCSEP because of loss of unsubsidized employment through no fault of their own, including illness; and
- (c) To each participant who is seeking annual recertification for continued program participation

### **3. Eligibility Criteria**

To be eligible for participation in the SCSEP, an individual must meet each of the following criteria for age, income, place of residence, and eligibility to work:

- (a) **Age** - Each individual must be 55 years of age. **No upper age limit can be imposed for initial enrollment or continued enrollment**
- (b) **Income** - The family income of an applicant or participant during the preceding 12 months or six months annualized must not exceed 125 percent of the poverty levels established and periodically updated by the U.S. Department of Health and Human Services. A person with a disability may be treated as a 'family of one' for income eligibility determination purposes at the option of the applicant
- (c) **Residence** - Each individual, upon initial enrollment, shall reside in the State in which the project is authorized. (Residence means an

individual's declared dwelling place or address. Sub grantees may **not** impose a length of residency prior to enrollment in SCSEP)

(d) **Unemployed** – Individuals applying for SCSEP must be unemployed

***No sub grantee may impose any additional requirement or condition for determining enrollment eligibility for SCSEP unless required by Federal law***

#### **4. Computing Family Income**

##### **a. Computation: [TEGL 12-06]**

Annual family income is defined as income received during the months period that ends on the date of application or annualized income for the last 6 months period that ends on the date of application or certification for continued enrollment.

Annual Family income for current family members refers to the sum of the amounts received from the income inclusions delineated in 12-06 (Attachment I) and in section 4.d. below.

##### **b. Definition of Family [TEGL 12-06, Attachment II]**

The family standard defined is:

- A husband, wife and dependent children; or
- A parent or guardian and dependent children; or
- A husband and wife; or
- A person with a disability may be treated as a “family of one’ for income eligibility determination purposes as currently provided at §641.500 of the SCSEP regulations

##### **Definition of Family [TEGL 26-13, Attachment III]**

TEGL 26-13 (issued on June 18, 2014), which implements the Supreme Court's ruling in United States v. Windsor, states: “The Department of Labor's policy is to recognize lawful same-sex marriages as broadly as possible to the extent that federal law permits, and to recognize all marriages valid in the jurisdiction where the marriage was celebrated—i.e., the ‘state of celebration.’” TEGL 26-13 sets forth two sets of rules:

- All national grantees and those state grantees whose states recognize same-sex marriages as valid based on the “state of celebration” must recognize same-sex spouses as within the SCSEP definition of “family.”
- State grantees in states that do not recognize same-sex marriages as valid based on the “state of celebration” are not required to recognize same-sex marriage as within the SCSEP definition of “family.” However, DOL encourages those state grantees to include same-sex spouses in the definition of family.

### **Exception to Standard Definition**

When the applicant is claimed as a dependent on the Federal Income Tax Return of another family member whom they reside, the Current Population Survey (CPS) definition of family must apply.

### **CPS Definition of Family:**

- A family is a group of two people or more related by birth, marriage, or adoption and residing together; all such people (including related subfamily members) are considered as members of one family.
- As in the standard definition above, a person with a disability may be treated as a “family of one” for income eligibility determination purposes.

### **CPS Definition of Subfamily:**

- **Subfamily:** A subfamily is a married couple with or without children, or a single parent with one or more of their own never-married children under 18 years old. A subfamily does not maintain his or her own household, but lives in the home of someone else.
- **Related subfamily:** A related subfamily is a married couple with or without children, or one parent with one or more of their never-married children under 18 years old, living in a household and related to, but not including, the person or couple who maintains the household. One example of a

related subfamily, a young married couple sharing the home of the husband or wife's parents.

- **Unrelated subfamily:** An unrelated subfamily (formerly called a secondary family) is a married couple with or without children, or a single parent with one or more of their own never-married children or a single parent with one or more of their own never-married children under 18 years old living in a household. Unrelated subfamily members are not related to the householder. An unrelated subfamily may include people such as guests, partners, roommates, or resident employees and their spouse and/or children. An unrelated subfamily is NOT included in the determination of income eligibility for SCSEP.

**c. Definition of Family Income**

“Family income” means income is defined as the sum of the amounts received from the income inclusions delineated in TEGl 12-06, (Attachment I).

**d. Income Inclusions and Exclusions**

With certain exceptions, which will be defined, the CPS official definition of ‘income’ will govern the determination of SCSEP applicant eligibility. The following are income inclusions:

- (1) Earnings: Money wage or salary income is the total income people receive for work performed as an employee during the income year.
- (2) Net income from non-farm self-employment is the net money income (gross receipts minus expense) from one's own business, professional enterprise, or partnership.
- (3) Net income from farm self-employment is the net money income (gross receipts minus operating expenses) from the operation of a farm by a person on his or her own account, as an owner, renter or sharecropper.

- (4) Benefits received under Title II of the Social Security Act (of which seventy–five percent of gross amount will be counted as includable income)
- (5) Survivor benefits
- (6) Pension or retirement income
- (7) Interest income
- (8) Dividends
- (9) Rents, royalties, and estates and trusts
- (10) Educational assistance
- (11) Alimony
- (12) Financial assistance from outside of the household
- (13) Other income, foreign government pensions

**Family income shall not (exclusions) include the following:**

- (1) Unemployment Compensation
- (2) Social Security Disability Insurance
- (3) Workers' compensation
- (4) Child support
- (5) Public assistance, including Aid to Families with Dependent Children (AFDC), Emergency Assistance money payments, and non-federally funded General Assistance or General Relief money payments
- (6) Twenty-five percent of a benefit received under Title II of the Social Security Act
- (7) Any other income exception required by applicable Federal law – e.g., stipends from programs funded by the Senior Corps of the

Corporation for National and Community Service

- (8) Payment made to or on behalf of the veterans or former members of the Armed Forces under laws administered by the Secretary of Veterans Affairs
- (9) Disability benefits
- (10) Supplemental Security Income (SSI)
- (11) First \$2,000 of certain per capita fund distributions made to Indians pursuant to the Indian Claims Act, P.L. 93-134 and P.L. 97-458.

Also excluded are:

- (1) Capital gains people receive (or losses they incur) from the sale of property, including stocks, bonds, house, or a car (unless the person engaged in the business of selling such property, in which case the net proceeds as income from self-employment)
- (2) Withdrawals of bank deposits
- (3) Money borrowed
- (4) Tax refunds
- (5) Gifts
- (6) Lump-sum inheritances or insurance payments

**Special Note: TEGL 11-06**

**Congress has exempted SCSEP wages from income eligibility determinations for Federal Housing programs and food stamps through the OAA Amendments of 2000 and 2006 (42 U.S.C 3056 (g)).**



**Table I: Examples of SCSEP Income Inclusions and Exclusions**

TYPE OF INCOME	INCLUDE	EXCLUDE
Wages or Salary	Yes - gross pay before deductions	
Self-Employment	Yes - net income after business expenses are subtracted	
Pensions and retirement income	Yes	
Net Rent royalties, estates, trusts	Yes	
Alimony	Yes - even if periodic	
Social Security Benefits	75%	25%
Dividend Income	Yes	
Interest	Yes	
Insurance Annuities	Yes	
Lump sum inheritances, insurance payments, gambling and lottery earnings	No	Yes
Financial assistance from outside of household	Yes	No
Payments Under Indian Claims Act	Yes - Exclude \$2,000	\$2,000
Public Assistance	No	Yes
SCSEP Earnings	No	Yes
Unemployment Compensation	No	Yes
AFDC Payments	No	Yes
Social Security Disability	No	Yes
Education Financial Assistance Payments (Title IV of Higher Education Act)	Yes	No
Needs-based Scholarship Assistance	Yes	No
Active Military Duty Pay	No	Yes
Non-Cash Income (food stamps, energy or food assistance, etc.)	No	Yes
Black Lung Disability Payments	No	Yes
Other Employment and Training Payments	No	Yes
Supplemental Security Income (SSI)	No	Yes
Other Income, foreign government pensions	Yes	No
Survivor Benefits	Yes	No

**NOTE:** This table is not all-inclusive.

**e. Procedures for Calculating Annual Family Income**

Income refers to the total family cash receipts before taxes. Annual family income shall be determined by computing income received during the 12 month period that ends on the date of application or the annualized income for the last 6 months period that ends on the date of application or certification for continued enrollment.

Annual family income for current family members refers to the total amount of cash income received from wages or salary, self-employment, or other income described above which lists monies to be included and counted as income. Annual family income does not refer to monies received from sources described in the Exclusions, which lists monies to be excluded and not counted as income.

After calculating the annual family income, refer to the income guidelines for the size of the family to determine if the income eligibility criterion is met. For example, if the family consists of a mother, father, and one dependent child, the income guidelines for a family of three should be used to determine income eligibility.

To be eligible for SCSEP, the family income **must not exceed 125 percent of the poverty level** established by the U.S. Department of Health and Human Services for the size of the family.

**f. SCSEP Income Eligibility Guidelines**

These guidelines are issued annually. (The current Poverty Guidelines are included in the appendices.) These figures are to be used to determine the income eligibility of SCSEP applicants and participants.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Selection</b>	<b>DAAS-SCSEP -10.3</b>
<b>Effective Date: July 1, 2014</b>	<b>Updated: August 21, 2014</b>

### **C. Selection Enrollment Priorities**

#### **a. Purpose**

The purpose of enrollment priorities is to meet the conditions Congress set forth in the Older Americans Act, as amended.

#### **b. Criteria for Enrollment Priorities**

To assist the individuals with the greatest need, sub grantees shall follow enrollment guidelines when filling **all** SCSEP positions. Sub grantees will give priority to:

- Those 65 years of age or older
- Are veterans (or, in some cases, spouses of veterans) as established in the Jobs for Veterans Act, 38 U.S.C 4215 (a) and the Senior Community Service Employment Program; Final Rule §641.520 (b)

Sub grantees will give preference to applicants that:

- Have a disability (See Z. 2)
- Have limited English proficiency
- Have low literacy
- Reside in a rural area;
- Have low employment prospects;
- Have failed to find employment after using services provided through the One-Stop delivery system; or
- Are homeless or at risk for homelessness

Within all of the priorities listed above, sub grantees shall give preference to persons with poor employment prospects.

A person with poor employment prospects is defined as an eligible individual who is not likely to obtain employment without the assistance of the SCSEP or some other employment and training program. Persons with poor employment prospects include, but are not limited to, individuals

- Without a substantial employment history
- Who lack basic skills
- With low English-language proficiency
- Who are displaced homemakers
- Who dropped out of school
- Who are disabled veterans
- Who are homeless
- Who live in socially and economically isolated rural or urban areas where employment opportunities are limited

## **6. Dual Eligibility**

An individual who meets the age, income, and residence requirements for SCSEP participation under Title V of the Older Americans Act shall be deemed eligible to be enrolled in a joint program with WIA. The joint program must be established by a written financial or non-financial Memorandum of Understanding (MOU) agreement between the SCSEP project and WIA to satisfy the requirements of WIA and SCSEP.

## **7. Enrollment Procedures**

Sub grantees shall obtain and record the personal information necessary to determine eligibility for each individual. The information shall be recorded on the Participant Form at the time of enrollment and each year at the time of recertification. The sub grantee is responsible for assuring that the information provided by the applicant is reasonable, reliable, and consistent with other statements made by the applicant. Refer to the SCSEP Data Validation Handbook (Appendix C) to identify required documentation.

**All applicants shall be required to review and sign the SCSEP Participant Form at the time of enrollment.**

Once an applicant is deemed eligible, his or her enrollment must be properly documented. A list of intake forms follows:

- (a) **Participant Form** (**Note:** Mandatory form for all initial enrollments and re-enrollments.)
- (b) **Confidential Statement of Income** (**Note:** Mandatory form for all pre-applications, initial enrollments, recertification, and re-enrollments. **Additional Note:** Documentation supporting the figures reported must also be kept on file.)
- (c) **Employment Eligibility Verification Form I-9** (Mandatory that all individuals enrolled after November 6, 1986.)
- (d) **SCSEP Community Service Assignment Form, Physical Assessment Waiver**, if applicable

## **8. Over-Enrollment**

At **no time** should a sub grantee over-enroll participants by more than 10 percent of the number of positions authorized by the State of North Carolina. Over-enrollment may occur when attrition prevents grant funds from being fully utilized, but a sub grantee must have the State's permission **before** enrolling additional participants over the authorized position level.

## **9. Durational Limit**

### **Individual Durational Limit**

The State of North Carolina has implemented a durational limit policy that adopts the 48 month limit on all participants with the possibility of a waiver for a least one or more of the qualifying factors. The clock for this measurement started on July 1, 2007. A participants' prior time in the project does not count. The sub grantee must terminate any participant who reaches the 48 month durational limit, unless a waiver is in place.

NOTE: Participants are not automatically entitled to remain in the program for 48 months.

SCSEP participants are encouraged to complete their job readiness training and obtain unsubsidized employment within 27 months or less of enrollment in the program or as soon as they become job ready in order for the sub grantee to meet the Average Project Durational Limit of 27 months. The Individual Employment Plan (IEP) will address individual goals and timelines for obtaining unsubsidized employment.

Participants will be provided a copy of the SCSEP Individual Participant Durational Limit Policy during orientation and annually at recertification. The host site agency will be provided a copy of the SCSEP Individual Participant Durational Limit Policy during orientation and with the host site agreement. The participant and the host site supervisor will sign a form affirming that they received and read the policy.

Active participation in the regular SCSEP and Recovery Act (ARRA) funded programs will count toward the individual durational limit (IDL). Approved breaks will not be counted toward the individual's durational limit (IDL).

The SCSEP sub grantee will track individual participation and notify participants in writing when they are within 12 months of reaching their individual 48 month durational limit. The state may request a waiver of IDL each program year. To qualify for a waiver, at least one of the following factors must apply to the participant and be documented in the program year in which the 48 month limit is reached and be verified by state and regional SCSEP staff:

- Severe disability
- Frail
- 75 years of age or older
- Low literacy skills
- Old enough for, but not receiving Social Security Title II
- Severely limited employment prospects in a county of persistent unemployment
- Limited English proficiency

SCSEP participants who have reached their 48 month durational limit and are not eligible to apply for a waiver or who have been denied a waiver will be terminated from

the program with 30 days written notice. Any relevant documentation will be placed in the participants file.

To ensure that participants maximize their accomplishments while in SCSEP, the participant will be assessed at least 2 times in a program year to ascertain job readiness, to identify barriers to gaining employment and to identify additional training and supportive services needed. The participant will be enrolled in training programs to enhance current skills or help them attain new job skills. The participant may be transferred to a new host site if there is the potential for new work skills to be obtained. The Individual Employment Plan (IEP) will be updated and goals and timelines reevaluated at least every 6 months.

If employment is not attained before 42 months of SCSEP participation, in the 42nd month, the sub grantee staff and the participant will develop an exit transition IEP that will plot the participant's exit strategies. The Exit Transition IEP will include the following services from the SCSEP sub grantee staff:

- Assist participants with resumes, interview skills, referral to job openings and job fairs and the utilization of the computer learning center to assist participant's job search to help them gain employment using various career and job resources. Identify supportive services that will aid the participant in their transition out of SCSEP, e.g. subsidized housing, energy assistance, food stamps, SSI and Medicaid.
- Assist participant if requested, to developing a Post-SCSEP budget that does not include SCSEP wages.
- Referral as appropriate to North Carolina's JNC Works Career Centers, other Workforce Investment Act partners and other organizations that will help them in their transition out of SCSEP but remain active and maintain connectivity to the community, e.g. Senior Companion, AmeriCorps, American Red Cross, and Volunteers of America.

- With the permission of the participant, alert the participant personal support system, e.g. family, case workers, to their loss of income from SCSEP and increased need for support.

### **Sub Grantee Durational Limit**

Sub grantees are required to manage their programs as to maintain an average project durational limit of 27 months or fewer (see OAA Title V. Sec. 502 (b) (1) (C)).

- The average project duration is the sum of the number of months of enrollment of all the program's participants, divided by the number of participants.

The clock for this measurement started on July 1, 2007; participants' prior time in the project does not count. All participants who are currently active have been active in the preceding 9 quarters are counted.

- The 27 month durational limit first applied on October 1, 2009. Participants cannot be terminated based solely on the Average Project Durational Limit before the participant reaches the Individual Durational Limit (48 months). However, participants can be, and are encouraged to be, exited from the program into unsubsidized employment as soon as they are ready.

- Participants will be encouraged to complete their job readiness training and obtain unsubsidized employment within 27 months or less of enrollment in the program. The participant's Individual Employment Plan (IEP) will address individual goals and timelines for obtaining employment.
- Sub grantees must have written permission from DAAS and Department of Labor to impose an individual participant durational limit of less than 48 months.

Sub grantees can request a waiver to raise their average project duration up to 36 months, rather than 27 months. Waivers are on a program year basis and are



based on the five factors (see OAA Title V Sec. 513 (2) (d)):

- High rates of unemployment or poverty
- Significant downturns in the areas served by the grantee or in the national economy
- Significant numbers or proportions of participants with barriers to employment
- Changes in federal, state or local minimum wage
- Limited economies of scale

Sub grantees may submit a written request for an Average Project Durational Limit waiver, with justification for the request, to the State of North Carolina Senior Community Service Employment Program Coordinator by April 1st each year. The waiver request will be submitted to the SCSEP Federal Project Officer by May 1st for a final determination by July 1<sup>st</sup>.

## **10. Confidentiality (Privacy Act of 1974)**

Names of SCSEP participants are considered public information. However, sub grantees shall maintain the confidentiality of all other information regarding applicants, participants, and their families that may be obtained through application forms, assessment interviews, tests, and evaluations.

Without the permission of the applicant or participant, confidential information should be divulged only as necessary for purposes related to project administration or evaluation and only to persons having official responsibilities in connection with the project or to governmental authorities to the extent required for the proper administration of law. (see policy in appendix)

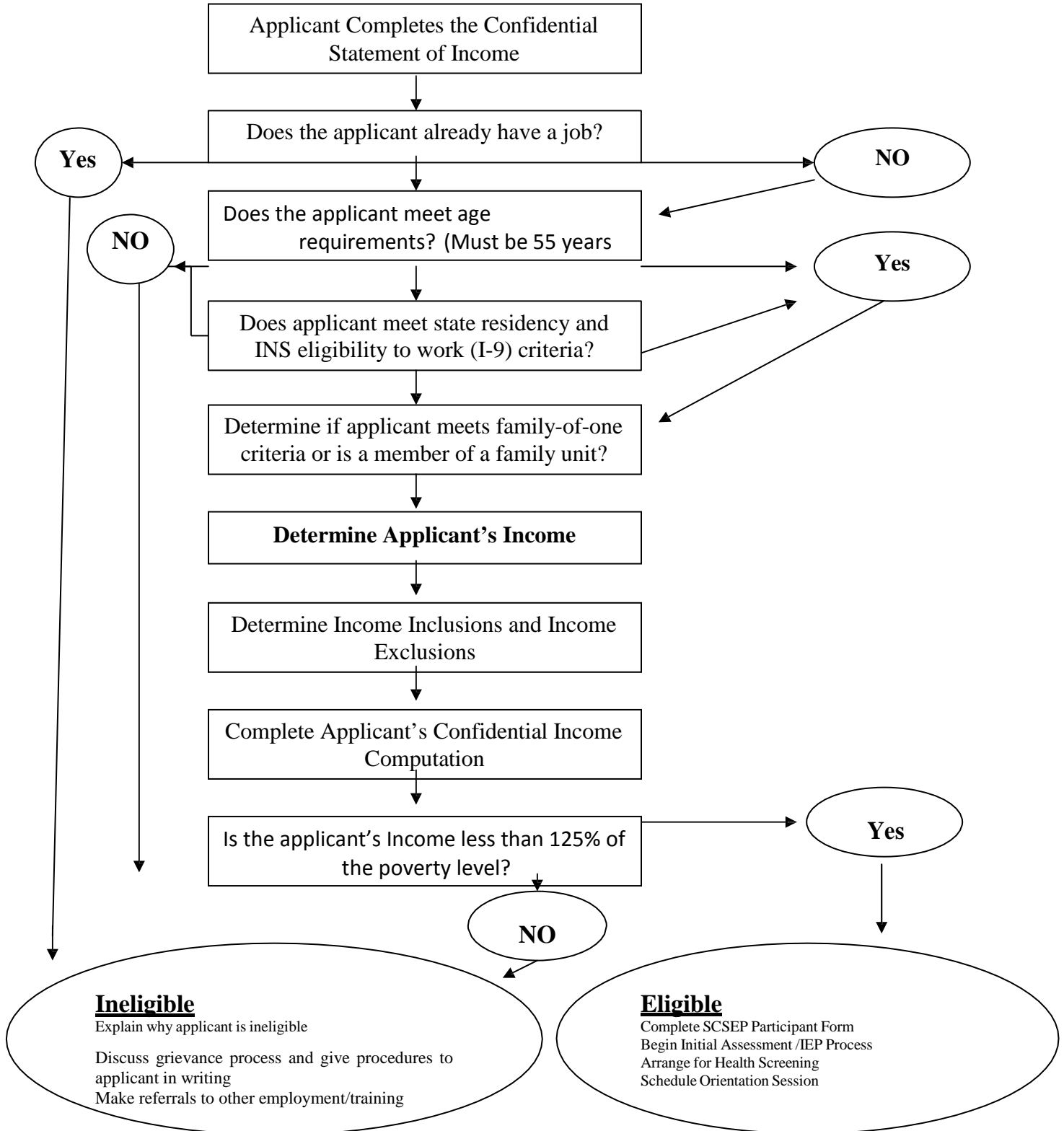
## **11. Procedures When Applicants Are Ineligible**

When applicants are found to be ineligible, whether due to age, income, residency, employment or ineligibility to work under INS rules, the sub grantee should take the following steps:

- (a)** Explain to the applicant why she or he is ineligible
- (b)** Discuss the grievance process and provide the applicant with written grievance procedures
- (c)** Give the reason for ineligibility to the applicant in writing (mail, if appropriate)
- (d)** Make referrals, if appropriate, to other employment and training programs (e.g. WIA provider)
- (e)** Make referrals, if needed, to community service agencies (social services, food bank, transportation, housing, AmeriCorps, Senior Companion, RSVP etc.)

## 12. Diagram of SCSEP Intake Process

### SCSEP Intake Process



<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP)</b> <b>How to Recertify Current Participants and Re-enroll Former Participants</b>	<b>DAAS-SCSEP -10.3</b>
<b>Effective Date: July 1, 2014</b>	

## C. How to Recertify Current Participants

### 1. Policy

Sub grantees must recertify participants annually on or close to the participant’s most current SCSEP entry date to determine eligibility for continued enrollment on the program. Participants should be given notice **30 days prior** to the date the recertification is scheduled to take place.

No participant shall hold a training position for more than 12 months without having his or her income recertified. The State will monitor this requirement during the assessment process.

When individuals re-enroll after termination from a project for reasons of extended illness or placement into unsubsidized employment, eligibility determination is identical to that of recertification.

### 2. Procedures for Re-enrollment and Recertification

When re-enrolling or recertifying a participant, a sub grantee must:

- (a) Complete the process using an assessment form during a face-to-face interview with the participant or former participant. Complete a Participant Form
- (b) Have the participant complete a Confidential Income Statement and obtain supporting documentation
- (c) Ensure that Employment Eligibility Verification Form I-9 is on file for each participant

**3. Income Computation for Inter-Program Transfers**

When a participant transfers from one SCSEP program to another (e.g., AARP to State), the sub grantee must **immediately** determine eligibility using the Confidential Statement of Income.

**4. Procedures to Follow When Participants Are Ineligible**

When a participant is found to be ineligible for continued enrollment on the program, SCSEP regulations require that the participant be notified according to the reason for the ineligibility determination and be given 30 days written notice of termination from the program.

- (a)** Participants found to be ineligible for continued enrollment on the program because family income exceeds 125 percent of the Federal poverty guidelines shall be given a 30 day written notice of termination.
- (b)** When it is determined that a participant was incorrectly declared eligible due to false information given by the participant, the sub grantee shall give the participant written notice explaining the reason(s) for the determination. In this instance, the participant will be given 30 days written notice of and placed on 30 days unpaid administrative leave.
- (c)** If the participant was incorrectly declared eligible through no fault of the participant, the sub grantee shall give the participant immediate written notice explaining the reason(s) for the termination. The participant shall be terminated 30 days from the date of the notice.

In situations (a) and (c) above, the project staff should make a reasonable effort to place the participant in an unsubsidized job or find other support for the ineligible participant. The participant should be informed of the right to appeal and given written instructions about how to file an appeal with the project.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Employment Eligibility Verification</b>	<b>DAAS-SCSEP -10.4</b>
<b>Effective Date: July 1, 2014</b>	

## D. Employment Verification

### 1. Policy

All sub grantees are required to verify the employment eligibility of applicants and participants under the Immigration Reform and Control Act (IRCA) of 1986. All participants enrolled after November 6, 1986, must complete the Employment Eligibility Verification Form (Form I-9).

### 2. Procedures

The applicant must complete Form I-9 at the time of enrollment. Documentation must be presented to establish the applicant’s identity and employment eligibility. Acceptable documents are listed on the back of Form I-9.

Documents from **List A** (Form I-9 establish both identity **and** employment eligibility.

According to Older Worker Bulletin 97-4, dated February 18, 1997, voter registration cards may no longer be used to document U.S. citizenship, although they are acceptable as proof of residency. Older Worker Bulletin 97-4 further notes that Numident printouts from the Social Security Administration are no longer acceptable as verification documents to establish eligibility for enrollment in SCSEP.

Completing the Form I-9: The applicant should complete and sign Section 1 of Form I-9. If a translator or other person completes Section 1 for the applicant because of language difficulties, the other person and/or translator must sign

the form and complete the other person and/or translator certification box. The staff member interviewing the applicant should review Section 1 to ensure that it is correctly filled out, legible, and has been signed.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Physical Assessment</b>	<b>DAAS-SCSEP -10.5</b>
<b>Effective Date: July 1, 2014</b>	

## E. Physical Exams

### 1. Purpose

The U.S. Department of Labor has stated clearly that physical examinations are a fringe benefit for program participants. Physical examinations are **not** an eligibility factor or a requirement to participate in program.

### 2. Timing

Physical exam shall be offered to each participant at the time of enrollment and annually thereafter.

### 3. Policy

Sub grantees must offer SCSEP participants a physical exam upon enrollment into the program and annually as long as they continue on the program.

### 4. Procedures

In the field, many questions arise concerning appropriate ways to offer physical exam and ask questions about an applicant's or a participant's physical limitations. Procedures for this section fall under the jurisdiction of the Federal regulations for SCSEP, the Americans with Disabilities Act (ADA), and Section 504 of the Rehabilitation Act.

The State requires that its sub grantees adhere to the following procedures during an individual's application, enrollment, and tenure in SCSEP.

#### (a) During the Application Process

During the intake process, questions about an applicant's health are **not** permitted even **if** the applicant appears frail or has indicated that he or



she has a health problem.

**The application process should focus solely on determining eligibility.**

**Physical health is not an eligibility factor.** The Americans with Disabilities Act (ADA) and Section 504 of the Rehabilitation Act prohibit making medical inquiries **before** an offer of employment has been made. In other words, questions about ability to work are not allowed before the person is determined to be eligible **and** offered a position in the program.

**(b) After Enrollment**

After the applicant has been found eligible for SCSEP and while an appropriate training assignment is being developed, the new participant can be asked certain questions regarding his or her health. Job-related medical inquiries are permitted at this time to assist in matching the participant to a training assignment.

**NOTE: Caution should be taken when asking health related questions.**

Any medical inquiry should focus on the individual's ability to perform an **essential** job task. The questions, "Can you stand for two hours a day?" and "Can you sit at a computer and type for three to four hours per day?" are appropriate.

Do not ask general questions such as "How is your health?" Sub grantees **must explain clearly** to new participants that health related questions are asked only for the purpose of developing suitable community service training assignments for them.

If questions are asked of one participant, **they must be asked of all participants.** For instance, a sub grantee may ask all participants if they have recently been under a doctor's care. The follow-up question, "Do you have a release from your physician?" can be asked of individuals who answer **yes** to the question of recently being under a doctor's care.

Do not limit questions to persons who appear to have disabilities, health problems, or are receiving Social Security Disability Insurance or any other disability payments. The U.S. Department of Labor states, “Judgments made on appearances can lead to the perception that discriminatory assumptions are being made.”

**(c) While Participating on a Community Service Training Assignment**

If a participant is placed in a position where everyone working in similar positions must undergo a physical examination, the participant may be required to undergo a physical examination. An example of this would be when a participant is considered for a food service assignment in a non-profit hospital where all food service workers are required to pass a physical examination. If the participant refuses to have a physical examination, another training site should be found.

**(d) During the Recertification Process**

During the recertification process, sub grantees **must offer** an annual physical exam to each participant who is eligible to continue on the program.

**5. Documentation**

The examining physician should provide a written medical report to the participant. The participant does **not** provide a copy of the medical report to the sub grantee. The State SCSEP Coordinator will periodically review files for compliance.

**6. Refusal of a Physical Assessment**

A participant may refuse to take advantage of the physical assessment offer at the time of enrollment or at recertification. **Sub grantees must document the refusal by having the participant sign a Physical Exam Offer.** The participant must sign the waiver **within 60 days of enrollment.**

Sub grantees should actively encourage participants to take advantage of the physical exam. Staff should **not** volunteer the use of a waiver as an automatic option.

**7. Cost of Physical Examinations**

Sub grantees should seek to provide physical assessments through **reduced** or **no-cost** local providers. Reimbursements for physical exams are allowed at a rate of \$75.00 per participant. The cost of physical assessments should be charged to the Participant Wages/Fringe Benefits cost category.

**8. Forms**

If the participant refuses the physical assessment, he or she must check the box to choose not to use the physical exam benefit on the **Physical Exam Waiver**.

The Physical Exam forms should be kept in a separate file, **not in the participant's record**.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Comprehensive Assessment</b>	<b>DAAS-SCSEP -10.6</b>
<b>Effective Date: July 1, 2014</b>	

## F. Comprehensive Assessment

### 1. Purpose

The initial assessment provides the basic framework for the individual employment plan (IEP). The comprehensive assessment process seeks to identify a participant’s existing work skills and deficits, job preferences, and any barriers to employment. From the assessment, the sub grantee will determine the appropriate employment, training, or service activities for each participant and describe each activity on the IEP. Procedures for the IEP follow in Section G.

### 2. Requirements

It is the responsibility of the sub grantee to implement an effective procedure to assess participants. The assessment must include a comprehensive evaluation that includes both formal and informal techniques.

The assessment must include input from the participant. The U.S. Department of Labor has established minimum assessment requirements in Older Worker Bulletin 96-1, dated February 7, 1996. All sub grantees **must adhere to** and all assessments **must include** the following:

- (a) The assessment shall be made in partnership with the participant.
- (b) The participant’s skills, talents, training, work history, and capabilities must be considered.
- (c) Appropriate training and employment objectives must be identified.
- (d) Assess supportive services needs continually during the assessment process and as needed. \* Request Supportive Services Form.
- (e) The assessment must be the basis for the individual employment plan (IEP).

- (f) The assessment must be the basis for the community service assignment.
- (g) The project staff member who helped develop it must sign the assessment.
- (h) The assessment must be conducted by the sub grantee.

In addition, the State **requires** sub grantees to include, a minimum, the following when assessing a participant:

- (a) The individual's occupational/job preference
- (b) Education and vocational training
- (c) Occupational skills, interests, talents, and aptitudes
- (d) Physical capabilities (consistent with Section 504 of the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990)
- (e) Positive attributes
- (f) Barriers to employment
- (g) Scores on assessment instruments
- (h) Potential for performing the proposed community service assignment duties
- (i) Potential for transition to unsubsidized employment

Particular attention should be paid to the knowledge and skills the participant now possesses, the types of work the participant would like to do, and the knowledge and skills the participant needs to obtain a job in the occupational field of interest. This information provides the basis for the individual employment plan (IEP) and should guide training and employment decisions.

### **3. Methods of Assessment**

Methods of assessment that sub grantees may use include:

- (a) Vocational testing and interest surveys
- (b) Informal (personal questionnaires) and formal structured interviews

- (c) Observations of an individual's attitudes, behavior, and body language
- (d) Basic skills testing
- (e) Workbooks/exercises to help individuals identify their work preferences, values, and options
- (f) Needs identification through self-assessment activities

#### 4. **The Assessment Interview**

A technical guide prepared for the U.S. Department of Labor provides the following tips to help project staff make the assessment interview less threatening to an older individual and to help create a welcoming environment.

- (a) **Be ready to interview** the individual
- (b) **Be mindful of your role** to assist someone who needs guidance through the system
- (c) **Be trustful**, briefly stating that you intend to help the participant meet his or her goals
- (d) **Be open and avoid making judgments** about a participant based on dress, styles, accent, or location of his or her residence
- (e) **Be aware of your limitations**, as you are neither a therapist nor a rescuer
- (f) **Be participatory**, gently guiding the interview
- (g) **Be useful** by showing how your program's assistance may lead to gainful employment
- (h) **Be relaxed and non-threatening**, but remember to be aware of cultural differences that may influence how people respond to an interviewer
- (i) **Be adaptable**, allowing the participant to make decisions about employment goals and training

Staff must be willing to work with individuals with a variety of experiences, skills, needs, and attitudes. The goal is to work effectively with the participants and

present options that will propel them toward their employment objectives.

**5. Ongoing Procedures and Re-assessment**

Assessment of participants is a continual responsibility of the sub grantee. A formal re-assessment of each participant's progress toward the goals set in the IEP is required **at least once every six (6) months**.

Monitoring participant achievements and challenges on a monthly or a quarterly basis will enhance both participant development and the review. Ongoing assessments should seek to make the best use of SCSEP resources by determining how participants can be motivated to higher levels of achievement.

**6. Recent Assessments Conducted by Other Programs**

A sub grantee may use an assessment of a participant prepared by another employment or training program under the WIA **if** the program prepared the assessment **within one year prior the date of application to the SCSEP**.

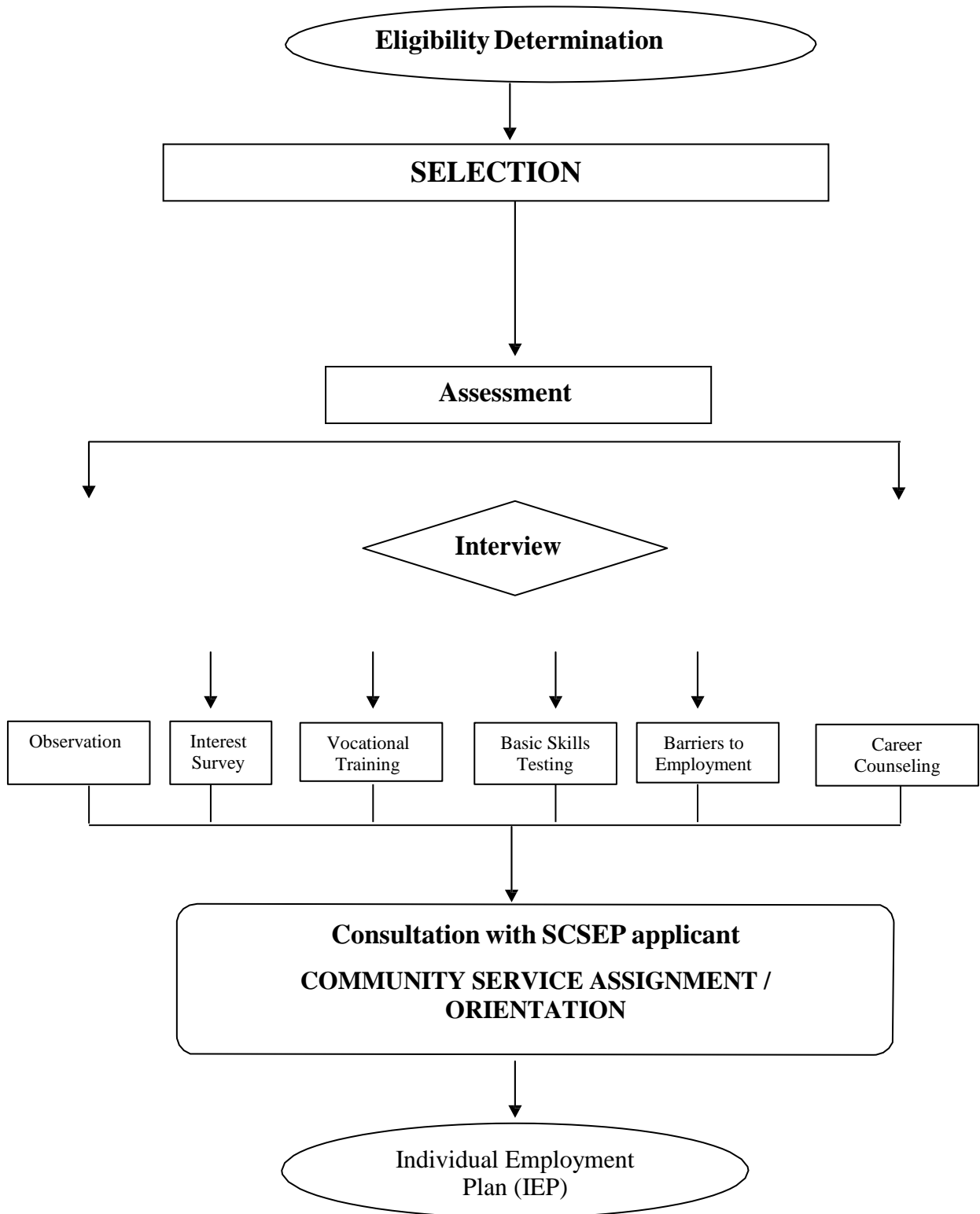
**7. Assessment Forms**

Sub grantees must use the participant assessment forms.

**8. Diagram Illustrating the SCSEP Assessment Process**

A diagram illustrating the SCSEP assessment process follows on the next page.

# SCSEP Assessment Process





SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Individual Employment Plan (IEP)	DAAS-SCSEP -10.7
Effective Date: July 1, 2014	

## G. Individual Employment Plan

### 1. Purpose

The purpose of the Individual Employment Plan (IEP) is to outline a strategy that will assist participants in achieving their employment goals. The assessment and IEP are used to develop a training assignment for each participant.

### 2. IEP Requirements

The IEP must be **developed** with the participant and host site and must **include** the following:

- (a) An initial employment goal ( other goals may be determined during future IEP processes if employment is not an appropriate goal)
- (b) A list of intermediate objectives to achieved
- (c) A plan listing the sequence of the services or activities that the participant will receive or in which they will participate including an explanation of how these services or activities address the participant's needs, interests, and desires that were identified during the assessment process and will help them to achieve employment

The IEP **must be developed for each participant within the first 45 days of assignment in the SCSEP**. The State requires that the IEP be developed within a month of a participant's enrollment because it is important that participants know the steps they must take to become employable in the local job market.

All participants are to be given a copy of their IEP. The original should be placed in the participant's record. Training site supervisors will be provided with a copy of the IEP. Host site supervisors must sign the IEP acknowledging their participation in developing the participant's goals.

### **3. IEP Review**

The sub grantee shall formally review the IEP progress for each participant at a set time of the year. This review must include the following:

- (a)** An assessment of the appropriateness of the participant's current community service work training assignment
- (b)** An evaluation of the progress the participant has made in meeting IEP objectives
- (c)** A determination of the participant's potential for transition to unsubsidized employment
- (d)** An evaluation of the progress the participant has made toward meeting his or her training and employment objectives
- (e)** Input from the participant on any aspect of the plan
- (f)** Input from the host site supervisor on any aspect of the plan
- (g)** Motivation of the participant toward completing the plan steps
- (h)** Any necessary revisions to the IEP due to a change of circumstances with the participant or the training site, e.g. Some participants may not be able to achieve the original employment goal

If the participant has made significant progress or if there has been a change in the participant's circumstances, a revised IEP should be completed. Be sure to insert the date that the revised plan was developed. The participant and host site supervisor should be given a copy of the revised IEP. The original of the revised IEP should be filed in the participant's record. Sub grantee staff should ensure that the participant understands and agrees to all changes in his or her goals, program activities and services, and required action steps.

### **4. Host Site Transfer Policy Based on the IEP Review**

Upon review of the IEP, a sub grantee may develop an alternative training assignment or host site transfer for a participant under the following circumstances:

- (a)** When a different training assignment will provide greater opportunities

for the participant to use his or her skills and aptitudes

- (b) When an alternative training assignment will provide work experience that will enhance the participant's potential for unsubsidized employment
- (c) When a different training assignment will serve the best interests of the participant or host site
- (d) The host site requests the participant be moved
- (e) The steps that shall be followed when making a training site rotations can be found in Section Q, item 4 of this manual. Sub grantees must follow the required procedures when making training site rotations.

## 5. IEP Form

Sub grantees must use the Individual Employment Plan form and IEP Progress Review.

## 6. IEP-Related Terminations

Under certain circumstances, the State will review a request for an IEP-related termination. The request will be approved only if both the State and U.S. Department of Labor criteria are met. Sub grantees should ensure that the request meets all requirements before submitting it to the State SCSEP Coordinator. A participant cannot be terminated until State approval is received. The U.S. Department of Labor (DOL) issued clear guidance in Older Worker Bulletin 96-11, dated August 15, 1996, that IEP-related terminations should be used only as a **last resort**. DOL has emphasized that all practical steps should be taken to **avoid** the termination of a participant based on the IEP.

### (a) DOL's Criteria for IEP-Related Terminations

Furthermore, DOL has established six broad criteria that must be adhered to before IEP-related terminations will be considered. These criteria are listed below.

- (1) **Notification** - All participants **must** be informed during

orientation or during a quarterly meeting that **failure** to accept a reasonable number of job offers could be a basis for termination from the SCSEP.

- (2) **Consistency** - Rules and procedures must be applied in a **fair** and **consistent** manner to all participants in a sub grantee project. Staff **cannot** request a termination of one participant over another solely because of personality issues. “Difficult” participants cannot be terminated without being given the same consideration and support in achieving their IEP objectives as more cooperative participants.
- (3) **Validity** - The IEP must reflect clearly and accurately state the goals of the participant. **A participant’s failure to adhere to vaguely worded IEP objectives will not be considered a valid reason for an IEP-related termination by the State or DOL.**
- (4) **Appeal Process** - Appeals of IEP-related terminations require **two levels of review - an official of the sub grantee not directly involved with the participant and the State.** The sub grantee’s staff member who signed the IEP **must not be involved** if the participant appeals the termination decision.
- (5) **IEP Change** - An IEP may be modified to reflect a situation that was not considered in the original IEP. For example, a participant who has recently lost a spouse may not be able to fulfill some of the IEP objectives while adjusting to the loss. In such situations, a modification to the IEP would be more appropriate than requesting an IEP-related termination.
- (6) **Adequate Procedures** -When a participant’s actions are not consistent with the IEP, **the sub grantee must explore the cause in every case.** A corrective action notice or letter must be developed and provided to the participant whenever the

participant's actions are inconsistent with IEP objectives, including when the participant fails to follow through with a job referral. The notice or letter **must provide time frames** for the participant to respond to the sub grantee.

**(b) Additional State Criteria for IEP-Related Terminations**

The State criteria for IEP-related termination requests follow:

- (1) The sub grantee **must have developed a valid IEP** for the participant with the participant's input. Further, the participant must have agreed to the requirements of IEP.
- (2) The sub grantee **must submit copies of any documents** that describe or enumerate the participant's inability to meet the IEP objectives. **Copies of any corrective letters that were given to the participant should be included as attachments.** The documents should describe clearly what has happened and the steps the sub grantee took to help the participant to resolve the relevant IEP issues. All IEP progress reviews should be sent with the request.
- (3) The participant **must have been given sufficient time** to follow through with the actions and activities on the IEP. The state SCSEP Coordinator will review the information received to determine if the DOL and the State criteria were fulfilled and notify the sub grantee of a decision.

**(c) Corrective Action**

Corrective actions are taken to inform participants that they have not complied with one or more of the program requirements. A corrective action notice or letter is a document that is conveyed to the participant in person, if possible. The document contains information regarding a specific incident where the participant failed to fulfill his or her IEP responsibilities. The **corrective action notice must have** the following

components:

- (1) It **shall list the specific event.**
- (2) It **shall cite the jointly signed agreement provision.**
- (3) It **shall provide a period of 30 days** to allow the participant to take corrective action.

A corrective action notice or letter may be appropriate in the following situations **if the participant's performance** is inconsistent with the jointly signed IEP agreement.

**(1) Job Referrals**

A corrective action notice should be used when a participant refuses to accept a referral for an interview at an employer's workplace. However, the proposed job must be consistent with the participant's IEP.

**(2) Job Offers**

A sub grantee may terminate a participant if the participant refuses to accept a reasonable number of job offers to unsubsidized employment consistent with the IEP and there are no extenuating circumstances that would hinder the participant from moving to unsubsidized employment.

**Termination from program is a last resort.** It should be pursued only after all options have been exhausted, all events have been documented, and only after 30 days written notice has been given to the participant. The proper steps must be taken **before** asking the State to approve a termination.

**(d) Consider Extenuating Circumstances**

DOL clearly states that IEP-related terminations are **not** appropriate in the following cases:

- (1) When factors are not within the control of the participant

(e.g., when transportation is unavailable to an unsubsidized job or referral)

- (2) When the death of a closely related person or partner impacts the participant's training or work performance
- (3) When a physical condition adversely affects the participant's ability to complete training or a work assignment
- (4) When the training or unsubsidized job creates undue hardship by placing requirements on a participant that significantly exceed the requirements of his or her community service work training assignment
- (5) When the proposed unsubsidized position costs the participant more in terms of transportation, clothing, and other costs than the SCSEP position

**NOTE:** Other extenuating circumstances should be considered on a case-by-case basis.

The participant must be given 30 days' notice of termination. The participant must be provided a copy of the Grievance Policy upon termination from the program.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP)</b> <b>Orientation</b>	<b>DAAS-SCSEP -10.8</b>
<b>Effective Date: July 1, 2014</b>	

## H. Orientation

### 1. Purpose

The purpose of the orientation is to provide essential information that participants need to effectively fulfill their responsibilities while on their training assignments.

### 2. Requirements

The sub grantee's staff shall provide orientation to all new participants **before** they begin their training assignments. Because orientation is mandatory, participants **must** be compensated for their attendance.

### 3. Procedures

Orientation sessions shall be conducted during normal work hours and should include, but not be limited to, information concerning

- (a) The role of the sub grantee staff
- (b) SCSEP project goals and objectives
- (c) Participant rights and responsibilities; participant handbook
- (d) Training site information, including the following:
  - (1) Name of the agency
  - (2) The agency's address and directions to the location, if needed
  - (3) The training site supervisor's name
  - (4) A training plan with duties listed
  - (5) A work schedule (including hours and days);
- (e) Administrative procedures (including instructions on how to complete time sheets, request leave, etc.)



- (f) Policies on working hours, wages, and fringe benefits
- (g) Policies on leave and calling in sick
- (h) The Individual Employment Plan (IEP)
- (i) Training opportunities available through the project
- (j) Service plans in the IEP to assist in the participant's transition to unsubsidized employment
- (k) Available supportive services
- (l) Permitted and prohibited political activities
- (m) Safe working habits and conditions
- (n) Procedures for reporting accidents and handling emergencies
- (o) The Age Discrimination in Employment Act (ADEA);
- (p) The Americans with Disabilities Act of 1990
- (q) The Drug-Free Workplace Act of 1988
- (r) Grievance procedures

#### 4. **Orientation Checklist**

Participants must sign a copy of the Orientation Checklist to indicate that they have read received a satisfactory explanation of the material covered during the orientation. A copy of the form should be given to the participant and a copy placed in the participant's record.

#### 5. **Orientation to Host Agency**

An orientation on the materials listed in section (H)(3) above shall be provided by the sub grantee to the training site supervisor and any other staff involved with SCSEP participants. Each of these individuals should be **asked to sign an Orientation Checklist**. The form(s) should be placed in the Host Agency file.

#### 6. **Follow-Up Orientation Session for Participants**

The State **strongly recommends** that sub grantees offer participants a follow-up orientation session in a group setting during the first quarter of their enrollment.

This session will provide

- (a)** An in-depth review of the SCSEP
- (b)** An opportunity to discuss program goals
- (c)** A supplementary explanation of the funding relationships among the State, the U.S. Department of Labor, and the local SCSEP sub grantee;  
and
- (d)** An opportunity to answer questions and address issues that may have arisen.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP)</b> <b>Training Prior to Community Service Assignment</b>	<b>DAAS-SCSEP -10.9</b>
<b>Effective Date: July 1, 2014</b>	

## I. Training In Addition to the Community Service Assignment

### 1. Purpose

Sub grantees may arrange additional training for participants to prepare them for their community service assignments and eventually unsubsidized employment.

### 2. Procedures

Training may be provided through quarterly job clubs sessions, lectures, seminars, classroom or individual instruction, or through other employment and training programs. Programs such adult and vocational education are good local resources to consider.

Sub grantees are strongly encouraged to find training for participants at reduced or no cost to SCSEP through local community programs or WIA providers.

### 3. Goals for Training

Training enhances the over-all employability of the participant by including activities that teach skills beyond those that relate to a specific work task. Some training may assist participants to develop the interpersonal skills that are crucial for job success in today's workplace. Interpersonal skills training help participants to:

- Understand the complexities of interpersonal, group, and community relationships
- Learn what behaviors are appropriate in the workplace
- Develop the personal and social skills needed for successful job

performance

- Accept and use feedback from supervisors to improve job performance
- Learn communication skills to promote healthy relationships with coworkers; and
- Develop a sense of personal and occupational identity that will help them

SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Occupational and Other Skills Training	DAAS-SCSEP -10.10
Effective Date: July 1, 2014	

## J. Occupational and Other Skills Training

### 1. Purpose

Sub grantees may provide skills training to increase opportunities for participants to obtain unsubsidized employment. Training in job search techniques may be given to participants, **but participants may not be enrolled for the sole purpose of receiving job search training and job referral services.**

### 2. Procedures

Training programs should conform to the guidelines provided below.

- (a) The training must be realistic and consistent with the participant's IEP. The time frame and goals of the training should be described in the IEP and fully understood by the participant.
- (b) Participants should be assessed before they are placed in occupational skills training to ensure that they have the basic skills needed to complete the training. If participants lack basic skills, they should be referred to an appropriate literacy or basic education program.
- (c) Sub grantees should seek skills training through such sources as community colleges, WIA (formerly JTPA), and the Carl Perkins Vocational and Applied Technology Education Act. SCSEP funds should be used for training only when training or funding is not available through other sources.
- (d) Participants should be encouraged to obtain training from other sources on their own time. Self-development should be promoted with all

participants. Many community sources provide low- or no-cost instruction in occupational skills or personal development courses that can enhance a participant's employability.

- (e) Sub grantees shall evaluate all training provided to participants through input from employers, instructors, and participants, including participants who dropped out of the training.

### 3. Evaluation of Training

At a minimum, sub grantees should evaluate the training provided to participants with SCSEP funds in the following ways:

- (a) By **requesting information from the participants** on the teaching methods used, the content and amount of instructional material covered, and the adequacy of training setting;
- (b) By **asking for feedback from employers** who hire participants trained with SCSEP funds (Feedback should rate the former participants on the adequacy of their training, the level of their skills, and the quality of their work and indicate whether or not the employer would hire additional SCSEP workers); and
- (c) **By tracking the average starting wage of SCSEP participants**, their earnings gains, and their job retention rates.

Feedback from employers is particularly important when evaluating training. As technology creates jobs that require employees to have higher skill levels, knowledge of employer needs is crucial to training and curriculum design. To raise participant skills to the levels *required* for successful placements, programs must be aware of the needs of employers.

### 4. Reimbursement for Training

Participants may be reimbursed for documented tuition costs, training materials, and other related training costs such as travel costs when:

- (a) Efforts to obtain the training at no or low cost to the project have been unsuccessful
- (b) With approval from the State SCSEP Coordinator, sub grantee may request for such reimbursement as long as the policy applies equally to all participants; and
- (c) The training costs have been approved by the State in the sub grantee's budget or in writing

**5. Schedules for Participant Training**

Training for which participants will be reimbursed should be scheduled during normal business hours, if possible. This training may be conducted during the participant's normal work schedule. However, any training that participants are pursuing on their own that is not being reimbursed by SCSEP funds can be scheduled at their convenience. Sub grantees may change a participant's paid training schedule to accommodate un-reimbursed training that will enhance the participant's skills and potential for finding an unsubsidized job.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Supportive Services</b>	<b>DAAS-SCSEP -10.11</b>
<b>Effective Date: July 25, 2014</b>	

## **K. Supportive Services**

### **1. Purpose**

Sub grantees are required to assess all participants' need for supportive services and to make every effort to assist participants in obtaining needed supportive services. Supportive services includes but are not limited to providing directly or arranging for the payment of reasonable costs of temporary assistance, health and medical services, special job related and personal counseling, incidentals such as work shoes, badges, uniforms, eyeglasses; and tools; dependent care; housing, including temporary shelter; needs related payments; and follow-up services.

### **2. Components**

- (a)** Supportive services are funded through the Other Participant Costs (OPC) funding category. To the extent practicable, the sub grantee should arrange for the payment of these expenses from other resources.
- (b)** The need for any supportive services is to be consistent with and documented in the participants IEP and in case notes with appropriate supporting documentation (formal assessments, etc.) including the justification, cost and source of the service and the length of time the service for which the service is authorized.
- (c)** Sub grantees are to ensure participants understand that supportive services are not an entitlement for the length of participation.
- (d)** With the exception of temporary housing, all supportive services have a cap of \$75.00 per service. Any supportive service request by the



participant must be maintained in the participant's program file by completing the *Supportive Services Request Form*

- (e)** All supportive services are to be made available on an equitable basis to all participants within a sub grantee's area of service.
- (f)** To ensure successful placement, sub grantees recipients may provide supportive services to a participant placed in unsubsidized employment during the first 12 months of unsubsidized job placement to facilitate retention by determining if the individual has the necessary supportive services to remain in the job.

Supportive services may include, but are not limited to, all or some of the following:

- (i)** Counseling designed to assist participants with their community service training assignments and with obtaining unsubsidized employment
- (ii)** Counseling designed to assist participants with health and nutritional matters, Social Security, Medicare benefits, and laws regarding retirement
- (iii)** Providing incidentals such as work shoes, safety glasses, eyeglasses, and hand tools, if these items are required for participation on the program and are not available from local resources at no or low cost to the project (NOTE: Training sites should provide incidentals such as uniforms if participants are required to wear them.)
- (iv)** Instruction designed to help the participants in their community service training assignment
- (v)** Periodic meetings that provide information to participants concerning health, job seeking skills, safety, and consumer affairs
- (vi)** Dependent care
- (vii)** Housing, including temporary shelter and needs based payments (assistance with temporary housing will need to be given in writing for

approval by the state)

(viii) Follow-up services

### 3. **Temporary Transportation Assistance**

Reasonable costs of temporary transportation assistance are provided. Each situation is assessed for appropriateness by the sub grantee.

#### (a) **Unallowable Travel Costs**

Sub grantees do **not** reimburse a participant for the cost traveling between home and the work-training site.

#### (b) **Allowable Travel Costs**

Sub grantees are authorized to provide transportation assistance:

- (1) When the participant is assigned **administrative duties for the sub grantee and travel is required** to fulfill these duties; or
- (2) When **a participant cannot attend meetings because public transportation is unavailable or inadequate.**

In situation (1) above, the participant must be reimbursed for job-related travel in his or her privately-owned vehicle at the same rate received by other members of the sub grantee's administrative staff. The reimbursement may **not** exceed the current federally or state authorized rate per mile.

Mileage reimbursement claims for participants in administrative positions must be documented in the same manner that they are documented for administrative staff members. If participants in administrative positions are required to carry additional liability coverage over and above the minimum liability coverage required by applicable State laws to conform to Federal contract requirements, they should be reimbursed for the additional premium cost. Documentation of the additional cost should be obtained by the sub grantee.

#### 4. Resources

Sub grantees may use supportive services available under other titles of the Older Americans Act (OAA), particularly those administered by DAAS and other community organizations. Additional resources in the local community may include:

- (a) Job-seeking assistance and job referrals from state employment service/one-stop centers
- (b) Counseling from mental health centers or family services
- (c) Housing assistance from housing agencies
- (d) Food stamps and emergency assistance from welfare agencies and social service programs
- (e) Financial counseling from non-profit agencies established to help people cope with high debts and financial emergencies
- (f) Nutrition Programs
- (g) Senior RX or Disability RX
- (h) State Health Insurance Program (SHIP)
- (i) Taxi Vouchers (for Job Club meetings and Trainings ONLY)
- (j) Aging and Disability Resource Centers ([www.ncdhhs.gov/aging/](http://www.ncdhhs.gov/aging/))

#### 5. Referral Follow-Up

The Program Manager or designee is **required to follow-up on referrals** to ensure that the participant actually receives assistance from the referral agency. The findings of the follow-up contacts should be recorded on the participant's IEP.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Training Sites/Host Agencies</b>	<b>DAAS-SCSEP -10.12</b>
<b>Effective Date: July 1, 2014</b>	

## L. Training Sites/Host Agencies

### 1. Definition of a Training Site

A training site is a public agency or a private 501 (c) (3) non-profit organization that provides training that will enhance the participant’s skills and abilities, provide adequate supervision, and a safe work environment. A training site is referred to as a host agency or host site.

### 2. Organizations Eligible to a Training Site

(a) Sub grantees may use **Federal, State, and local public agencies** as training sites for SCSEP participants. These public agencies may include, but are not limited to:

- (1) Health departments, community mental health centers, and community hospitals
- (2) Welfare departments, child and youth services, and adult services
- (3) State employment security offices, vocational counseling and rehabilitation and social services
- (4) Public schools and adult education programs
- (5) Recreation departments, community development agencies, and housing authorities
- (6) Police departments, juvenile courts, and circuit courts
- (7) Federal agencies in local communities, extension services, and local tribal government agencies

(b) Sub grantees may use **non-profit organizations** as training sites if they:

- (1) Are recognized by the Internal Revenue Service (IRS) as meeting the requirements of Section 501(c)(3) of the Internal Revenue Code of 1986 that exempts the organization from taxation
- (2) Are not a political party; and
- (3) Do not occupy a facility that is used or will be used as a place for sectarian religious instruction or worship.

**The sub grantee must obtain a copy of the IRS letter that grants the prospective non-profit training organization 501(c) (3) status.**

### **3. Training Site Application**

Each agency interested in becoming a training site must provide pertinent information about the agency and its funding sources.

The sub grantee will review the information in the Site Agreement to determine if the organization meets the eligibility factors and if the site is appropriate for training older adults. The sub grantee should use the criteria listed in section 4(b) below to ensure that a diverse and high quality mix of training opportunities are available to SCSEP participants.

### **4. Selection of Training Sites**

#### **(a) Purpose**

Projects should recruit a number of training sites to ensure a variety of skills training and work experience opportunities for participants. When training sites are distributed among public agencies and non-profit organizations, the community benefits more fully from the diverse backgrounds and skills participants bring to a project.

#### **(b) Criteria for Selection**

The following factors must be considered in the recruitment and selection of training sites:

- (1) Commitment to the goals and objectives of the SCSEP
- (2) Eligibility status of the agency or organization

- (3) Types of organizations available in the community for good project balance -Will the organizations selected concentrate training opportunities in only one or two service sectors? If so, consider additional organizations that provide other types of services.
- (4) Type of job training the site can provide for program participants' -Is the training meaningful? Do they offer opportunities for participants to enhance their occupational and interpersonal skills and be transitioned into unsubsidized employment?
- (5) Training capacity of the organization or agency -Will the participants receive the type of training that is needed for them to be competitive in the local job market?
- (6) Capacity of the training site staff to supervise participant's -Will participants receive adequate supervision and encouragement?
- (7) Attitudes of the training site staff about individual employment plans (IEP), reassignments, transfers and unsubsidized placements of participant's -Will the staff encourage participants to accept new training assignments or placements in private-sector jobs?
- (8) Potential for permanent employment of the participant at the training site -Will the training sites consider the participant for a permanent placement with their agency? Will the organization seek additional funds to hire a participant?
- (9) Role of the participant within the agency -Will the participant be given the same consideration and treatment as other staff members?
- (10) Willingness to complete necessary paperwork -Will the training site staff submit the required forms and reports in a timely manner, e.g. timesheets, participant evaluations?
- (11) Willingness to prepare a comprehensive training plan -Will the

training site supervisor be willing to renegotiate the job description when the participant learns new skills or is ready to handle new duties?

- (12) Ability of the organization to provide a safe working environment with adequate space and equipment for the participant to do the job -Is the work area clean, obstacle free and orderly
- (13) Willingness of the organization to allow time for participants and supervisors to attend mandatory SCSEP training meetings -Are they willing to provide transportation assistance if needed?
- (14) Willingness to sign the Host Agency Agreement -Will the training organization staff agrees to support the participant's work experience and employment goals?

## 5. Responsibilities of the Host Agency

Training sites **must**:

- (a) Develop a *Training Plan* jointly with the sub grantee for each participant
- (b) Meet all Maintenance of Effort requirements (see Section O for these requirements)
- (c) Consider participants for every training opportunity for which they qualify and employ them in their current positions (or similar ones) when funds become available
- (d) Encourage and assist participants with their ongoing job searches
- (e) Actively support the participant's individual employment plan (IEP) goals
- (f) Provide orientation to the training site, its activities, and the participant's day-to-day responsibilities
- (g) Provide a copy of the *Training Plan* to the participant and the participant's supervisor before the assignment begins or by the first day of work
- (h) Provide supervision and training as outlined in the training plan
- (i) Permit the participant to attend required meetings and training provided by the SCSEP agency and, when practical, furnish transportation to these

meetings

- (j) Make no changes in a participant's work schedule, tasks, supervisor, place of work, or status without notifying and receiving approval from the SCSEP sub grantee
- (k) Report to the SCSEP staff any difficulties that cannot be satisfactorily resolved or which could hinder completion of the training plan
- (l) Assist the monitoring and evaluation processes by conferring with the project monitor during site visits or contacts
- (m) Furnish any tools, equipment, or supplies required by the participant to perform training assignments;
- (n) Provide the SCSEP program with time and attendance records, activity reports/evaluations, and accurate in-kind contribution records on a timely basis
- (o) Provide safe, sanitary, and drug-free working conditions and any necessary employee liability coverage to the extent required by law and complies with Section 504 of the Rehabilitation Act of 1973
- (p) Report all on-the-job accidents by calling the SCSEP agency staff within 24 hours of the incident
- (q) Complete a supervisor's accident report and provide requested follow-up information and reports
- (r) Ensure that participants work no more than the total number of hours authorized by the SCSEP agency (Volunteer or over-time hours are prohibited. If hours in excess of authorized hours are worked, whether requested by the agency or volunteered by the participant, the Host Agency will be in breach of contract.)
- (s) Attend annual training of supervisors' meetings as scheduled by the SCSEP agency;
- (t) Not displace any current employee or volunteer with a participant, or assign a participant to perform the tasks of an employee on layoff, or replace a Federal or state funded position (other than SCSEP) with a participant



- (u) Prohibit discrimination on the basis of race, color, religion, sex, national origin, handicap, age, political affiliation or opinion, or ancestry
- (v) Ensure compliance with the nepotism policy mandated by the SCSEP
- (w) Not allow participants to be involved in any activity that could be construed as political in nature or that will benefit any private profit-making firm or any organization that maintains, operates, or constructs any facility used as a place for sectarian religious instruction or worship
- (x) Support transfers to other sites that will provide participants with new opportunities to upgrade skills and achieve their goals

The sub grantee should discuss these responsibilities thoroughly with the Host Agency **before** completing the Host Agency Agreement.

## 6. Host Agency Agreement

### (a) Purpose

The purpose of the host agency agreement is to clarify the responsibilities of both the training site agency and the sub grantee. The agreement describes how the two organizations will work together to support the goals and objectives of the SCSEP project and the participant.

### (b) Requirements

**All participating Host Agency must complete and sign a Host Agency Agreement.** The agency's Executive Director or a person in a corresponding position must sign the agreement annually. The original is retained by the sub grantee and the training site agency is given a copy for its files.

No Host Agency Agreement may be negotiated for a period exceeding the ending date of the sub grantee's grant period. The agreement must be renewed at the start of a new grant period. For example, for program grant period that ends June 30, the Host Agency agreement must be renewed prior to July 1. (All sub-grantees will renew Host Agency Agreements during the month of May or June)

**7. Location of the Training Site**

**The sub grantee must assign participants to training sites in or near the communities where they reside.** Whenever possible, training site assignments should be offered within the service area of the sponsoring organization. If no training sites are available in the local community, opportunities may be sought in contiguous communities, including across State lines where employment centers exist. These sites must be within a reasonable distance from the participant's residence.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP)</b>	<b>DAAS-SCSEP -10.13</b>
<b>Host Agency</b>	
<b>Effective Date: July 1, 2014</b>	

## **M. Host Agency**

### **1. Purpose**

The purpose of the training aspect of the SCSEP is to prepare participants for unsubsidized employment while providing services to the community either through the expansion of existing services or the establishment of new ones.

### **2. Requirements**

**Allowable host agency assignments** include:

- (a)** Positions developed and supervised by the sub grantee and
- (b)** Positions established in consultation with an eligible host agency which will be supervised by the staff of the training site agency.

All host agency assignments must be developed with regard to the participant's skills, abilities, and interests and with the intent of preparing the participant for an unsubsidized employment position.

### **3. Limitations on Training Site Assignments**

**Priority** should be given to training site assignments which

- (a) Deliver services** to the low-income elderly and the elderly in general, or
- (b) services to the economically disadvantaged** in the local community
- (c)** To support **SCSEP's objective to promote community service**, priority should be given to training assignments where participants are delivering services directly to the community rather than clerical, maintenance, or other support roles.

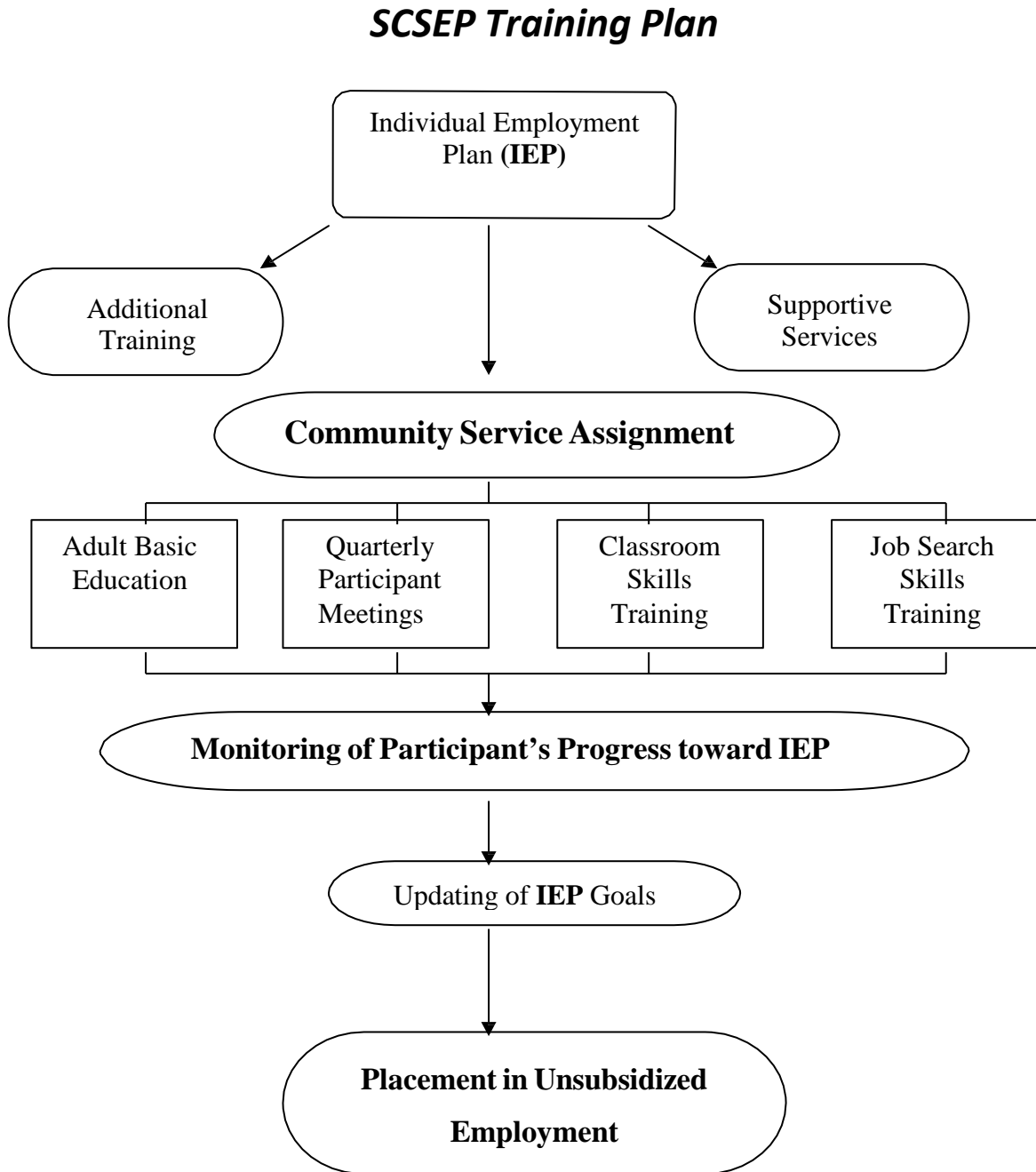
#### **4. Evaluation Criteria**

Training site assignments should be evaluated using the following criteria:

- (a)** The appropriateness of the Training Plan with respect to the participant's skills, abilities, and interests
- (b)** The contribution the assignment will make to the development of the participant's occupational skills
- (c)** The likelihood that the participant will obtain unsubsidized employment after a reasonable period of time on the training assignment
- (d)** The amount and level of training be provided by the training agency staff
- (e)** The opportunities the assignment will provide for career advancement
- (f)** The innovative nature of the services be offered
- (g)** Does the training assignment support community service
- (h)** Utilize LMI in selecting host agency that will prepare participants for in-demand industries and occupations

**5. Diagram of SCSEP Job Training Process**

A flow chart of the SCSEP training process follows.



SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Training Plan	DAAS-SCSEP -10.14
Effective Date: July 1, 2014	

## N. Training Plan

### 1. Purpose

The participant's IEP should be the basis for the training assignment. With input from the participant, the sub grantee and the host agency should work together to develop a Training Plan that will result in the most effective use of the participant's interests, skills, and abilities. The Training Plan is comparable to a job description.

### 2. Requirements

The Training Plan must be explained during orientation and completed before a participant begins his or her training assignment. The *Training Plan* **must** contain the following:

- (a) A **summary** that clearly states the expected outcome of the training assignment
- (b) A **list of the tasks** required by the training assignment written in measurable terms so the participant's work performance can be assessed
- (c) A **description of the tasks** the participant needs to complete and the skills the participants must develop to be competitive in the private sector job market (This description should be based on the participant's employment goal and should be in the standard terminology used in the workplace)
- (d) A **description of the orientation** and the on-site **training** the participant will receive

**(e) A plan for reviewing and updating the description** as the participant develops new skills and is given increased responsibilities

The sub grantee staff **shall monitor** Training Plan **on an ongoing basis** and update them as needed.

### **3. Limitations on Host Agency Assignments**

Sub grantees' training site assignments are limited in the following ways:

- (a)** Participants may not be assigned to projects involving the construction, operation, or maintenance of any facility used or to be used as a place for sectarian religious instruction or worship.
- (b)** Participants may not work on projects, which primarily benefit private, profit-making businesses except in cases where the participant is on a 502(e) project.



<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP)</b> <b>Maintenance of Effort Requirements</b>	<b>DAAS-SCSEP -10.15</b>
<b>Effective Date: July 1, 2014</b>	

## O. Maintenance of Effort Requirements

Employment of participants funded under this project should be only in addition to employment that would otherwise be funded by the sub grantee or training site without SCSEP assistance. All activities funded under the project:

- (a) Should result in an increase of employment opportunities in addition to those that would otherwise be available. Must not reduce the number of employment opportunities or vacancies that would otherwise be available to individuals not participating in the program.
- (b) Shall not result in the displacement of currently employed workers, including partial displacements such as reductions in hours of non- overtime work, wages, or employment benefits.
- (c) Shall not employ or continue to employ any participant to perform work the same or substantially the same as that performed by any other person who is on layoff.
- (d) Shall not impair existing contracts for services or result in substitution of Federal funds and other funds in connection with work that would otherwise be performed; and
- (e) Shall not substitute SCSEP jobs for existing Federal or state assisted jobs. The training site supervisor **must sign the Host Agency Agreement** asserting that the training position provides a new or expanded service and is not in violation of the Maintenance of Effort policy established by the U.S. Department of Labor.

<b>SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)</b> <b>Community Service Work Training</b>	<b>DAAS-SCSEP -10.16</b>
<b>Effective Date: July 1, 2014</b>	

## **P. Community Service Work Training Assignments**

### **1. Maximum Hours of Work**

Each participant shall be given a work schedule, and it must be followed. A copy of the work schedule shall be placed in the participant’s file.

Participants will be assigned to community service training between 18-22 hours .However, the sub grantee may temporarily increase decrease participant hours, if necessary. Participants must understand that the change in hours is a temporary situation.

**A participant may not volunteer to do work at a training site. A participant also may not get paid to work hours beyond their regular work schedule, without approval of the sub grantee SESEP staff**

### **2. Compensation**

SCSEP is a work-training program and wages are fixed at the minimum wage level: whichever is higher of the State or Federal current minimum wage. This amount is not subject to change based on individual performance or training assignment.

### **3. Supervision of the Training Site**

Supervision of SCSEP participants is a fundamental responsibility of the

training site supervisory staff. Host agency must provide the participant with adequate orientation and instruction about job responsibilities and safe work habits.

Supervision shall be provided on a daily basis. Further, SCSEP participants shall receive supervision and training at the same rate (more frequently if necessary) as regular employees who perform comparable jobs. **Ensuring adequate and effective supervision is one of the sub grantee's monitoring responsibilities.**

#### **4. Participant Attendance at Host Agency Staff Meetings**

Sub grantees should encourage training site agencies to include SCSEP participants in their regular staff meetings. This practice allows participants to learn about agency-initiated projects and to actively participate with other employees on these projects. In addition, it gives the employees of the training site agency an opportunity to get to know the SCSEP participants and accept them as coworkers.

#### **5. Duration of Enrollment**

##### **Individual Durational Limit**

The DAAS has implemented a durational limit policy that adopts the 48 month limit on all participants with the possibility of a waiver for a least one or more of the qualifying factors. The clock for this measurement started on July 1, 2007. A participants' prior time in the project does not count. The sub grantee must terminate any participant who reaches the 48 month durational limit, unless a waiver is in place. NOTE: Participants are not automatically entitled to remain in the program for 48 months.

***SCSEP participants are encouraged to complete their job readiness training and obtain unsubsidized employment within 27 months or less of enrollment in the program or as soon as they become job ready in order for the sub grantee to meet the Average Project Durational Limit of 27 months.*** The Individual Employment Plan (IEP) will address individual goals and timelines for obtaining

unsubsidized employment.

Participants will be provided a copy of the SCSEP Individual Participant Durational Limit Policy during orientation and annually at recertification. The host site agency will be provided a copy of the SCSEP Individual Participant Durational Limit Policy during orientation and with the host site agreement. The participant and the host site supervisor will sign the orientation checklist received and read the policy.

Active participation in the regular SCSEP funded programs will count toward the individual durational limit. Approved breaks will not be counted toward the individual's durational limit.

The SCSEP sub grantee will track individual participation and notify participants in writing when they are within 12 months of reaching their individual 48 month durational limit. To qualify for a waiver, at least one of the following factors must apply to the participant and be documented in the program year in which the 48 month limit is reached and be verified by local, state and regional SCSEP staff:

- Severe disability (If the state SCSEP coordinator applies for an IDL waiver with the DOL, the sub-grantee may qualify a participant under the waiver)
- Frail
- 75 years of age or older
- Low literacy skills
- Old enough for, but not receiving Social Security Title II
- Severely limited employment prospects in a county of persistent unemployment
- Limited English proficiency

SCSEP participants who have reached their 48 month durational limit and are not eligible to apply for a waiver or who have been denied a waiver will be terminated from the program with 30 days written notice. Any relevant documentation will be placed in the participants file.

To ensure that participants maximize their accomplishments while in SCSEP, the

participant will be assessed every 6 months to ascertain job readiness, to identify barriers to gaining employment and to identify additional training and supportive services needed. The participant will be enrolled in training programs to enhance current skills or help them attain new job skills. The participant may be transferred to a new host site if there is the potential for new work skills to be obtained. The Individual Employment Plan (IEP) will be updated and goals and timelines reevaluated at least every 6 months.

If employment is not attained before 42 months of SCSEP participation, in the 42nd month, the sub grantee staff and the participant will develop an exit transition IEP that will plot the participant's exit strategies. The Exit Transition IEP will include the following service from the SCSEP sub grantee staff:

- Assist participants with resumes, interview skills, referral to job openings and job fairs and the utilization of the computer learning center to assist participants in job search to help them gain employment using various career and job resources. Identify supportive services that will aid the participant in their transition out of SCSEP, e.g. subsidized housing, energy assistance, food stamps, SSI and Medicaid.
- Assist participant if requested, to developing a Post-SCSEP budget that does not include SCSEP wages.
- Referral as appropriate to North Carolina's Job Connect "One Stop" centers, other Workforce Investment Act partners and other organizations that will help them in their transition out of SCSEP but remain active and maintain connectivity to the community, e.g. Senior Companion, AmeriCorps, American Red Cross, Volunteers of America.
- With the permission of the participant, alert the participant personal support system, e.g. family, case workers, to their loss of income from SCSEP and increased need for support.

Participants will minimally receive notification letters that they are approaching the end of their four years/48 months on SCSEP project staff, 90 days before the time limit is reached and 30 calendar days termination notice before the four year time limit is reached.

## 6. Operating Motor Vehicles for the Training Site Agency

### a. Requirements

Only staff members are allowed to operate a motor vehicle.

### b. Driving

Under most circumstances, participants are not allowed to drive their vehicle as a part of host agency duties. However, a participant may drive a vehicle belonging to the host agency if it is listed as a duty on the *Training Plan*, and has been approved by the SCSEP program staff, and is covered by the host agency's insurance policy. No participant may provide any "incidental driving" for the host agency (i.e., driving two blocks to the post office, driving a few blocks to pick up lunch, etc.) at any time.

If a host agency has participants who are authorized to drive as a part of their *Training Plan*, the host agency is responsible for collecting and maintaining all necessary paperwork for the participant who is driving. This may include the following documents: agreement of continuous liability coverage (\$100,000/\$300,000), agency insurance information, insurance declaration pages, official driving record of the participant, and a copy of the participant's valid driver's license. The host agency should consult its insurance agency to confirm what documentation is necessary to minimize its liability in the case of accident.

SCSEP is in no way liable for participants who drive for the host agency.

<b>ENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP)</b> <b>Monitoring of Training Sites</b>	<b>DAAS-SCSEP -10.17</b>
<b>Effective Date: July 1, 2014</b>	

## Q. Monitoring of Training Sites

### 1. Requirements

Sub grantees must visit training sites **at least annually**. A **written summary** of each monitoring visit **must be prepared** by the sub-grantee by completing a host agency monitoring form.

Staff should discuss the following items with the participant and his or her supervisor during the monitoring visits:

- (a) **Participant's duties** - review the training description as outlined in the Training Plan and compare the tasks the participant is actually doing
- (b) **Supervision** - evaluates the supervision the participant receives to determine if is appropriate considering the participant's abilities and assigned tasks
- (c) **Participant's development** - review the progress the participant has made on the IEP action steps
- (d) **Training** - review the training the participant has received since the last visit and identify additional training needs
- (e) **Safety factors** - review the steps taken to ensure participant safety
- (f) **Supportive services** - identify and/or review any supportive services the participant needs or receives
- (g) **Additional factors** - identify any issues that have arisen for the participant or the supervisor since the last monitoring visit

### 2. Safe Working Conditions

The Older Americans Act and Federal regulations require that SCSEP sponsors

create and maintain safe working conditions for participants.

**a. Sub grantee Responsibilities for Safety**

To ensure participant safety, sub grantees must:

- (1) Conduct a safety review of each new training site and at least once a year thereafter
- (2) Conduct a safety review each time a new SCSEP participant is assigned to the training site by completing the safety monitoring report
- (3) Provide training to participants on safe work practices and encourage them to use these practices at all times at their training sites
- (4) Advise participants to report unsafe work conditions to their supervisors for corrective action
- (5) Encourage participants to report unsafe conditions that have **not** been corrected to the SCSEP monitor
- (6) Promptly follow up with the training site supervisor to resolve any unsafe or unhealthy conditions;
- (7) Provide accident report forms to all training sites and review the form with participants and training site supervisors to ensure that they know how to complete them
- (8) Keep a copy of all accident reports
- (9) Use the Host Agency Safety Checklist (see Appendix A) for the annual safety review and file the checklist in the training site record.
- (10) Follow up on all corrective actions that need to be taken as identified in the annual review.

**b. Responsibilities of Training Sites for Safe Workplaces**

To provide a safe place for each participant to work, the training site must

- (1) Promptly correct any unsafe working area or unhealthy condition



that a participant is exposed to

- (2) Immediately report any accident or injury that involves an SCSEP participant to the SESEP staff (e.g.: Failure to report a participant's accident or injury may make the training site ineligible for continued participation in the SCSEP)
- (3) Promptly prepare a written accident report and send it to the Program Manager
- (4) Include all SCSEP participants in any safety training given to regular staff members' - especially training on how to use safety equipment, first aid kits, and fire extinguisher.

### **3. Monitoring Documentation**

#### **(a) SCSEP Monitor Report**

The Host Agency Monitoring Report should be completed annually following the visit. Items needing follow-up should be noted.

#### **Evaluation Form**

The effectiveness of the training site should be assessed annually. The Supervisor Evaluation Form should be used to document the Host Agency Supervisor's Evaluation on participant. Supervisor evaluation can assess the amount and quality of supervision and training participants receive, the efforts the site makes for participant development, and the training site's commitment to participants and SCSEP project goals.

### **4. Host Agency Rotations**

Participant growth and development is the primary focus of the community service assignment. The probability that a participant will be placed in an unsubsidized employment position decreases, however, as a participant remains in a training position beyond an appropriate time period.

Host Agency monitoring visits should identify participants who can increase their chances for unsubsidized employment through a new training assignment. A

host agency transfer can provide the participant with opportunities to learn new skills and can create new possibilities for unsubsidized employment.

A host agency transfer should be the result of a careful evaluation of the participant's progress.

(a) **Factors to Consider**

The training site monitor is responsible for assessing the participant's progress at the training site and making recommendations about training site transfers. The following factors should be evaluated:

- (1) The requirements of the participant's training assignment
- (2) The training being provided to the participant
- (3) The level of the participant's skills and abilities
- (4) The possibility of upgrading the participant's assignment at the current site
- (5) The participant's general job performance, age, and health
- (6) The location of the host agency in relationship to the participant's residence
- (7) The participant's progress toward meeting his or her IEP goals
- (8) The amount of support and encouragement provided by the host agency supervisor to motivate the participant to reach his or her training and employment objectives
- (9) The possibility that the host agency will hire the participant
- (10) The possibility of additional training at the current host agency

After evaluating these factors and discussing the suitability of the current training assignment with the participant and the training site supervisor, the SCSEP staff will prepare a report that should include a recommendation that the participant either remain in the current

assignment, be upgraded at the current training site, or be transferred to another training assignment.

**(b) Implementing a Host Agency Transfer**

When a training site transfer is approved, the following procedures apply:

- (1) The participant and the training site shall be notified in writing at least 30 days prior to the transfer
- (2) All objections to the transfer must be made in writing before the date of the transfer. The objection and other related materials should be sent to the SCSEP staff.
- (3) SCSEP staff must identify new training sites that are within a reasonable driving distance of the participant's home. New training sites must offer increased opportunities for skills development and unsubsidized employment.
- (4) SCSEP staff will schedule a conference with the participant to determine the most suitable training site and a tentative date for the transfer.
- (5) SCSEP staff shall notify the participant's existing training and the new training site of the transfer date.
- (6) Documentation of the transfer should be filed in the participant's record.
- (7) Project staff and the new training site supervisor will provide the participant with an orientation to the new work training assignment.
- (8) To facilitate a smooth transition from one training site to another, additional support services or referrals to other community agencies should be provided when needed.
- (9) A new SCSEP Community Service Assignment Form is completed.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP)</b> <b>Participant Status, Wages, and Fringe Benefits</b>	<b>DAAS-SCSEP -10.18</b>
<b>Effective Date: July 1, 2014</b>	

## R. Participant Status, Wages, and Fringe Benefits

### 1. Status of Participants

Individuals who participate on any SCSEP project funded by Title V of the Older Americans Act (OAA) are not Federal, State, County employees or employees of the organization including host agency at any time during their program participation.

### 2. Wages Paid to Participants Attending Orientation or Training

SCSEP participants attending orientation or training shall be paid the Federal, State, or local minimum wage, whichever is higher.

### 3. Wages Paid for Work on Community Service Training Assignments

While engaged in productive, part-time community service work under the project, SCSEP participants shall receive wages at a rate no less than the highest of the following:

- (a) The current minimum wage as established by the Fair Labor Standards Act, as amended
- (b) The State or local minimum wage for the most nearly comparable covered employment
- (c) The prevailing rate of pay for persons employed in similar occupations by the local project sponsor

**NOTE: Minimum wage must be implemented when it occurs (do not wait until the new grant year).**

#### 4. Fringe Benefits

Fringe benefits shall be administered uniformly to all participants within a project.

##### (a) Required Benefits

Fringe benefits that must be provided to participants employed under a project shall include:

- All fringe benefits required by law and by Federal regulations, e.g. FICA
- Physical examinations; and
- Workers' compensation coverage.

A discussion of physical assessment and workers' compensation coverage follows.

##### (1) Physical Examinations

A physical exam shall be offered to each participant annually. The physical assessment is a fringe benefit, not an eligibility factor. The examining physician shall provide, to the participant only, a written report of the results of the assessment. If the participant offers to provide a copy of the report to the sub grantee, they will decline the offer. The sub grantee is not entitled to a copy of the results of the physical and should not maintain a copy in the participant's files. The results are the property of the participant only

**Physical Exam Waiver:** A participant may refuse the physical exam. **The sub grantee must document the refusal with a signed waiver.** The waiver must be signed within 60 work days after the participant begins a community service assignment. Participants may refuse subsequent annual exams, but **a signed waiver must**

**document each refusal.** A copy of the waiver shall be placed in a separate file.

**(2) Workers' Compensation**

Sub grantees shall provide workers' compensation coverage for participants.

**(b) Allowable Benefits**

The following fringe benefits shall be administered uniformly to all participants:

- If the participant is to be out due to health reasons or other personal reasons for longer than 3 days, the sub grantee may place the participant on approved leave. The leave will be documented in the case notes and into the appropriate fields in SPARQ. If the participant is out for 3 days or longer, the sub grantees may require a doctor's note indicating that the participant is able to return to the training site.
- Sub grantees must provide compensation uniformly to participants for recognized federal holidays only if the Host Agency is closed on these federal holidays **AND** the participant is scheduled to work. The federal recognized holidays include:
  - New Year's Day
  - Martin Luther King
  - Presidents Day
  - Memorial Day
  - Independence Day
  - Labor Day
  - Columbus Day
  - Veterans Day
  - Thanksgiving Day

- Christmas Day

If the host agency is closed on additional holidays (e.g. the day after Thanksgiving), the participant shall have the opportunity to make up those hours.

In the event a host agency cannot accommodate the participants rescheduled holiday hours, the sub grantee is to arrange for approved activities for the participant that is consistent with their IEP. These activities are to be added to the IEP and noted in case notes.

All holiday hours must be accounted for within the pay period for which the holiday takes place.

- Leave without pay (Approved break)

#### **Approved Break Policy**

Leave without pay, of no more than two weeks, will be granted to a participant if requested. The participant's community service assignment slot will be held open until their approved break ends. There is no guarantee that the participant will be placed back with the same host site agency. An approved break is to be documented in detail in the participant's file, case notes and entered into their IEP into SPARQ.

The sub grantee will place an individual on the program waiting list if the break is longer than two weeks. Exceptions will be made for those providing proof of illness or care giving in accordance with the Family Medical Leave Act.

Sub grantee staff will obtain appropriate return to work documentation prior to the participants return to the community service assignment if the break is due to illness. The documentation is to be part of the participant's permanent file and noted in case notes that it was receive.



<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP)</b> <b>Placement into Unsubsidized Employment</b>	<b>DAAS-SCSEP -10.19</b>
<b>Effective Date: July 1, 2014</b>	

## **S. Placement into Unsubsidized Employment**

The State requires sub grantees to work diligently to help job-ready participants find jobs in the private and public sectors. Diligent action helps participants with career advancement and increases the number of individuals who may be enrolled and served by the program.

### **1. Counting Entered Employment**

The Common Measure entered employment requires that the former participant have earnings in the first quarter after the quarter of exit to be counted as an unsubsidized employment placement.

For the purposes of the data collection system and performance measures, a quarter always means a calendar quarter: July 1-September 30; October 1-December 31; January 1-March 31; and April 1-June 30. The Common Measures refer to the employment quarter the quarter after the participant exits.

### **2. Entered Unsubsidized Employment Goal**

The State of North Carolina negotiates the Entered Unsubsidized Employment goal annually with Department of Labor staff. If a sub grantee does not reach at least 90 percent of the negotiated goal during an annual program performance period, the sub grantee shall submit a plan for corrective action. The plan must clearly describe the steps that will be taken to ensure that the goal will be met in the future.

### **3. Methods to Achieve Entered Employment Goal**

Sub grantees may use the following methods to reach the placement goal:

- (a)** Contacting or networking with private or public employers for the purpose of job development

- (b) Encouraging Host Agency to hire participants as regular employees
- (c) Providing assistance to participants seeking unsubsidized employment through job search skills training, job clubs, and job referrals, and by arranging job interviews.
- (d) Coordinating with State employment agencies/Job Service offices, WIA providers, one-stop career centers, and other employment and training programs
- (e) Reaching out to the employment community through advisory councils, public service announcements, flyers, brochures, and hot lines

#### **4. Recording Unsubsidized Employment Placements**

An unsubsidized employment placement must be reported on the Unsubsidized Employment Form and entered into SPARQ.

The sub grantee shall use the Unsubsidized Employment Form to record placement information. The Unsubsidized Employment Form is located in Appendix A.

If a participant is placed after he she is terminated, the placement may be counted by the project if the placement occurred within 90 days of the termination and if the placement can be attributed to assistance the individual received from SCSEP. For instance, if a former participant received job seeking skills training and then finds a job, the placement can be counted by the sub grantee.

However, if the former participant cannot be confirmed as still employed after 30 calendar days, the placement should be reported as *other terminations* in the current quarter. If the former participant can be confirmed in the subsequent quarter as still employed after 30 calendar days, the placement may be counted on that quarterly report.

**5. Unsubsidized Employment Employer Satisfaction Surveys and Follow Up**

Unsubsidized employment Employer Satisfaction Surveys and Follow ups are required to ensure the success of the placement to obtain information to measure achievement of the negotiated goals for retention, average earnings and retention at 1 year.

**SCSEP Follow-up Policies and Procedures**

Three required follow-ups are to be conducted. Results of the follow-ups are to be recorded in the SCSEP Performance and Results Quarterly System (SPARQ). Each follow-up must be completed in the program year in which the reporting quarter falls.

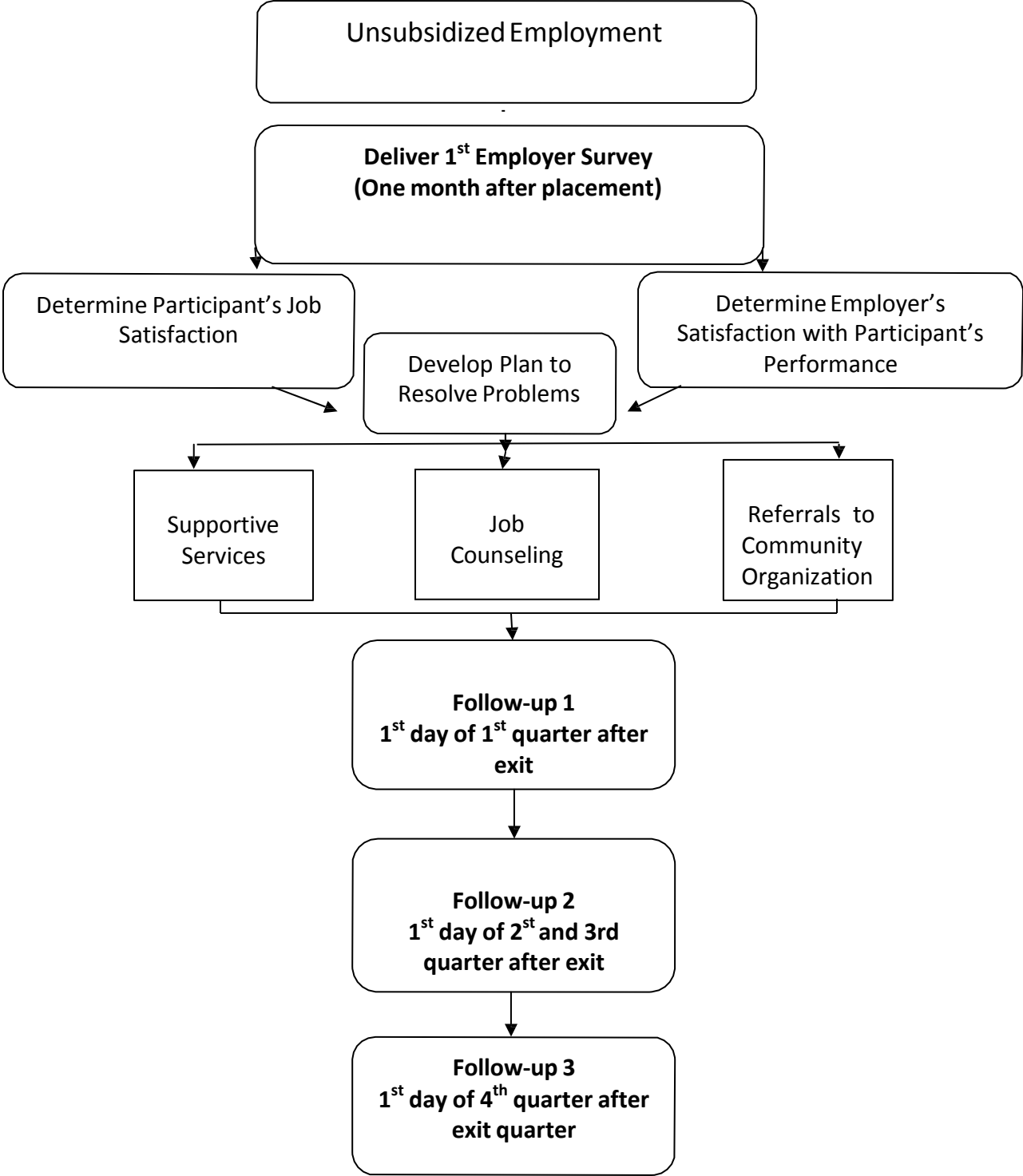
<b>Follow-Up</b>	<b>Captures "Common Measure data for</b>	<b>Activity Period Covered</b>	<b>Reporting Period Covered</b>	<b>Scheduled Follow-Up date</b>
1	Entered Employment	1 <sup>st</sup> quarter after exit	1 <sup>st</sup> quarter after exit quarter	1 <sup>st</sup> day of 1 <sup>st</sup> quarter after exit quarter
2	Retention and Average Earnings	2 <sup>nd</sup> and 3 <sup>rd</sup> quarter after exit quarter	4 <sup>th</sup> quarter after exit quarter	1 <sup>st</sup> day of 2 <sup>nd</sup> and 3 <sup>rd</sup> quarter after exit quarter
3	Retention at 1 Year	4 <sup>th</sup> quarter after exit quarter	4 <sup>th</sup> quarter after exit quarter	1 <sup>st</sup> day of 4 <sup>th</sup> quarter after exit quarter

Regular follow-up can identify problems and give staff an opportunity to initiate actions to deal with them before a former participant is terminated or leaves a job.

Follow-up contacts may be made by telephone, mail, or personal visit. During the follow-up contact, the Program Manager or designee should:

- (a)** Determine if both the former participant and the employer are satisfied with the placement
- (b)** Identify any current or potential problem that could result in a termination of the former participant; and
- (c)** Offer job counseling or referrals to community agencies, when appropriate, to resolve any issues
- (d)** The SCSEP Unsubsidized Employment Follow-Up form and case notes should be used to document follow-up contacts. (See Appendix A for a copy of the form.)
- (e)** Follow-up activities must be properly documented in the participants file.
- (f)** Official records that establish that any wages were earned by the participant, including but not limited to:
  - 1. Written statement of earnings from the employer; or pay stubs  
Signed self-attestation, if employer has not provided information on wages and reasonable effort (e.g. 3 unanswered calls or messages) were made by the sub grantee to obtain this information, Participant signed self-attestation will be acceptable but all efforts must be case noted in the client's file

# Employer Survey and Unsubsidized Employment Follow-up Process



## **6. Re-enrollment after Placement**

Former participants who lose their unsubsidized positions through no fault of their own or due to illness, may be re-enrolled, provided that the re-enrollment occurs **within one year** of termination from the program and that they meet **all required eligibility factors**. Refer to Section B of Part Three of this manual for enrollment policies.

## **7. Right of Return**

The right of return is designed to afford participants a 30-day trial period in unsubsidized employment. It is limited to participants who exit for unsubsidized employment but do not work for a total of 30 days within the first 90 days of exit. They are allowed to return to the program within 90 days without being subject to the priorities of service. Their exit is reversed, and they are treated though they never left the program. You do not fill out a new Participant Form for them. You must assign a returning participant to a host agency, either the one the participant left or a new one. You must create a new host agency assignment even if you reassign the participant to the old host agency. If there is no slot available at the time the participant seeks to return, the participant should be placed on an approved break in participation (field 15a the Community Service Assignment Form) and given the next available assignment.

## **8. Participant and Host Site Satisfaction Surveys**

The sub grantee will alerting participants and host agencies that surveys will be sent to them in the mail by a Department of Labor (DOL) contractor. The DOL contractor will mail the surveys on behalf of the State of North Carolina during the first week in January. Participants and host agencies are much more likely to

read and respond to the surveys if they are aware that the surveys are coming and that the sub-grantees are part of the survey process. A DOL Subcontractor on behalf of the State of North Carolina grantee, not the sub grantee, will mail the surveys.

To prepare participants and host agencies for the arrival of the surveys, sub-grantees should use any in-person or telephone interaction with participants and the host agency contact persons to convey the following information.

- SCSEP staff will ask participants and host agencies to complete a short, confidential survey to tell about their experience with SCSEP
- The survey will be sent by the US Department of Labor
- SCSEP is very interested in the evaluation of services
- The survey information will be used to improve services to customers
- Host sites and participants should be encouraged to respond to the survey when they get it

Pre-survey letters from the sub grantee to participants significantly increase survey returns if the participant receives a pre-survey letter shortly before they receive the survey form from the State. This is because participants, unlike host agencies, do not understand their connection with the State of North Carolina and tend to relate to SCSEP solely on the local level. A pre-survey letter template may be found Appendix C. The letter should not be modified substantively without checking with the State. Sub grantees should send this letter to their participants. The letter should be prepared as follows:

- Printed on sub grantee/local project letterhead stationery
- Customized with the name and address of the participant
- Signed in blue ink by the sub grantee
- A postage stamp affixed to the envelope
- The SCSEP Staff's name in the return address field of the envelope

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP)</b> <b>Terminations and Voluntary Exit of Participants</b>	<b>DAAS-SCSEP -10.20</b>
<b>Effective Date: July 1, 2014</b>	

## T. Termination

### **Purpose:**

The North Carolina Department of Health and Human Services, Division of Aging and Adult Services (DAAS) sub-grantees will provide all participants a written copy of the *Participant Termination Policy* and will verbally review this form with each participant at the time of enrollment. The Participant Termination Policy will be followed fairly and equitably in terminating any participant. There is no upper age limit for participating in SCSEP and participants cannot be terminated due to age. All terminations require a 30-day written notice. All terminations are subject to the *DAAS Grievance Policy* and participants will be informed of their right to appeal.

### **Termination Due to 48 Month Participation Limitation**

A participant will be terminated when he or she meets the DAAS 48-month individual participant durational limit. All new participants will be notified at time of enrollment of the time limit and active participants will be notified at job clubs, host agency visits, and annual recertification. Sub-grantees will give the participant written notice 30 days before the 48-month maximum participation date is reached. They will explain the reason for termination and will terminate the participant 30 days after the participant has been given written notice.

### **Termination Due to Employment While Enrolled**

If at any time, a participant is discovered to be employed while enrolled in SCSEP without having notified the program of the employment, he or she will be terminated from the Program. The participant will be removed immediately from the host agency and placed on leave without pay during the 30-day notice period.

### **Termination For Cause**

A participant may be terminated “for-cause” [20 CRF Part 641.580(d)]. Sub-grantees may terminate a participant for-cause when he or she commits willful misconduct that conflicts with the terms or goals of the Program. In most cases, the participant must be given one verbal and one written warning with specific corrective measures that must be taken to resolve the problem so that he or she will have a meaningful opportunity to correct the behavior.



The participant may be terminated no sooner than 30 days after issuance of a written notice which outlines the reason(s) for termination and has been given written information about the right to file an appeal. The participant will be permitted to remain at the host agency during the 30-day notice period, except for serious violations like fraud, violence, conveying threats, destroying or stealing property, using abusive or harassing language or displaying inappropriate behavior. In this case, the participant may be placed on leave without pay during the 30-day notice.

Reasons:

(a) Knowingly giving false information in the eligibility determination process

(b) Ineligible for program due to changes in family income and/or size

(c) For Cause:

- Refusal to cooperate in recertification process to determine continued eligibility
- Refusal or failure to perform assigned duties without good cause
- Refusal to accept a different community service assignment without a reasonable explanation
- Frequent tardiness or unauthorized absences (three instances of absence without legitimate documentation )
- Theft
- Intentional loss, damage, destruction, or unauthorized use of property, records or information
- Conviction of a felony or any criminal drug statute for a violation occurring in the workplace while on or off duty, or while on duty away from the workplace
- Workplace harassment or discrimination on the basis of sex, race, color, religion, national origin, age, marital status, or disability
- Insubordination (willful disregard for a supervisor's direct orders)
- Obscene/abusive language and/or violent behavior
- Non-compliance with substance abuse policy that prohibits any use, consumption, sale, purchase, transfer or possession of any controlled substance by any participant while on duty or while on a training site or SCSEP premises. Participants are also prohibited from being under the influence of alcohol and/or any controlled substance while performing training site assignments or while attending SCSEP sponsored training sessions or meetings

(d) Refusal to accept three job offers or referrals to unsubsidized employment

### **Termination Related to Individual Employment Plan (IEP)**

Federal regulations allow for IEP related terminations, but all practical steps should be taken to avoid this option. In most cases, the participant must be given one verbal and one written warning with specific corrective measures that must be taken to resolve the

problem so that he or she will have an opportunity to meet the necessary requirements. The participant may be terminated no sooner than 30 days after issuance of a written notice which outlines the reason(s) for termination and the right to file an appeal.

The following are circumstances in which corrective action and possible IEP related terminations might occur:

- Refusal to register at the local One-Stop Center
- Refusal to participate in training opportunities in accordance with timeframes established in the IEP
- Refusal to participate in job search activities
- Refusal of job interviews consistent with IEP goals
- Deliberately undermining job interviews
- Refusal of supportive services to improve personal habits or appearance to increase employability
- Refusal to comply with IEP

Participants may be exempt from adherence to the *IEP Termination Policy* when there are extenuating circumstances such as transportation issues or health related conditions. These will be considered on a case-by-case basis. All terminations are subject to the grievance policy and participants will be informed of their right to appeal.

### **Disciplinary Procedures**

A three-step procedure will be used with the goal of helping the participant resolve their non-compliance in not meeting the requirements of their plan. At each step, attempts will be made to offer solutions for constructive resolution. The SCSEP will allow a period of 30 days for each step to be completed in order to provide sufficient time for the participant to take corrective action.

#### **Step One - Verbal Warning**

Participants will receive a verbal warning that he/she is not complying with the goals established on his/her IEP. SCSEP staff will then provide coaching and guidance to attempt to resolve the concern within a 30-day period. This will be documented in the sub-grantee's case notes.

#### **Step Two - Written Warning**

If Step 1 is not effective in resolving the concern(s), the participant will receive a written notice of corrective action, preferably in person. This notice will be accompanied by coaching and guidance regarding the steps the participant can take to be successful. Participant will then have a 30-day period to resolve the concern. Detailed documentation will be made in the sub-grantee's case notes.

**Step Three - Termination from program**

The participant will receive a written notice from the sub-sponsor that previous attempts to resolve the concern(s) have not been successful and he/she will be terminated from the Program in 30 days. Reasons for the termination must be included in the letter.

_____	_____
Signature of Participant	Date
_____	_____
SCSEP Staff Signature	Date

**c. Grievance**

Participants who disagree with a termination may grieve the termination. When participants are terminated the SCSEP sub grantee staff shall inform the participant in writing of the reasons for termination and the right to grieve in accordance with the Grievance Policy. The participant will receive a written copy of the grievance policy at termination from the program along with the 30 days notice.

**d. Referrals**

When applicable, terminated participants should be referred to other potential resources or agencies, such as the One-Stop delivery system, that might help the individual remain self sufficient.

## **2. Voluntary Exit of a Participant**

It is essential that the sub grantees follow the appropriate steps for exiting participants from the program. Only a sub grantee can exit a participant from SCSEP. Host agency supervisors may not exit participant from the program but may request the sub grantee to remove the participant from the assignment.

### **a. Reasons for Voluntary Exit**

Participants may be exited from the SCSEP project for the following reasons:

- (1) Voluntary resignation exit** - voluntary exits may occur because the individual no longer wishes to participate in the program, because of relocation, is institutionalized or is unable to participate because of health reasons, is providing care for a family member or retires
- (2) Unsubsidized employment exit** – the participant is job ready and has obtained employment with the host site, another employer or is self employed
- (3) Death** - the participant dies

### **b. Procedures for Voluntary Exit**

All exited participants will receive 30 days written notice of exit. A copy of the notice will be placed in the participants file. The written exit letter must include the reason for the exit.

Participant exits must be documented to the fullest extent possible in the participant file, reported on the *completed SCSEP Exit Form, Unsubsidized Employment Form*, if applicable and *Follow-up Form* and entered into SPARQ. Signatures must be obtained where indicated. The following documentation must be placed in the participant file:

- (1) Voluntary resignation** - Participant Exit Form. (See Appendix A for the Exit Form )

- (2) **Unsubsidized Employment** – Participant Exit Form, Unsubsidized Employment Form and Follow-up forms as required
- (3) **Death** -Participant Exit Form and Unsubsidized Employment Form – Follow-up information (if applicable)

**c. Voluntary Exit for Performance Measure Exclusions**

The following Exit reasons are excluded from the performance measures with acceptable documentation:

- (1) Health and medical
- (2) Family Care
- (3) Institutionalization
- (4) Death

**d. Acceptable Documentation for Exclusions**

Acceptable documentation required for exclusion from performance measures for the reason listed above must be included in the participant file is:

- (1) Medical records or other official records are acceptable, including but not limited to:
  - Actual medical records;
  - Physician’s statement or other certification from a medical professional;
  - Letter from official at medical facility or institution;
  - Psychologist’s diagnosis;
  - Rehabilitation evaluation
  - Disability records;
  - Veteran’s medical records;
  - Vocational rehabilitation letter;
  - Worker’s Compensation record
- (2) A participant signed self attestation or signed attestation form a knowledgeable third-party

- (3)** Detailed case notes (institutionalized only) in addition to the standard requirement for all case notes, to establish an exclusion for institutionalized, case notes must also detail that the participant is receiving 24-hour care in a facility like a prison, skilled nursing facility or hospital and is expected to remain there for at least 90 days. Persons with a disability residing in a community based residential facility with or without long term care supports is not considered institutionalized. Case notes are not acceptable for Health/medical or Family Care.

**e. Acceptable Documentation for c. 4**

Approved documentation required for exclusion from performance measures for reasons listed in c (4) must be included in each qualifying participant file:

- (1)** An official government document or other official record is acceptable, including but not limited to:
- (a)** Death record or certification, or
  - (b)** Death notices published through the internet, in newspapers, and local funeral homes.
- (2)** Signed attestation from a knowledgeable third-party is acceptable

Case notes are not accepted as support for validating death.

**f. Referrals**

When applicable, exited participants should be referred to other potential resources or agencies that might help the individual remain self sufficient, e.g. Aging and Disability Resource Center (ADRC), SNAP, Medicare, Medicaid.

SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Political Patronage/Political Activities	DAAS-SCSEP -10.21
Effective Date: July 1, 2014	

## U. Political Patronage/Political Activities

No sub grantee may select, reject, promote, or terminate a participant **based on the participant's political affiliation or beliefs**. The selection or advancement of participants as a reward for political service or as a form of political patronage, whether or not the political service or patronage is partisan in nature, is prohibited.

Further, the selection of training sites **shall never be based on political affiliation**.

### 1. Prohibited Activities for Participants

Participants may **not**:

- (a) Engage in partisan or nonpartisan political activities **during hours for which they are paid** with SCSEP funds
- (b) Engage in partisan political activities in which the **participant represents himself or herself as a spokesperson of the SCSEP**
- (c) Be employed or out-stationed in the **office of a Member of Congress, a State or local legislator, or on any staff of a legislative committee**
- (d) employed or out-stationed in the **immediate office of any elected chief executive officer(s) of a State or unit of general government, except in the following cases:**
  - (1) Participants may be assigned to training sites at local government agencies provided that the participants' **assignments are nonpolitical**; and
  - (2) The participants' assignments are strictly program activities and are in no way political functions

**NOTE:** Documentation attesting to the nonpolitical nature of the positions must be submitted to State for approval prior to assigning participants to such positions.

- (e) Be placed in training site positions involving political activities in the office of other elected executive officials, *except in the following situations:*
  - (1) When the elected official’s office handles nonpolitical activities, a participant may be assigned to a nonpolitical training assignment; and
  - (2) When sub grantees develop safeguards to ensure that participants placed in these positions are not, at any time, involved in political duties

**2. Prohibited Activities for Project Staff**

A SCSEP project staff member shall **not** engage in:

- (a) Partisan or non-partisan political activities during hours for which the staff member is paid with SCSEP funds, or
- (b) Partisan political activities in which the individual represents him or herself as a spokesperson of the SCSEP

**3. Hatch Act**

State and local employees shall comply with the Hatch Act, according to the provisions of Chapter 15 of Title 5, U.S. Code. The U.S. Office of Personnel Management issues regulations pertinent to the Hatch Act.

The Act covers only, but not all, State and local employees “whose principal employment is in connection with an activity which is financed in whole or in part by loans or grants made by the United States or a Federal Agency.

Individuals whose employment does not meet this definition are not governed by the restrictions of the Hatch Act.

Some participants’ political activities may be further restricted due to the status of the sub grantee that employs them.

**4. Lobbying**

SCSEP funds shall **not** be used to influence the legislative process or any



appropriation pending before the Congress of the United States. **No salaries or expenses** for any activity designed to affect legislation may be paid with SCSEP funds.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP)</b> <b>Unionization</b>	<b>DAAS-SCSEP -10.22</b>
<b>Effective Date: July 1, 2014</b>	

**V. Unionization**

SCSEP funding shall not be used in any way to assist, promote, or deter union organizing.

SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Nepotism	DAAS-SCSEP -10.23
Effective Date: July 1, 2014	

## W. Nepotism

### 1. Restrictions

The following restrictions apply to SCSEP projects:

- (a) No person shall be hired by or enrolled in a project **if** member of that person's immediate family is employed in an administrative capacity by the sub grantee
- (b) No participant shall be assigned to a training site **if** any member of that participant's immediate family is employed in an administrative capacity at that training site
- (c) If the applicable State or local legal requirement regarding nepotism is **more restrictive** than the requirements in (a) and (b) above, then the State or local requirement shall be followed

### 2. Definitions

For the purpose of the SCSEP Program Operations Manual,

- (a) *Nepotism* is defined as favoritism based on kinship
- (b) *Immediate family* includes wife, husband, son, daughter, mother, father, brother, sister, son-in-law, daughter-in-law, mother-in-law, father-in-law, bother-in-law, sister-in-law, aunt, uncle, niece, nephew, stepparent, stepchild, grandparent, and grandchild; and
- (c) *Employed in an administrative capacity* is defined as those individuals who administer SCSEP projects or training sites/host agencies and who have responsibility or authority over those with the responsibility for selecting participants from among eligible applicants.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Drug-Free Workplace</b>	<b>DAAS-SCSEP -10.24</b>
<b>Effective Date: July 1, 2014</b>	

## X. Drug-Free Workplace

Under Section 5153 of the Drug-Free Workplace Act of 1988, **Federal grant recipients are required** to certify that they provide a drug-free workplace by taking certain specific actions. **Drug-Free Workplace Awareness Program** contains the following restrictions and requirements that must be adhered to:

- (a) **Policy** - The use, consumption, sale, purchase, transfer, or possession of any illegal drug or the illegal use, consumption, sale, purchase, transfer, or possession of any controlled substance by a sub grantee’s staff member or an SCSEP participant while on training sites or SCSEP office premises, or during SCSEP-sponsored training sessions is **absolutely prohibited**.
- (b) **Enforcement** - SCSEP sub grantees are **responsible** for the enforcement of this policy
- (c) **Disciplinary Action** - **A participant who violates this policy is subject to disciplinary action, up to and including termination.** Appropriate action must be taken by the sub grantee for the specific violation.
- (d) **Public Notice** - Sub grantees **must publish** a statement notifying employees that the use, distribution, and possession of controlled or illegal substances is prohibited in the workplace and clearly specify the actions that will be taken if an individual violates the restriction. Sub grantees **should inform** participants about the dangers of drug abuse in the workplace, about their policy of maintaining a drug-free workplace, and about any available drug counseling, rehabilitation, or other assistance programs in the local community where help can be sought for drug problems
- (e) **Training Sites** - Training sites **are required to immediately notify** the SCSEP sub

grantee of any violation of this policy in their workplaces. When a training site knowingly permits the violation of this policy or fails to ensure a workplace free from alcohol, drugs, and substance abuse, it risks the immediate loss of the services of its SCSEP participants.

<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP) Grievance Procedures</b>	<b>DAAS-SCSEP -10.25</b>
<b>Effective Date: July 1, 2014</b>	

## Y. Grievance Procedures

### Purpose:

The North Carolina Department of Health and Human Services, Division of Aging and Adult Services (DAAS) has established a procedure for resolving complaints that arise in the Senior Community Service Employment Program (SCSEP) between the grantee, employees of the grantee, sub-grantees, applicants and/or participants. Participants will be informed of the grievance policy during orientation and provided a copy, which they will sign indicating they are fully aware of the grievance policy.

### Steps in the Grievance Procedure

- Step 1** Participants are encouraged to discuss problems with sub-grantee staff with the intent to resolve the situation.
- Step 2** If participants feel their concerns were not satisfactorily handled and they are unable to resolve the issue; a grievance may be filed in writing within 30 days and mailed to:

Attn: SCSEP Project Coordinator  
 NC Division of Aging and Adult Services  
 2101 Mail Service Center  
 Raleigh, NC 27699-2101

- Step 3** The SCSEP Project Coordinator will review the case notes on the complaint, conduct an interview with the participant and sub-grantee by telephone and/or in person, and then provide a written determination to the participant and the sub-grantee within 10 working days.
- Step 4** If the participant believes the SCSEP Project Coordinator's determination is *justified*, the case will be closed and all paperwork regarding the grievance will be kept in the grantee and sub-grantee's files.
- Step 5** If the participant believes the SCSEP Project Coordinator's determination is *unjustified*, the participant may request a review by the Division of Aging and Adult Services (DAAS) Director within 30 days of notification. The participant must provide written documentation explaining why he/she disagrees with the termination.

**Step 6** The DAAS Director will review the case and provide a written determination to the participant and the sub-grantee within 10 working days.

**Step 7** If the participant believes the DAAS Director's determination is *justified*, the case will be closed and all paperwork regarding the grievance will be kept in the grantee and sub-grantee's files.

**Step 8** If neither of these reviews meets with the participant's satisfaction, the participant may request a review by the U.S. Department of Labor to determine whether the grantee has followed its procedures or if there is violation of federal law, an appeal can be sent to:

Division of Adult Services  
Employment and Training Administration  
U.S. Department of Labor  
200 Constitution Avenue, NW  
Washington, D.C. 20210

**Step 9** If a participant has a complaint alleging discrimination regarding violation of civil rights law, the participant may request a review by:

Director, Civil Rights Center  
U.S. Department of Labor  
Room N-4123  
200 Constitution Avenue, NW  
Washington, D.C. 20210

PARTICIPANT APPEAL FORM

NAME \_\_\_\_\_ DATE \_\_\_\_\_

ADDRESS \_\_\_\_\_

PHONE NUMBER(S) \_\_\_\_\_

NAME OF HOST AGENCY \_\_\_\_\_

I am filing a complaint because I have been (check all that apply)

\_\_\_\_\_ Dismissed

\_\_\_\_\_ Suspended

\_\_\_\_\_ Denied Enrollment

\_\_\_\_\_ Other \_\_\_\_\_

Name of organization person the complaint is about \_\_\_\_\_

Briefly describe what happened (Can add additional information on separate page)

\_\_\_\_\_  
\_\_\_\_\_

What rules, policies, or procedures do you believe were violated?

\_\_\_\_\_  
\_\_\_\_\_

What resolution are you seeking? \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_



<b>SENIOR COMMUNITY EMPLOYMENT PROGRAM (SCSEP)</b> <b>Non-Discrimination and Equal Employment Opportunities</b>	<b>DAAS-SCSEP -10.26</b>
<b>Effective Date: July 1, 2014</b>	

## Z. Non-Discrimination and Equal Employment Opportunities

### 1. Requirements

Race, creed, color, disability, age, national origin, gender, political affiliation, or beliefs cannot be used to exclude a person from participation in, deny a person the benefits of, or subject a person to discrimination under any project or activity funded in whole or in part with SCSEP funds.

The sub grantee is responsible for ensuring that **no discrimination** occurs in any project or activity funded SCSEP. **The State will monitor** each sub grantee to ensure that mechanisms have been established to comply with equal employment opportunity practices.

Since SCSEP is a program designed to provide employment and training services to low-income older individuals, it is exempt from the requirements of the Age Discrimination in Employment Act (ADEA).

### 2. Disability Definition

The SCSEP regulations define “disability” as: a condition attributable to mental or physical impairment, or a combination of mental and physical impairments, that result in substantial functional limitations in one or more of the following areas of major life activity:

- Self-care
- Receptive and expressive language
- Learning
- Mobility
- Self-direction
- Capacity for independent living

- Economic self-sufficiency
- Cognitive functioning
- Emotional adjustment

The participant is only considered disabled or having a disability if impaired at the time of enrollment. Do not count an individual who merely has a history of impairment or is regarded as being impaired. The individual must have the impairment currently.

### **Disability Documentation**

Documentation should be an official government record or other official record that indicates that:

- (1) a medical professional made a determination of disability and;
- (2) describe how the determination of disability meets the SCSEP regulatory definition as explained in the Data Collection (DC) Handbook, including but not limited to:

- Receipt of Social Security Disability Insurance (SSDI)
- Other Social Security Administration records
- School records
- Sheltered workshop certification
- Social service records or referrals
- Community-based aging and disability organizations
- Social service agency record or referral
- Independent Living Center statement
- Letter from Group Home administrator.

Note: Not all official documents will suffice to establish disability. For example, a state disabled parking sticker is an official document, but it does not establish disability for SCSEP purposes unless the state employs the SCSEP definition and standard of disability.

Alternatively, certification from medical professional or medical records that establish specific facts that meet the regulatory definition as explained in the DC Handbook are acceptable, including but not limited to:

- Letter from Drug or Alcohol rehabilitation agency
- Medical records
- Physician's statement
- Psychologist's diagnosis
- Rehabilitation evaluation
- Disability records
- Veteran's medical records
- Vocational rehabilitation letter
- Worker's compensation record

## ***V. Management Information System***

A comprehensive management information system is needed to document program participation and the use of SCSEP funds. State of North Carolina SCSEP programs are required to use the SCSEP Performance and Results System (SPARQ). Program regulations require careful record keeping for each project.

The SCSEP Data Collection Handbook and SCSEP Management Reports Handbook are attached in Appendix C. Additional technical assistance is available from DOL contractors Charter Oak Group (COG) BCT Partners and Mathematica Policy Research. The sub grantee will submit questions to the State of North Carolina SCSEP Coordinator who will direct the question to the appropriate DOL contractor and respond to the sub grantee. Following is a table of required forms for the Participants Record.

## Table II: Required Forms for the Participant's Record

### A. The following are required forms as part of each participant's record:

- (1) Participant Form
- (2) Confidential Statement of Income (with supporting documentation), completed annually with intake/recertification
- (3) Self Attestation Forms
  - Homeless
  - Not employed
  - Zero income
  - Limited English Proficiency
  - Low Literacy Skills
  - Veteran / Eligible Spouse of Veteran
  - At risk of homelessness
  - WIA Title I
  - Low Employment Prospects
  - Persistent Unemployment
- (4) Third-Party Attestation Forms
  - Homeless
  - Number in family
  - Employed Prior to Participation
  - Zero income
  - Limited English Proficiency
  - Low Literacy Skills
  - At risk of homelessness
- (5) Employment Eligibility Verification Form I-9
- (6) Physical Exam Offer Waiver \*
- (7) Disclosure on UI Benefits
- (8) WIA Referral Form
- (9) Assignment Form
- (10) Participant Enrollment Agreement
- (11) Participant Needs Assessment
- (12) Training Plan (includes work schedule)
- (13) Community Service Assignment Form
- (14) Orientation Checklist
- (15) Individual Employment Plan (IEP) & IEP Progress Review
- (16) Recertification Checklist
- (17) Recertification Form
- (18) Self Attestation Form

- Zero Income
- (19) Third-Party Attestation Form
  - Number in Family
  - Zero Income
- (20) Exit Form (Once or if the participant exit the program)
- (21) Transitional IEP
- (22) Self Attestation Form
  - Exclusion
  - Exclusion after exit
- (23) Third-Party Attestation Form
  - Exclusion
  - Exclusion after exit
- (24) Unsubsidized Employment Form (if placed)
- (25) Self Attestation Form
  - Wages
- (26) Third-Party Attestation Form
  - Wages
- (27) Case Notes and Activities Log
- (28) Participant Evaluation(s) (a minimum of one annually)
- (29) Host Site Supervisor Evaluation(s) (a minimum of one annually)
- (30) Supportive Service Form
- (31) Right of Return
- (32) Time sheets
- (33) Approved Break in Participation

\*The following documentation is required, but must be kept in a separate, locked file:

Proof of physical exam (program entry & minimum of once annually) **Note: Subprojects must not receive a copy or use results of the physical exam.**

*Physical Exam Offer Waiver* if participant declines to have a physical exam (program entry & minimum of once annually).

## B. Required Forms for Host Agency File

**The host agency file folder must also contain the following information:**

- (1) File checklist
- (2) Host Agency Application (to be renewed annually)
- (3) Host Agency Agreement & Orientation checklist
- (4) Host Agency Monitoring Guide
- (5) In-kind Funding Statement
- (6) Training Plan

**The following form is optional and may be used for additional monitoring of host agencies, as deemed necessary by sub grantee:**

- (7) Annual Safety Monitoring Report

### **Table III: Required Forms for the Host Agency File**

*Senior Community Service Employment Program*

## **Required Forms for the Host Agency File**

The following forms must be maintained in a separate file for each training site and maintained in the sub grantee's project office

- (1) Host Agency Application
- (2) Host Agency Agreement(s) & Orientation
- (3) Non-Federal In-kind or Cash Funding Statement
- (4) Training Plan
- (5) 501(c)(3) Certification for a Private Non-Profit Host Agencies
- (6) Host Agency Monitoring / Safety Checklist
- (7) Copy of the Participant's Community Service Assignment Form

### **C. Monitoring**

The State monitors (Program and Fiscal) will review participant records and training sites files during periodic visits to the sub grantee's office. A written report containing recommendations and a corrective action plan will be sent to the program by the end of the program year.

The State SCSEP Coordinator will conduct SPARQ data validation within the last two quarters of each year. Copies of the files and supporting documents may be requested to be sent to the DAAS office for Data Validation.



## D. Reporting Requirements and Procedures

### *Senior Community Service Employment Program*

#### Table IV. Reporting Due Dates and Procedures

There are certain reports that must be received by State by specific deadlines. **Failure to meet these deadlines may result in the withholding of grant administrative funds.** The reports and deadlines are:

#### **Quarterly Program Reports**

The State must receive this report no later than fifteen (15) days following the end of each quarter. The report should be emailed to State SCSEP Coordinator .

#### **Monthly Request for Reimbursement**

To receive timely payments, Request for Reimbursement should be received by the 15<sup>th</sup> calendar day of the month preceding the quarter requested.

#### **SPARQ - Quarterly Program Reports**

Sub grantees are required to use the most current Department of Labor data collection system. Sub grantees will enter all participant, host site and employer information including but not limited to hours of participation, employer survey, unsubsidized employer follow ups, in the SPARQ data base by the 15<sup>th</sup> day of the month following the completed quarter: October 15, January 15, April 15, and July 15 or as directed by DOL.

## **E. Record Retention**

The sub grantee shall comply with all requirements imposed by law regarding the maintenance of a record of each individual's participation in the SCSEP, including dates of entry, termination and services provided. All non-active participant and program records shall be maintained for a minimum three (3) year period following closeout of the State OAA Title V grant. If, prior to the expiration of the three (3) year retention period, any litigation or audit is begun or a claim is instituted involving the agreement covered by the records, the sub grantee shall retain the records beyond the three (3) year period until the litigation, audit finding, or claim has been finally resolved.

The program also need to comply with the DHHS electronic records policy and State policy on record retention

## **VI. Financial Information Management**

### **A. Budget**

The budget is the financial expression of the projects goals and activities. The format consists of the:

- Budget Detail and
- Budget Form A (Summary)
- Budget Form A1 (Non Federal Match)

Following are guidelines that provide general criteria and guidelines for the development of the budget. Specific instructions are provided with the budget forms. Within the limitations, no federal project funds in OMB Circulars A-21, A-122, and A-87 may be expended for purposes other than those permitted by the federal cost principles applicable to sub grantees.

#### **1. Participant Wages and Fringe Benefits**

At least 75 percent of the total federal funds granted to the sub grantee must be expended for Participant Wages and Fringe Benefits, which are provided to participants for their of employment, including wages paid during orientation and pre-job training under the project. The annual physical examination is considered a fringe benefit to the participant and cost for this should be included under Participant Fringe Benefits.

#### **2. Other Participant Costs**

Other participant costs are staff salaries/fringes (if providing direct service to participants), participant training, participant development, participant transportation, and miscellaneous participant costs. Participant training costs include costs for instructors/trainers, rental of training facilities, supplies, materials, equipment and any other costs directly attributable to training. Miscellaneous participant costs include but are not limited to reasonable costs

of transportation; health and medical services; special job related or personal counseling; incidentals such as work shoes, badges, uniforms, eyeglasses, and tools; dependent care; housing, including temporary shelter; needs related payments and follow-up services. Attempts to obtain the items at no cost to the project are to be documented.

### **3. Administrative Costs**

The allowable maximum for state administrative costs will be determined on an individual basis by the State, each grant year per agreement, but under no circumstances will exceed 13.5%, taking into consideration size of project, available resources and other factors. Allowable administrative costs include, but are not limited to, salaries and fringe benefits for project administrators; costs of consumable office supplies used by project administrative staff; costs incurred in the development, preparation, presentation, management and evaluation of the project; the cost of establishing and maintaining accounting and management information systems; costs incurred in the establishment and maintenance of advisory committees; travel by project administrators within a project's jurisdiction (reimbursable at the state or DOL authorized rate, whichever is lower). For those projects that must include per diem in their budgets because of a large geographic program area, the per diem rate may not exceed the established state rate for the area in which travel occurs.

The sub grantee administrative cost rate is stated in the Request for Proposal.

### **4. Purchases and Maintenance of Equipment**

The purchase of capital equipment is usually not allowable and the sub grantee must have the written permission from the State to purchase capital equipment. Capital equipment is defined by equipment with a value of \$5,000 or more.

## 5. **Nonfederal Funds Contribution**

The Federal Government will pay no more than 90 percent of the total project cost; sub grantees are required to provide documentation of all nonfederal contribution. Total project cost include allowable costs incurred by the sub grantee, and the value of in-kind contributions made by third parties, e.g. host site supervision, in accomplishing the project objectives during the performance period will be reported to the State of North Carolina.

All cash and in-kind contributions must meet the following criteria:

### **Criteria:**

- Are identifiable in sub grantee's records
- Are not included as contributions to any other federally funded program
- Are necessary achievement of the project's objectives
- Are charges allowable under applicable Federal cost principles
- Are not paid by the Federal government directly or indirectly under any other agreement. (The only exceptions are ACTION, Community Development Act, General Revenue Sharing, Indian Health Service and Bureau of Indian Affairs.)
- Are fair and reasonable and will not exceed the amount if the item was actually purchased
- Averaged proportionate to the time the item was available to the project
- Must be incurred within the grant period

## 6. **Cash Contributions**

Cash contributions are the sub grantee's cash outlay, including the outlay of money contributed by nonfederal parties, which meet the criteria for nonfederal contribution.

### **Documentation of Cash Contributions**

Cash contributions to the project from the sub grantee or from third-party sources must be documented in the same manner as the projects Federal cash expenditures.

## **7. In-Kind Contributions**

In-kind contributions are the value of non-cash contributions provided by nonfederal third parties. In-kind contributions may be the value of goods and services directly benefiting the project, e.g. host site supervision; the value of donated expendable materials; the value of donated equipment, buildings, land or use of space; and the value of other charges incurred specifically and in direct benefit to the project. Examples of nonfederal third party in-kind contributions, with specific procedures for establishing their value, follow:

- (a) **Valuation of Services** – Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be considered a nonfederal contribution if the service is an integral and necessary part of the approved project. Specific examples of such service would include supervision of a participant by a non-federally paid training site supervisor, a participant training session on filling out tax forms given free by a local tax lawyer, and the participation of a local business representative on the project advisory committee.

Rates for volunteers (including supervisory time) should be consistent with those regular rates paid for similar work in the sub grantee organization. In cases where the skills required for the federally assisted activities are not found in the other activities of the sub grantee, rates used should be consistent with those paid for similar work in the labor market in which the sub grantee competes for the kind of services involved. When an employer other than the sub grantee furnishes the services of an employee, these services shall be valued at the employee's regular rate of pay (exclusive of fringe benefits and overhead cost) provided these services are in the same skills for which the employee is

normally paid.

The criterion for determining whether the number of hours of Host Site Agency supervisory time claimed is allowable will be whether the amount claimed is “fair and reasonable”. To be considered “fair and reasonable”, supervisory time must:

- (1) Be necessary to achieve SCSEP’s objectives;
- (2) Be proportionate to the time the supervisor has available to the participant for SCSEP related work activities (excludes leave and holiday);
- (3) Be proportionate to the level and/or type of supervisor time (i.e., training vs. ordinary supervision); and
- (4) Not exceed the cost of actually purchasing the supervisory time.

(b) **Valuation of Donated Expendable Materials – Contributed materials** includes office supplies, maintenance supplies, or workshop and classroom supplies. Prices assigned to donated materials should be reasonable and should not exceed the cost of the materials to the donor or current market value, whichever is less, at the time they are charged to project.

(c) **Valuation of Other Charges – Other necessary charged incurred specifically for** and in direct benefit to the SCSEP program on behalf of the sub grantee may be accepted provided that they are adequately supported and permissible under the regulations. Such charges must be reasonable and properly justifiable.

**Documentation of In-kind Nonfederal Contribution:**

The following requirements pertain to the sub grantee’s supporting records for in-kind contributions:

(d) The number of hours of volunteer services (including supervisory time)

must be, to the extent possible, supported by the same methods used by the sub grantee for its employees. At a minimum, documentation must note number of hours contributed by date and positive certification that the source of the salary (exclusive of fringe benefits and overhead) is nonfederal. The dollar figure quoted must be supported by an annual “salary certification” for any person who regularly contributes hours, or if the person is unwilling to provide such a certification, a dollar amount can be ascribed based on salaries for comparable positions in the sub grantee’s agency. (Where no comparable positions exist in the agency, similar positions in the local labor market may be used).

- (e) The basis for determining the charges for personal services, materials, equipment, buildings, and land must be documented. The documentation must provide a written or typed statement describing services or goods contributed, must include stated value(s), and must indicate the date of contribution or time span of services rendered. All vendors that invoice any part of the actual cost should show the full cost and then identify and deduct the in-kind contribution. Each statement of an in kind donation must be marked “in-kind”, must identify name and address of contributor, and must bear the original signature of the contributor or an authorized representative, and must be dated. Sub grantee SCSEP Director is responsible for checking accuracy and reasonableness of contributions. They must also assure that the contribution is allowable, is not funded directly or indirectly with Federal funds (except as noted and approved in the Sub grant Agreement) and is not being used as a match for another Federal program.

## **B. Verification of Signatures**

The budget and all financial documents must be submitted electronically to the Contracts Manager with the signatures of the authorized signatory(s).



### C. **Payment of Funds**

Sub grantees will be reimbursed on a reimbursement basis. The sub grantee is responsible for submitting the *Request for Funds form*.

### D. **Sub grant Modification**

A sub grant modification is an authorized and documented change in a condition or conditions of any of the parts (agreement, budget) of the sub grant agreement.

There are two types of modifications, both of which must be fully documented in State and sub grant agency files. They are:

- (1) A **formal modification** is a written request to SCSEP Coordinator by the sub grantee to make a significant change to the budget or scope of the SCSEP project. These requests may require approval by DOL. Once approved, the change is processed on the Budget Modification form and signed by representatives of DAAS who are authorized to legal documents. Any changes to the sub grant agreement and most budgetary changes are processed as formal modifications. The sub grantee will receive a revised Notice of Grant Award (NGA).
- (2) **Written authorization** by the SCSEP Coordinator or other authorized State representative can effect a change of a less substantial nature in the budget. For example, if a cost is added to the budget which was not previously included as a cost and which will not change a line item total as a result, written authorization by the State SCSEP Coordinator with a copy of the correspondence to the Division Contracts Manager is sufficient to effect the change. Processing a modification should begin prior to or as soon as the condition(s) necessitating a modification occur.

**Conditions necessitating a modification** – The Sub grantee shall promptly request, in writing, permission from the State to modify the sub grant award when any of the following conditions occur:

- (1) A net increase or decrease from the approved enrollment level of ten

- (10) percent or more is anticipated, or other significant changes in the scope of the sub grant project appear likely
- (2) Budget analysis indicates that planned cumulative amount of transfers among cost categories will exceed or be expected to exceed 10 percent of the total Federal share only in each cost category of the sub grant budget;
  - (3) The sub grantee anticipates a need to transfer Federal funds allocated for participant wages and fringe benefits to other categories of expense
  - (4) The sub grantee anticipates a need to transfer Federal funds allocated for participant costs to administrative costs
  - (5) The sub grantee wishes to add cost items, which require approval in accordance with the provisions of Office of Management and Budget Circulars A-87, A-102, A-110, and A-122.

With the exception of the aforementioned conditions, all other deviations from the sub grantee budget may be undertaken by the sub grantee with the prior written approval of the State. However, the sub grantee should consult with the State SCSEP Coordinator before taking any action on budget line item changes of a significant nature.

**no circumstances may the total expenditures of Federal or state funds exceed the budgeted amount authorized by the State to conduct project activities.**

Until the modification is fully executed the sub grantee may not legally implement the proposed revision in the SCSEP budget or sub grant unless permission to do so has been received in writing from the State SCSEP Coordinator.

From time to time, extenuating circumstances may make it expedient to delay initiating a modification until a later period of time. A decision to delay initiation shall be put in writing by the State SCSEP Coordinator and the reasons for the delay noted. An example of such a delay would be a modification near the end of the performance period that could be more efficiently done as a closeout. Approvals of all closeout modifications are subject to availability of unspent monies of the total

grant. The State rarely approves any increase in administrative costs, and all Other Participant Costs increases must be fully justified.

**E. Sub grant Closeout**

Sub grant closeout procedures are required at the end of each performance period – twelve months for all projects unless the performance period has been extended by formal modification of the sub grant. As a preliminary closeout action, sub grantees receiving advanced funds from the State are to estimate the amount of funds, which will be needed to cover final sub grant costs and ascertain the amount of money remaining in their financial account. If it appears that there are excess funds within thirty (30) days from the expiration date of the sub grant, these funds shall be refunded no later than forty-five (45) days from the expiration date of the sub grant.

The following forms are to be submitted to State, per instructions provided.

- Final Quarterly Financial Report (ETA-9130) rounded to the nearest dollar, marked “Final,” showing all accruals have been paid in full
- Sub grantee’s Release Form
- Sub grantee’s Assignment of Refunds, Rebates and Credits Form
- Government Property Accountability
- Financial account closeout
- List of Unclaimed or Outstanding Checks

**All forms must be correctly completed and signed with the authorized signature(s) in order for the State to accept the closeout package.**

Sub grantee closeout is subject to the following conditions:

- Non-federal contributions must meet 10 percent of the total gross of federal funds and non-federal funds. Category overruns in Administrative or Other Participant Costs using unspent funds from the participant wages and fringes category will be subject to disallowed costs if not

approved by a fully executed modification. Sub grantees must have permission from the State to process such a modification; funds may be unavailable for overruns in these two categories.

- Any upward or increased adjustment in a sub grantee's total Federal share of costs is contingent on the availability of funds after all closeouts have been submitted by sub grantees.
- In the event of a final audit (after the closeout has been submitted) either by the State or the Department of Labor resulting in any downward adjustment, a refund check is due the State within thirty (30) days of receipt of the audit report. The State may withhold Federal funding of a new grant year agreement until final settlement of a prior year's grant refund check has been received to an audit dispute.

## **F. Guidelines for Description of Budget Costs**

### **Participant Wages and Fringe Benefits (PWF)**

Administrative staff participants are defined as those providing assistance in the administrative and/or operational aspects of the local project. The project's offices are considered to be the training site, and types of positions may include clerks, fiscal aides, job developers, intake specialists, assessment clerks, trainers/instructors, and all other similar positions that assist in the project's delivery of SCSEP services.

Non-administrative staff participants are defined as those assigned to community based training sites, providing services to the general and elderly populations.

1. Participant Wages must be broken out as follows:
  - Non-administrative staff participants by wage rate(s), hours weekly, and number of weeks budgeted.

- Administrative staff participants by job title, wage rate(s), hours weekly, and number of weeks budgeted. Please see special notes at end of this section.
2. Participant Fringe Benefits such as FICA, Workers Compensation, etc. must be broken out by type of fringe benefit and rate. Participant Physical Assessments should be noted by number of assessments and average cost. Please remember that benefits should be reasonable and uniform for all participants.
  3. Total Participant Wages and Fringe Benefits -- self-explanatory.

#### **Other Participant Costs (OPC)**

The cost category of Other Participant Costs shall include all costs of functions, services, and benefits not categorized as administration or participant wages and fringe benefits. Other participant costs shall include, but not be limited to, the direct and indirect costs of providing recruitment, intake, orientation, assessment, supportive services, training and the development of unsubsidized employment opportunities.

4. Staff Salaries and Fringe Benefits must be broken out as follows:
  - Each position by title, annual salary (inclusive of all funding sources), percent of time budgeted to this cost category, and percent of year (if less than 12 months). Also note if the position is less than full-time and/or is shared with another funding source or cost category. Please see special notes at end of this section.

- The fringe benefits are to be described by type and rate.
5. Participant Training -- including, but not limited to, orientation, in-service training, job search clubs, individual short-term training, training contracts with local educational institutions or other providers and training materials. Tuition costs must also be charged to this line item. Provide details on how costs are figured (for example: Job Search Clubs, \$400 would be insufficient, whereas "job clubs @ 4 sessions for 10 participants, \$75 for instructor, \$25 for material, each session = \$400 would be sufficient detail).
  
  6. Participant Development is to be broken out as follows:
    - Participant Assessment -- including, but not limited to, contracts for outside assessment services, materials/tools. Provide details on how costs derived
    - Training Site/Employer Initiatives -- including, but not limited to, employer seminars, job fairs, Training Site supervisor training, and job development activities. Provide details on how costs derived
    - Field (Training) Supplies -- including, but not limited to, work shoes, uniforms, etc. Provide details on how costs figured
    - Other Supportive Services -- including, but not limited to, eye/hearing exams (in addition to physical assessments), special counseling, etc. Provide cost details
  
  7. Participant Transportation
    - Include number of participants involved in travel and average number of miles weekly. Also include group transportation costs for special events, when applicable

- Please note: Funds budgeted must be restricted to participant administrative staff and support of participants for training purposes. The Training Sites must assume the costs for participants who must travel as part of their assignments. Staff travel costs applicable to OPC should be included in miscellaneous

8. Miscellaneous

- Should include all other allowable OPC costs, including, but not limited to, pro-rated share of rent, telephone and supplies, as well OPC non-participant staff travel. Estimated monthly costs for these items should be noted or otherwise detailed. Any pro-rated costs must be based on clearly defined allocation plans.

9. Total Other Participant costs -- self-explanatory.

**Administrative Costs (ADM)**

The cost category of Administration shall include, but need not be limited to, the direct and indirect costs of providing administration, management, and direction; reports on evaluation, management, community benefits, and other aspects of project activity; assistance of an advisory council; accounting and management information systems; bonding; and audits.

10. Staff Salaries and Fringe Benefits must be broken out as follows:

- Each position by title, annual salary, percent of time budgeted to this cost category, and percent of year (if less than 12 months). Also note if the

position is less than full-time and/or is shared with another funding source. Please see special notes at end of this section.

- The fringe benefits are to be described by type and rate, if different from line #4 (OPC -- Staff Salaries/Fringe Benefits).

11. Indirect Costs may be included only if the sub grantee has an approved indirect cost rate. If so and federal funds are budgeted for these costs, a copy of the duly executed cognizant agency agreement must be attached. Budget will be approved without the attachment.

12. Other Administrative Costs (OAC)

OAC should include all other allowable costs, including, but not limited to, rent, telephone, supplies, staff travel, and postage. Approximate monthly costs for these items should be noted, or how costs were derived should be shown.

NOTE: Unless justification is provided to the contrary, the total cost of these items must appear under Administrative Costs and not Other Participant Costs.

- If applicable to project, Training Site supervision contributed toward non-federal match should be included under this line item. Detail how estimate of contribution was figured.

13. Total Administrative Costs -- self-explanatory.

14. Grand Total -- self-explanatory.

SPECIAL NOTES



- Record the percent of the total federal budget allocated to each cost category in the spaces on the budget summary. Percentages should not be rounded; please include 2 decimal places (i.e., 91.67% not 91.7%). At least 75% of the total federal budget should be Participant Wages and Fringe Benefits.
  
- Position descriptions for all full and part-time staff must be submitted, including participant administrative staff. For participant staff, please make sure the description notes wage rate and number of hours weekly. For other staff, descriptions must clearly delineate duties allocated to each appropriate cost category.

## Table V. Guidelines for Allocating Costs to Other Participant Costs or Administration

The costs listed below are categorized as to whether they are Other Participant Costs or Administrative Costs. However, the list is not all-inclusive. In general, all costs directly supportive of the participants' growth and development in the SCSEP program are Other Participant Costs. Administrative Costs fund the non-participant support system of the program such as preparing program budgets, payroll development, advisory council costs, and administrative salaries. If you are uncertain about which category is most appropriate for a planned cost item, consult with the State SCSEP Coordinator prior *to including it in your budget*.

<b>OTHER PARTICIPANT COSTS</b>	<b>ADMINISTRATIVE COSTS</b>
Costs that are considered Other Participant Costs include, but are not limited to, the following examples:	Costs that are considered Administrative Costs include, but are not limited to, the following examples:

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Table V

**OTHER PARTICIPANT COSTS**

**ADMINISTRATIVE COSTS**

**General OPC**

- Salaries and fringe benefits for staff performing participant development functions directly attributed to development of participant skills. Such services include actual job development, counseling and training, Training Site monitoring.
- Travel of staff performing participant development functions.
- Participant recruitment and intake activities.
- Rent of space, utilities and custodial services for job-hunting clubs or job fair functions.
- Costs of consumable office supplies, equipment and materials used by staff and participants performing recruitment, intake, or participant job development, counseling and training functions.
- All costs related to recertification.
- Development and publication of materials specifically for the purpose of recruiting or developing job for participants.
- Assessment of participant for subsidized or unsubsidized placement.

**General Administrative**

- Salaries and fringe benefits for project administrators and staff (unless participants) performing administrative functions.
- Travel of project administrators and staff (unless participants) performing administrative functions.
- Travel of project administrators and staff, performing administrative functions such as payroll distribution, non-participant-related meetings or similar functions.
- Rent of space, utilities and custodial services for non-participant and administrative staff (including participants performing administrative functions).
- Costs of consumable office supplies, equipment and materials used by non-participants or administrative staff, including enrollees in administrative staff positions.
- Costs incurred in the development, preparation, presentation, management and evaluation of project.

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Table V**

**VI. Guidelines for Allocating Costs to Other Enrollee Costs or Administration (cont)**

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Table V**

<p><b>Job Development – Subsidized</b></p> <ul style="list-style-type: none"> <li>• The development of Senior Community Service Project Training Sites.</li> <li>• Assuring that Training Sites are fulfilling basic SCSEP requirements, such as providing adequate supervision and safe working conditions.</li> <li>• Working with participant/supervisors at the Training Site to determine training/support services needed by participant(s) to result in upgraded or subsidized job or better job performance.</li> </ul>	
<p><b>Training/Counseling</b></p> <ul style="list-style-type: none"> <li>• Assessing supportive service needs of participant(s) and making referrals.</li> <li>• Consulting participant/supervisor about problems revealed during Training Site monitoring visit.</li> <li>• Training/development of participants, including, but not limited to, orientation, special classroom instruction, and participant project meetings; costs for instructors; classroom rentals; training supplies, materials, equipment; tuition, and other costs directly attributed to the training of participants.</li> </ul>	<p><b>Training</b></p> <ul style="list-style-type: none"> <li>• Training of/or technical assistance to non-participant staff on matters of an administrative nature.</li> </ul>

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**VI. Guidelines for Allocating Costs to Other Enrollee Costs or Administration (cont)**

<p><b><i>Training/Counseling (continued)</i></b></p> <ul style="list-style-type: none"> <li>• Training of participant development staff (non-participants) in skills directly related to participant training, job development and/or counseling.</li> <li>• Training of participants in administrative positions.</li> <li>• Holding employer meetings to inform employers of new policies, legislation, etc., affecting participants and other older workers.</li> <li>• Orientation/training of Training Site supervisors about the purposes and goals of SCSEP.</li> </ul>	
<p><b><i>Job Development – Unsubsidized</i></b></p> <ul style="list-style-type: none"> <li>• Gathering data to be used as a basis for unsubsidized placement activities (such as researching future employment needs of a community).</li> <li>• Coordinating employer seminars for the specific purpose of developing subsidized or unsubsidized jobs.</li> <li>• Contacting employers directly to develop unsubsidized jobs.</li> <li>• All job hunting club costs including consultant fees, phones to be used by participants, etc.</li> <li>• All job fair costs directly related to SCSEP participants (pro-rated if non-participants participate).</li> </ul>	