



UNITED STATES DEPARTMENT OF LABOR  
Division of Adult Services

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# SCSEP Data Collection Handbook

The Charter Oak Group, LLC

## Introduction to SCSEP Data Collection Handbook Revision 7

Revision 7 of the Data Collection Handbook is designed to assist grantees and sub-grantees with the changes that have occurred in SPARQ since 2010. This revision of the Handbook contains revised guides to the versions of the four hard copy forms that were effective in August 2016. Unshaded fields are required in that they must be completed if appropriate. The forms are available on the Older Worker Community of Practice at: [https://olderworkers.workforcegps.org/resources/2015/01/28/15/48/SCSEP\\_OMB\\_Approved\\_Forms](https://olderworkers.workforcegps.org/resources/2015/01/28/15/48/SCSEP_OMB_Approved_Forms).

The guides, which follow the order of the forms, provide descriptions of the data elements, explanations of how best to capture and record the required information, and discussions of how the data elements relate to the SCSEP performance measures. Some of the descriptions and explanations contain additional comments. These comments do not always pertain directly to completing the data field but will give the user a fuller understanding of the data element. Therefore, all grantees and sub-grantees, including those that are initially collecting the required data in their own data collection systems, will need to be familiar with and follow the information in this Handbook.

The Handbook uses two terms to describe the SCSEP data collection and reporting system:

- “SPARQ” – The overall automated system (data entry application, national database, management reports, data extracts, and QPRs). SPARQ is the acronym for the “SCSEP Performance and Results QPR” system.
- “WebDCS (or WDCS)” – The Web-based data entry application in SPARQ. All grantees use this application to enter their data into SPARQ regardless of where they initially capture the data.

There are “Topics” at various points throughout the guides. These topics provide more extended discussion of important issues for the data collection and reporting system. Topics generally address broad concepts, such as: what “exit” means, when follow-ups must be completed, and what services may be provided before assigning an applicant to community service. Data elements or topics that have been substantively revised or that are new since the sixth revision of the Handbook are so indicated in the first column. Relevant information that was contained in the postings on the SCSEP *Ask the Experts* Internet forum through February 25, 2017, has been incorporated into this revision of the Handbook. However, users should continue to consult the Forum regularly for complete information about an element or topic. This revision also includes all relevant information from the SCSEP regulations, TEGs, and other guidance that has been issued since the last revision of the Handbook.

In addition, the Handbook references some of the edits in SPARQ that control how, and in what form, data must be entered. For complete information on the requirements for the data system, users should see the SPARQ Users' Guide and other relevant information on the Older Worker Community of Practice at <https://olderworkers.workforcegps.org/performance/SPARQ>. For information on the QPR, users should see the QPR Handbook, which is also available on the Community of Practice.

A PDF version of the SCSEP Data Collection Handbook is available at the Older Worker Community of Practice at [https://olderworkers.workforcegps.org/resources/2015/01/29/11/29/SCSEP\\_Data\\_Collection\\_Handbook](https://olderworkers.workforcegps.org/resources/2015/01/29/11/29/SCSEP_Data_Collection_Handbook).

The Handbook has a revision number and a date on the bottom of each page. The hard copy version of the Handbook that users may have been given may not contain the most up-to-date version of the guides. However, the version on the Internet will always be the most recent, and users are encouraged to check the Internet regularly. Additions and clarifications to the Handbook will be posted on the SCSEP *Ask the Experts* Internet forum as they occur. The PDF version has a search function that will allow users to search for key words. The search function will bring you to each instance of the search terms in the Handbook. This is probably the easiest and quickest way to find information in topics.

The Handbook is designed to be used electronically to take advantage of the search function in the PDF version. A new electronic version that is integrated with the Data Validation Handbook will be available on the Older Worker Community of Practice later this year. The Handbook can also be printed in landscape format, back-to-back, "military" style, that is, with the binding along the top. The Handbook has been organized so that the text for each guide starts on an upper page when the Handbook is opened flat, affording the reader a view of two full pages. Where possible, breaks were inserted at the end of each bottom page to avoid having material run over to the next page. To facilitate this full two-page view, extra pages have been inserted where required. These pages are identified as being intentionally left blank.

All of the resources referenced in this introduction, including the hard copy forms, the Data Collection Handbook, and the SPARQ Users' Guide, can be accessed through the Older Worker Community of Practice.

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# **Participant Form Guide**

## Participant Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 1	Modifying OMB-approved data collection forms	<ul style="list-style-type: none"> <li>• You are free to modify the forms to add data elements, but if you do so, you must remove all of the OMB information and the SCSEP form numbers from those modified forms. OMB and SCSEP have authorized only the collection of the data on the approved forms.</li> <li>• If you modify the forms, you must retain all of the data elements on the official versions. To facilitate data entry, you may wish to keep the elements in the same order as the data application. You could also use the official forms and collect the additional information on a separate form.</li> </ul>
Form Heading 1 Form Heading 2 Form Heading 3	Sub-Grantee Local Site Case Worker	<ul style="list-style-type: none"> <li>• WebDCS will identify grantee and sub-grantee from the log in. The user does not input either the name or the code.</li> <li>• WebDCS users can enter local site and case worker in the row above the participant name on the enrollment screens. These fields are specific to the enrollment. You may use the local site if the sub-grantee has multiple sites and the name of the case worker, if applicable.</li> <li>• You can sort or filter by these two fields when you export the results of certain management reports. You can filter by sub-grantee when you generate any management report.</li> </ul>
Topic 2	Ineligible applicants: When is an application required?	<ul style="list-style-type: none"> <li>• Grantees are required to take an application from any individual who indicates a desire to apply – even if project staff persons believe that the individual is ineligible. However, sub-grantees and local projects may provide information about the program and its eligibility requirements without taking an application if the individual is only making an inquiry and does not ask to make application.</li> <li>• If someone calls and inquires about the program, it is entirely appropriate to inform the individual of the eligibility requirements and to ask if the individual thinks he or she is eligible and would like to proceed with an application. It is even appropriate to assist the individual with calculating his or her income to determine whether the individual's income meets the guidelines. You must, however, be willing to take an application at the individual's request even if your preliminary discussion suggests that the individual is ineligible.</li> <li>• DOL strongly encourages grantees to begin entering applications into SPARQ as soon as they start collecting information from applicants. Various management reports enable grantees to track the progress of applications throughout the process. In addition to protecting applicants' rights, taking applications from ineligible applicants may help to document unmet needs and provide a basis for Congress to expand the program.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 3	Entering N/A or “dummy” data into the data system	<ul style="list-style-type: none"> <li>• Do not enter <u>anything</u> into the data system except valid data. If you cannot obtain the information – or even if you think the field should not have any data in it – <u>just leave the field blank</u>. This is very important to the integrity of the data system and to the ability to extract data. There are many situations where the national office needs to know if someone has a valid name, address, Social Security number, etc. (See element 4 below for information on obtaining proxy Social Security numbers for applicants without them.) If you enter N/A or make up a value, SPARQ will wind up selecting that record, and it will then be necessary to find some way to manually delete it when the invalid data are discovered. This happens extensively with the customer satisfaction survey samples when sub-grantees put N/A or some other invalid value into critical fields like contact person name or FEIN.</li> <li>• SPARQ will prevent you from entering invalid values into most fields.</li> </ul>
Topic 4 (Revised)	Data errors in SPARQ	<ul style="list-style-type: none"> <li>• WebDCS users will be prevented from entering invalid values into most fields, and many errors in data quality will be flagged before the user leaves the screen on which the errors have occurred. Most other data quality problems for an enrollment will be noted in the Enrollment Data Quality Problems (EDQP), accessible on the main page of the WebDCS for that participant before you close the record you are working on.</li> <li>• Unlike the EDQP, the Data Quality Report (DQR), the Rejects Report, and the Durational Rejects Report provide a listing of <u>all</u> data quality problems for a grantee. (DQRs are also available at the sub-grantee level.) Records are identified by participant last name and participant ID number (PID). Some errors do not appear on the EDQP, so the final check for errors should always be the DQR.</li> <li>• SPARQ classifies data errors. Records are rejected by the QPR only if they contain serious errors affecting eligibility, performance, or essential program requirements. Most of these rejections will be flagged at the screen level and will prevent you from leaving the screen without fixing them. Those that cannot be detected at the screen level will be noted in the Enrollment Data Quality Problems (EDQP) on the main page and the DQR.</li> <li>• All errors other than rejections are designated as warnings. In addition to error messages identifying the source of the error, the warnings include a priority number based on the importance of the error:</li> </ul>

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		<ul style="list-style-type: none"> <li>○ Warning Priority 1, like a reject, affects eligibility, performance or program requirements. In this instance, although the entire record will not be rejected, credit for one or more measures is usually affected.</li> <li>○ Warning Priority 2 affects either a QPR measure other than one of the performance measures in Section E or F, or a routine SCSEP program requirement.</li> <li>○ Warning Priority 3 involves data elements that are required but that are not reported on the QPR.</li> </ul> <ul style="list-style-type: none"> <li>● Warnings and error messages are not generated for most optional fields.</li> </ul>
Topic 5 (Revised)	Missing data warnings	<ul style="list-style-type: none"> <li>● If a field is left blank when it could have had data entered, you may receive a Warning Priority 3 (the lowest level of warning) advising you that the field has no value in it.</li> <li>● <i>You should never put made-up data or N/A into any field.</i> If you do not have the data and cannot or do not intend to get them, leave the field blank and ignore the missing data warning. As long as you do not get a rejection message, you can ignore any data warning where you know that you have done everything you can to correct or complete the data.</li> <li>● Grantee and sub-grantee administrators have the ability to turn off many of the missing data warnings on a record-by-record basis.</li> </ul>
1	Last name	<ul style="list-style-type: none"> <li>● A last name (along with a Social Security number and application date) is required to create a valid record in SPARQ.</li> <li>● The fields for the applicant's first and last name will be used to mail letters and the customer satisfaction survey. Enter them as you want them to appear on a mailing label. If you make an error in entering any part of the name or if the participant's name changes, contact SCSEP HELP &lt;help@scsep-help.com&gt;. Grantees cannot change a name once it is entered into SPARQ.</li> </ul>
2	First name	<ul style="list-style-type: none"> <li>● A first name is not required for a valid record. If the applicant only uses one name, list that name as the last name and leave this field blank.</li> <li>● Because the applicant's first and last name will be used for mailings like the customer satisfaction survey, it is essential to enter a first name for all applicants except those who use only one name.</li> </ul>
3	Middle initial	<ul style="list-style-type: none"> <li>● You should leave this field blank if the individual does not have a middle initial.</li> </ul>



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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
4 (Revised)	Social Security Number	<ul style="list-style-type: none"> <li>• SPARQ requires a Social Security Number (SSN) for all records, including applicants and those on the waiting list, because the SSN is used initially to determine whether there is already an existing record for the individual. As soon as the SSN is first entered into SPARQ, it is immediately masked and encrypted in the SPARQ database. SPARQ then generates a Participant Identification Number (PID) that is used to uniquely identify the individual. The SSN itself is never retransmitted or displayed in any way in SPARQ. This limited and totally protected use of SSNs is in accordance with DOL’s security policy.</li> <li>• The Social Security number will also be used to obtain UI wage records for determining the entered employment, retention, and average earnings measures once these records become available for all grantees. SPARQ will not allow a records without a Social Security number to be saved. SPARQ will also reject records that contain the same Social Security number as that used for a currently active participant. This will prevent the entry of duplicate participations and incorrect Social Security numbers.</li> <li>• If the applicant does not have a Social Security number, do not make one up. Instead, contact the national office and it will provide a proxy number that you may use.</li> <li>• If you make an error in entering an SSN and need to fix it, contact SCSEP Help.</li> <li>• All data saved or uploaded to SPARQ are encrypted using Secure Socket Layer (SSL) while being transmitted over the Internet. The DOL server also stores Personally Identifiable Information (PII), including first name, middle initial, address and Social Security number, in an encrypted format to ensure confidentiality.</li> </ul>
Topic 6	Dual enrollments	<ul style="list-style-type: none"> <li>• A dual enrollment occurs when the same participant is enrolled with two grantees (or sub-grantees) at the same time. Dual enrollments are prohibited because they distort performance, resulting in some grantees getting credit for enrollments or placements that they do not deserve. They also create the possibility that participants will receive more hours of community service than they should, or that grantees will exceed the permissible limits on training dollars.</li> <li>• Because dual enrollments are not permitted in SCSEP, SPARQ will not permit users to create an enrollment for a participant who is currently active in SPARQ. There may be a situation in which you know that a prior enrollment has ended but the termination of the prior enrollment by another grantee has not yet been entered into SPARQ. In this case, you should contact the other grantee to have the prior exit entered into SPARQ. This will permit you to enter the new enrollment.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
5	Home phone number	<ul style="list-style-type: none"> <li>• If the participant has no home phone, try to obtain a number where a message can be left with a friend, neighbor, family member, or social service agency. If none, leave blank. Do not enter N/A or dummy data into this field.</li> </ul>
6 (Revised)	Mailing address	<ul style="list-style-type: none"> <li>• If the applicant does not have a residence, try to obtain an address at which the applicant can receive mail. The mailing address fields will be used to mail letters and the customer satisfaction survey.</li> <li>• Be sure to enter the complete address exactly as you want it to appear on the envelope. “County” will not be used for mailing. If you know the last address you have for the participant is wrong and you are unable to obtain the correct address, replace the street number and street name with an asterisk. Leave the last known data in the other address fields. This will prevent surveys being mailed to the participant.</li> <li>• For homeless applicants, you should try to obtain the mailing address of a friend, family member, or social service agency at which they can receive mail.</li> </ul>
6(a)	Number and street; apt. #; PO Box	<ul style="list-style-type: none"> <li>• If the address has a rural route number or Post Office box rather than a street, use field 6(a) to record that information. If there are both a street and a Post Office box, record both in field 6(a). In this case, the ZIP code should be that of the P.O. Box, not the street address.</li> </ul>
6(e) (Revised)	County	<ul style="list-style-type: none"> <li>• Enter the participant’s county of residence in this field. County of residence is the county in which the applicant is residing at the time of application. It does not mean the applicant's legal residence or domicile.</li> <li>• Grantees may only enroll applicants who reside in a county in which the grantee has authorized positions. The participant does not need to reside in the county in which the sub-grantee or the host agency is located.</li> <li>• Use in field 6e only the approved list of counties. For territories and the District of Columbia, which do not have counties, the list uses the name of the territory or the District. For Alaska, the list uses boroughs and census areas.</li> <li>• Applicants must reside in the state in which they apply unless the state has an approved cross-border agreement with another grantee.</li> <li>• County of residence is used for planning, equitable distribution, and persistent unemployment (field 54). It is not used for mailing.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 7 (New)	Change in county of residence	<ul style="list-style-type: none"> <li>• A grantee may only serve participants in counties where it has authorized positions under the Equitable Distribution (ED) requirements listed on SCSEPED.org. If the participant is moving to a county that the grantee is not authorized to serve, the grantee should contact the authorized grantee in that county to see if a transfer can be arranged. (If the original grantee is authorized to serve in the new county but that county is served by a different sub-grantee, the grantee has the ability to change the sub-grantee unilaterally.)</li> <li>• If there is a transfer, the donor and recipient grantees may work out an arrangement that allows the participant to remain at the original host agency. For transfers initiated by the grantee, the recipient must provide the participant the right of first refusal, which includes the right to stay in the original host agency for at least 90 days after the transfer. See element 17 and the topics that follow it and the current transfer instructions on the Community of Practice.</li> </ul>
Topic 8 (New)	Participants who reside in counties with no authorized positions	<ul style="list-style-type: none"> <li>• Under the SCSEP statute, SCSEP funding is distributed equitably by county throughout the country based on the demographic make-up of the county and the overall level of available SCSEP funding. The equitable distribution (ED) rules mean that no grantee can enroll applicants who reside in counties that the grantee is not authorized to serve. The same rule applies if the applicant resides in a county that has no authorized positions. Because of the reduction in funding, there are now approximately 100 counties with no authorized positions. Applicants who reside in those counties are not able to be enrolled by any grantee. Applicants who are not able to be enrolled should be referred to their local American Job Center (AJC) for job training and job search assistance. All AJCs are listed online at <a href="http://www.servicelocator.org/">http://www.servicelocator.org/</a></li> </ul>
6a	Participant's e-mail address	<ul style="list-style-type: none"> <li>• This optional field may assist you in contacting the participant.</li> </ul>
6b	Emergency contact	<ul style="list-style-type: none"> <li>• This optional field may assist you in contacting the participant.</li> </ul>
7	State of residence if different from mailing address	<ul style="list-style-type: none"> <li>• Residence is defined as an individual's primary dwelling place or address as demonstrated by appropriate documentation. No minimum length of residence is required.</li> <li>• A homeless individual is considered a resident of the state in which he or she is applying.</li> <li>• Grantees may accept residents of other states if there is an approved multi-state agreement.</li> <li>• Data validation is required for this element.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 9 (Revised)	Most-in-Need measure: priorities of service and waiver factors	<ul style="list-style-type: none"> <li>• The Most-in-Need measure reports the average number of barriers to employment per participant. The regulation allows credit for a total of 13 barriers to employment in two separate categories.</li> <li>• The first category is comprised of 8 priorities of service: homeless or at risk of homelessness; rural; LEP; low literacy skills; veteran (or qualified spouse); disability; failed to find employment after using WIOA Title I; and low-employment prospects. Although age 65 and over is also a priority of service, it is not included in the Most-in-Need measure.</li> <li>• The 8 priorities of service are recorded only at the time of enrollment and may not be updated. If a participant's conditions change during enrollment, you can record that fact in the comments section of the Participant Form, but you may not update any of these 8 fields.</li> <li>• You may only correct the priorities of service in SPARQ for true data entry errors, e.g., the documentation at the time of enrollment shows "yes" but the data entry person mistakenly entered "no" into SPARQ. If there was a mistake of fact, e.g., at enrollment you thought the answer was "no," but you later learned the answer was "yes," you cannot change the priority of service in SPARQ. If you do make a data entry correction for a priority of service, you must clearly document the date on which the original information was obtained, along with how and when the date entry error was discovered. All of this information is subject to data validation.</li> <li>• The second category has 5 additional barriers to employment that are part of the waiver factors for the durational limit: severe disability; frail; old enough for SS retirement but not eligible to receive it; severely limited employment prospects in an area of persistent unemployment; and age 75 and over.</li> <li>• LEP and low literacy skills are also waiver factors in addition to being priorities of service. They are recorded with the priorities of service so that you can provide appropriate services at the beginning of enrollment. They are only counted once for the Most-in-Need measure.</li> <li>• Unlike the priorities of service, the waiver factors may be entered into SPARQ whenever you become aware of them, and you will receive credit in the Most-in-Need measure for each program year in which a waiver factor is updated. (See Form Heading 5 and fields 51-57 for an explanation of the waiver factors.)</li> <li>• The Most-in-Need measure is calculated only for participants who enrolled on or after July 1, 2007.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
8 (Revised)	Homeless	<ul style="list-style-type: none"> <li>• Homeless means (1) an individual who lacks a fixed, regular, and adequate nighttime residence; or (2) an individual who has a primary nighttime residence that is: (A) a supervised publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing for the mentally ill); (B) an institution that provides a temporary residence for individuals intended to be institutionalized; or (C) a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings. An applicant who meets either part of the two-part test is considered homeless.</li> <li>• The Most-in-Need measure will count participants who are either homeless <u>or</u> at risk of homelessness (field 27) at the time of enrollment. These barriers are mutually exclusive, and only one barrier can be chosen. Homeless remains in field 8 in the Participant Information section because it may be used to establish residence for eligibility.</li> <li>• Like all priorities of service, you do not update this field after the time of enrollment. You should note any change in status after enrollment in the case notes or comment section.</li> <li>• Data validation is required for this element.</li> </ul>
8a (Revised)	Urban/rural	<ul style="list-style-type: none"> <li>• Urban/rural is captured for the Most-in-Need measure.</li> <li>• “Rural” means an area not designated as a metropolitan statistical area by the Census Bureau; segments within metropolitan counties identified by codes 4 through 10 in the Rural Urban Commuting Area (RUCA) system; and RUCA codes 2 and 3 for census tracts that are larger than 400 square miles with a population density of less than 30 people per square mile.</li> <li>• You may determine rural by using the link from either field 8a of the WebDCS or the SPARQ home page. This will bring you to a list of counties by ZIP code. Check the participant’s ZIP code (field 6e) to determine if the participant resides in a rural area.</li> <li>• SPARQ carries the RUCA tables based on the 2010 Census. Grantees should use these updated RUCA codes for enrollments with application dates on or after November 26, 2014.</li> <li>• The RUCA ZIP code cross-walk will cover most but not all participants. It does not include RUCA codes 2 and 3 for low-density areas, and it does not contain any ZIP codes for Puerto Rico. For these, you will need to use the census tract tables.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• Here are the complete instructions for determining whether an area is rural:               <ol style="list-style-type: none"> <li>1. First go to the ZIP code table and check by ZIP code. ZIP codes are listed at: <a href="http://www.ers.usda.gov/data-products/rural-urban-commuting-area-codes.aspx">http://www.ers.usda.gov/data-products/rural-urban-commuting-area-codes.aspx</a>. Use the 2010 ZIP codes. RUCA codes 4 and above are rural.</li> <li>2. If the ZIP code is missing from the table or if the ZIP code table does not seem to be providing the right answer based on your knowledge of the area, you can look up the state, county, and census tract codes for the participant at this site: <a href="http://www.ffiec.gov/Geocode">http://www.ffiec.gov/Geocode</a>. Select the year from the dropdown at the upper left. The link is also provided at field 8a of the WDCS and the SPARQ home page.                   <ul style="list-style-type: none"> <li>○ This system requires you enter a street address with a city and state OR zip code. Enter the street address as a single line, i.e., 1600 Pennsylvania Ave, Washington, DC 20500 or 1600 Pennsylvania Ave, 20500. The entire street address does not need to be entered; however, a comma (,) must follow the street address to render accurate results. If the system is able to match the address, the matched address will be shown on the left side of the screen in the “Matched Address” section.</li> <li>○ Make sure that your address is accurate. If it is a street, do not enter it as an avenue or boulevard, etc. Do not include apartment numbers with the street number and address. Include the correct city and state and/or zip code for the street address. The system does not geocode P.O. Boxes or Rural Routes.</li> <li>○ Once you have entered the address information in the appropriate boxes, click on the 'Search' button or hit the enter key to obtain the geocode information for state, county, and tract code located in the “Matched Address” table on the far left side of the page. For additional assistance, visit the Help page for the Geocode site.</li> </ul> </li> <li>3. Then go to the 2010 census tract table for the state in question. In the Excel table of census tracts, you can use the “find” function in Excel to find the exact census tract you are looking for, or you can sort on the tract column heading, or you can just scroll until you find the tract. Again, RUCA codes 4 and above are rural.                   <ul style="list-style-type: none"> <li>○ If the census tract is larger than 400 square miles and has a population density of less than 30 people per square mile, RUCA codes 2 and 3 are also rural. These have been coded as rural in the census tract table in SPARQ.</li> </ul> </li> </ol> </li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>○ The census tract determination is the final answer.</li> <li>● Data validation is required for this element. Data validators will need to use the old RUCA tables, which are available on Community of Practice, for the PY 2015 validation of PY 2014 data and the new tables for PY 16 and later data validation.</li> </ul>
9	Application date for enrollment or re-enrollment	<ul style="list-style-type: none"> <li>● Enter the date on which the initial application was filled out. If the information is provided over several different dates, enter the first date on which information is recorded. SPARQ will reject any record that does not have an application date.</li> </ul>
10	Date of birth	<ul style="list-style-type: none"> <li>● Since age is a SCSEP eligibility requirement, this information is required for all applicants. SPARQ will reject any record where you have determined an applicant under the age of 55 to be eligible.</li> <li>● Data validation is required for this element.</li> </ul>
Topic 10	Timeframe for determining age and other characteristics for performance measures	<ul style="list-style-type: none"> <li>● For purposes of the QPR and the performance measures, age and other relevant characteristics, like poverty level, are determined at the time of enrollment. The statute and regulations require you to give priority of service to those 65 and over if you have more applicants than you have positions. This can only be measured at the time you decide which eligible applicants to enroll and which to place on the waiting list. Age 65 and over, however, while still a priority for service, is not included in the Most-in-Need measure.</li> <li>● The Most-in-Need measure also considers the waiver of durational limit factors that are listed in fields 51-57. Unlike priority of service and other participant characteristics, the waiver of durational limit factors may be updated whenever you become aware of changes. Age 75 and over (see field 57) is recalculated for you each time the WebDCS is accessed. You will receive credit in the Most-in-Need measure whenever the waiver factors are recorded. They must be updated at least once each program year to continue receiving credit in the Most-in-Need measure.</li> <li>● Because the performance system determines characteristics at the time of enrollment, you may not update any fields on the Participant Form, other than contact information and those for recertification (fields 44-50), in order to reflect changes in the participant's characteristics.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
11 (Revised)	Number in family	<ul style="list-style-type: none"> <li>• TEGL 12-06 has governed income eligibility since 1/1/07.</li> <li>• Enter the number of individuals in the applicant’s family. A “family” is defined in TEGL 12-06 as husband, wife, and dependent children; parent or guardian and dependent children; or husband and wife. See Topic 15 below for an explanation of dependent children. However, under the Supreme Court’s 2015 ruling in <a href="#"><i>Obergefell v. Hodges</i></a>, the TEGL must be read to include same-sex spouses regardless of the state in which the marriage took place. Except in the eight states that recognize common law marriages, you do not treat a live-in partner as a spouse.</li> <li>• A pre-nuptial agreement that provides that each spouse’s income, assets, and property remain separate and may not be counted as being available to the other spouse has no bearing on the definition of family for purposes of SCSEP eligibility.</li> <li>• If the applicant is claimed as a dependent on someone else’s tax return, you must use the broader Current Population Survey (CPS) definition of family. See Attachment II of the TEGL and Topics 16-19 below. In addition, consistent with 20 CFR 641.500, an applicant with a disability may, at the option of the applicant, be treated as a family of one for income eligibility determination purposes. See element 26 and Topic 90. (See Topics 82-84 for important information about disability and medical records.)</li> <li>• Count only current family members living together. Do not count deceased spouses or separated spouses who are living separately. DOL has recognized an exception for spouses who are not separated but maintain two households. However, if the spouse is institutionalized and is not expected to return to the household, you treat the applicant as a family of one. If the institutionalization is temporary, you treat the applicant as a family of two.</li> <li>• Do not use this field for recording family size at recertification. All recertification data are entered in fields 44-51. Field 11 will always reflect the family size at the time of initial enrollment. Do not overwrite this field.</li> <li>• Data validation is required for this element.</li> </ul>
Topic 11 (New)	Consequence of status as family of one due to disability	<ul style="list-style-type: none"> <li>• If the applicant/participant claims and documents status as a family of one due to disability, the income of any other family members is not includable for SCSEP eligibility purposes and is not required to be documented for the eligibility determination or for data validation. Since the applicant/participant is entitled by law to this status and the benefits it provides, the grantee's policy should not require the</li> </ul>



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		<p>documentation of the income of other family members regardless of whether they contribute to the applicant/participant's household income.</p> <ul style="list-style-type: none"> <li>Family-of-one status does not automatically extend to other members of the applicant's family who are seeking enrollment in SCSEP. Each applicant must establish his or her own entitlement to this status.</li> </ul>
Topic 12	Documentation of family size	<ul style="list-style-type: none"> <li>The Data Validation Source Documentation Requirements permit three forms of documentation for family size: official documents or business records; detailed case notes; or signed attestation. The signed attestation must be from "a third-party who has knowledge of the participant's number in family and reflects the living situation at time of application." Participant self-attestation is prohibited.</li> <li>For documentation of family size, there is no requirement that the signed attestation be from a person of authority. A friend may sign the attestation. If you are using a detailed case note reflecting information received from a third-party rather than a signed attestation, you must document why there is no signed attestation. A person of authority could be a source that would justify not having a signed statement; a friend would ordinarily not be a sufficiently reliable source for a case note.</li> </ul>
Topic 13	Marriage license as documentation of family size	<ul style="list-style-type: none"> <li>A marriage license by itself is not sufficient to establish family size of two. The spouse's income will need to be verified as part of total family income, and that should enable you to determine that the applicant and spouse reside together. By itself, without the income verification, the marriage license could only establish that the applicant had been married at some time, not that the applicant resides with a spouse at the time of application.</li> </ul>
Topic 14 (Revised)	Common law spouse	<ul style="list-style-type: none"> <li>Under the eligibility TEGL, you only count the income of spouses living together. If a state or territory recognizes common law marriages itself (or recognizes common law marriages that are valid in other states) and the applicant meets the definition, then you count the income of the common law spouse who is living with the applicant.</li> </ul>
Topic 15 (Revised)	Adult child living with applicant; dependent child; grandchild	<ul style="list-style-type: none"> <li>Attachment II of TEGL 12-06 sets forth the rules for family size. The starting point is that family is defined as parent(s) and dependent children. The IRS defines dependent child as someone 1) under the age of 19, or 2) under the age of 24 if a full-time student, or 3) permanently and totally disabled. Other restrictions apply. See <a href="http://www.irs.gov/uac/A-%E2%80%9CQualifying-Child%E2%80%9D">http://www.irs.gov/uac/A-%E2%80%9CQualifying-Child%E2%80%9D</a>. An exception applies where the <u>applicant</u> is claimed as a dependent on the federal income tax return of a family member with whom she resides. See Topics 16 and 17 below.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• A child 19 or older can only count as a dependent if the child is under 24 and a full-time student or is permanently and totally disabled, and satisfies the other requirements of the IRS definition.</li> <li>• Dependents include a child of any age who is totally and permanently disabled. The IRS definition states that a child is permanently and totally disabled if both of the following apply: 1. He or she cannot engage in any substantial gainful activity because of a physical or mental condition; and 2. A doctor determines the condition has lasted or can be expected to last continuously for at least a year or can lead to death.</li> <li>• The IRS four-part test requires that the dependent live with the applicant at least half the year. There are special rules for divorced parents, but in general, the custodial parent gets to claim the child unless there is a waiver in favor of the non-custodial parent. Grantees should examine the applicant's latest income tax return to determine if the applicant is claiming the dependent child exemption.</li> <li>• If the child is not a minor and does not qualify as a dependent under the IRS rule, then the child is not part of the applicant's family, and the child's income is not includable. If the child is a dependent, then the child's income is includable as part of the family income.</li> <li>• Grandchildren also qualify if they meet the other conditions of the IRS test. Under the SCSEP eligibility TEGL, legal guardianship would also satisfy the relationship test, but it is not required for the IRS test.</li> <li>• Dependent parents of an applicant are not part of an applicant's family and their income is not includable.</li> </ul>
Topic 16	Participant claimed as dependent by another person; length of penalty	<ul style="list-style-type: none"> <li>• In cases where a participant or applicant has been claimed as a dependent on the tax return of another individual, the participant or applicant must be treated as a member of that individual's family for the next year. If the participant or applicant claims that circumstances have changed and that he or she is no longer a dependent, the participant or applicant will have to produce a new tax return to document that he or she is no longer a dependent.</li> </ul>
Topic 17	Counting family members when the applicant is	<ul style="list-style-type: none"> <li>• According to the eligibility TEGL, if the applicant is claimed as a dependent on someone else's tax return, you must include in the applicant's family all individuals currently residing with the applicant who are related by blood, marriage or adoption.</li> </ul>

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	claimed as a dependent	<ul style="list-style-type: none"> <li>• You need not include these family members if the applicant lives independently; pays all of his or her own expenses, including rent and utilities; does not share meals; and has separate living quarters, including a separate entrance. The mere fact that the applicant pays rent and is financially independent is not sufficient if the applicant does not have separate living quarters.</li> </ul>
Topic 18 (New)	Spouse in nursing home	<ul style="list-style-type: none"> <li>• If the spouse permanently resides in the nursing home and is not expected to resume living with the applicant, the applicant has a family size of one. If a spouse is temporarily in a nursing home and is planning to return to the applicant's household, the family size is two.</li> </ul>
Topic 19 (New)	Receipt of food stamps or other benefits as proof of family size	<ul style="list-style-type: none"> <li>• You can use official documents to establish family size to the extent that the documents are relevant. A determination of a state or federal agency to award benefits to a SCSEP applicant is unlikely to be relevant to the issue of family size for SCSEP eligibility purposes unless the other agency uses the same definition of family that SCSEP uses. In most cases, you are more likely to be able to use the facts found by the other agency, e.g., that the applicant is married and lives with his or her spouse and no other persons, than the legal conclusion the agency drew. That is because most programs have their own definitions of family and includable income. Even when you can use the facts from another agency's determination, you may have to determine that those facts are still true at the time you make your eligibility determination.</li> </ul>
12	Receiving public assistance?	<ul style="list-style-type: none"> <li>• If the applicant is receiving any form of public assistance, check the appropriate box(es) b-g. If the applicant is receiving some form of public assistance other than those listed in boxes b-g, check box h and specify the type of assistance. If the applicant is not receiving any form of public assistance, check box a.</li> <li>• This data element applies to the applicant only, not the entire family.</li> </ul>
13	Employed prior to participation?	<ul style="list-style-type: none"> <li>• Enter 1 if the participant was employed at the time of participation. An individual employed on the date of participation is one who, on the date participation occurs:               <ul style="list-style-type: none"> <li>○ Did any work at all as a paid employee (except the individual is NOT considered employed if: a) he/she has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close; or b) he/she is currently on active military duty and has been provided with a firm date of separation from military service);</li> <li>○ Did any work at all in his/her own business, profession, or farm;</li> </ul> </li> </ul>

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		<ul style="list-style-type: none"> <li>○ Worked 15 hours or more as unpaid worker in an enterprise operated by a member of the family; or</li> <li>○ Was not working, but has a job or business from which he/she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time off, and whether or not seeking another job.</li> <li>● Enter 2 if the participant is a person who, although employed, has received notice of termination of employment.</li> <li>● Enter 3 if the individual does not meet the definitions listed above, i.e., was not employed on the date of participation.</li> <li>● <u>Since SCSEP participants are required to be unemployed at the point of enrollment, only those for whom you have recorded a 3 are eligible to become participants.</u></li> <li>● This field is for the Common Measures and applies to applicants who are assigned to community service. The point of determination is the date of assignment to community service.</li> <li>● See Topics 101-107 below for a discussion of what constitutes employment for purposes of eligibility.</li> <li>● Data validation is required for this element.</li> </ul>
13a (Revised)	Did applicant engage in volunteer work prior to participation? If yes, total number of volunteer activities _____	<ul style="list-style-type: none"> <li>● This field is used to determine if the participant is in the pool for the additional measure on volunteerism. See Form Heading 3 of the Exit Form Guide.</li> <li>● Select “yes” if the participant engaged in formal volunteer work at any time in the 30 days prior to the eligibility determination. The Final Rule defines formal volunteer work as: Activities or work that former participants perform for a public agency of a State, local government or intergovernmental agency, or for a charity or not-for-profit organization, including faith-based or community-based organizations, for civic, charitable, or for humanitarian reasons, and without promise, expectation, or receipt of compensation. It does not include informal volunteer work that an individual performs on his or her own and not through an organization.</li> <li>● “Unknown” is not an option for this field because a participant must be either in or not in the formal measure. Participants should be encouraged to give the best possible answer. If they are unwilling or unable to, then you should answer “no” to this question.</li> </ul>

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		<ul style="list-style-type: none"> <li>• If the participant engaged in volunteer work at any time in the 30 days prior to the eligibility determination, enter the total number of organizations for which the participant volunteered during that time. Count separate organizations, not jobs within each organization.</li> <li>• Grantees must collect this information for all new participants at the time of enrollment.</li> </ul>
Topic 20 (Revised)	Is serving as an usher at a church on Sunday volunteering?	<ul style="list-style-type: none"> <li>• Performing work for a church falls within the definition of formal volunteering. Although one could argue that ushering, unlike many other church activities, only benefits members of the church, such activity meets the requirement that the activities or work be “for civic, charitable, or for humanitarian reasons.”</li> </ul>
Topic 21 (Revised)	What does compensation mean? Does it include a stipend?	<ul style="list-style-type: none"> <li>• The regulation says that the work must be performed “without promise, expectation, or receipt of compensation.” Compensation is money received for performing the volunteer work. Compensation includes a stipend even if such a stipend would not be considered income for purposes of SCSEP eligibility. Compensation does not include reimbursement of, or an allowance for, expenses incurred in the course of volunteering.</li> </ul>
14 (Revised)	Total includable family income (12-month or 6-month annualized)	<ul style="list-style-type: none"> <li>• Under the eligibility TEG, you use the 12-month period prior to application or the 6-month period annualized, whichever is more favorable to the applicant.</li> <li>• Do not use this field for recording income at recertification. All recertification data are entered in fields 44-51. Field 14 will always reflect the income at the time of initial enrollment. Do not write over this field.</li> <li>• Family income is used to establish eligibility. It includes the income of current family members identified in field 11 above. There is no required form for this element; sub-grantees may use any income worksheet they wish for calculating income. Although not part of the SPARQ database, the worksheet must be retained in the file for all applicants. You must also retain documentation of all includable income sources.</li> <li>• All earnings from employment, both casual employment and regular, consistent employment, are counted unless excluded by TEG 12-06.</li> <li>• The procedure for validating income is set out in the eligibility TEG and the Data Validation Handbook. There are no exceptions. You must calculate the family income for the 12-month period prior to application or the 6-month period and annualize it. If the applicant is ineligible because the income in</li> </ul>

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		<p>both look-back periods is not truly typical, the applicant will have to wait until the atypical income drops out of the look-back period and reapply at that time.</p> <ul style="list-style-type: none"> <li>• Data validation is required for this element. Documentation must establish which lookback period was used, that all appropriate income was included, that the calculations are correct, and that the participant's incomes was less than 125% of FPL.</li> <li>• The DV Handbook states that tax returns are rarely sufficient by themselves because they do not correspond to the precise time covered by the look-back period. They can be used in combination with documentation of the precise dates of employment to determine the amount of earnings during the relevant look-back period.</li> <li>• Validators are required to validate that total includable family income was correctly calculated in accordance with TEGL12-06, including verification of whether the 6-month annualized or 12-month amount was used.</li> <li>• No documentation of the amount of excludable income is required, but the file must list all sources of income considered and indicate whether or not they are included in the income calculation. For example, if SSDI or SSI is indicated as an income source, you do not need to document the amount of the disability payment. We just need to record that it was identified as a source of income but was not included in the calculation. If it was not identified at all or if it was improperly included in the income calculation, the item should fail DV.</li> <li>• An attestation is always required. If the applicant is claiming no income, the attestation must explain how the applicant supports himself or herself. If the applicant reports some income, he or she must attest that all income has been disclosed and that no other sources of income exist. See the form for element P45 in the Appendix to the DV Handbook.</li> </ul>
Topic 22 (New)	Federal Poverty Guidelines	<ul style="list-style-type: none"> <li>• SCSEP eligibility is limited to applicants whose family income is less than 125% of the Federal Poverty Guidelines in effect at the time of enrollment. The Department of Health and Human Services (HHS) annually updates the guidelines in January and publishes them in the Federal Register. DOL then issues a TEGL formally informing grantees of the applicability of the revised guidelines. The effective date for SCSEP is the date established by HHS unless the TEGL lists a different date. DOL has always used the HHS date.</li> </ul>

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		<ul style="list-style-type: none"> <li>• SPARQ has an edit that prevents an applicant from being determined eligible for SCSEP if the amount reported in field 14 exceeds the applicable Federal Policy Guidelines. It can take several weeks or more before SPARQ reflects the latest guidelines, but when it does, the edit is retroactive to the effective date of the revised guidelines.</li> </ul>
Topic 23	Date for determining income of applicants	<ul style="list-style-type: none"> <li>• The statute and regulations state that the look-back period for income eligibility ends on the date of application. That means that you look back 6 or 12 months from the calendar date of application to determine the amount of income received. If the application is completed on October 16, you would include all income received from April 16 to October 16 if you were using a 6-month look-back period.</li> <li>• Even if you know that a participant will be receiving income, such as a pension check, within a few days of the application date and will become over-income, you generally cannot delay the determination and find the applicant ineligible. The statute is explicit about when the look-back period ends. The applicant is entitled to the benefit of the look-back period, just as a taxpayer is entitled to take advantage of any favorable provision in the tax code.</li> <li>• However, this rule applies only to sources of income that have already been disclosed and included in the look-back calculation. If there is a new or additional source of income that would constitute a substantial change in circumstances, you would be required to do a recertification once the income was received. (See Topic 130.) Therefore, under these limited conditions, you should delay the determination, count the new income, and find the applicant ineligible.</li> <li>• On the other hand, an ineligible applicant who has been determined over-income can reapply and have eligibility re-determined whenever a change in income would make the individual eligible under either the 12-month or 6-month look-back period.</li> </ul>
Topic 24 (New)	Exception to timing rules for atypical income	<ul style="list-style-type: none"> <li>• DOL has recognized a limited exception to the date for determining income in cases where a fluke in timing results in the participant's receiving more income in the relevant period than that to which he or she is legally entitled. For example, if a seventh Social Security check within the 6-month period was received early and you can establish the exact legal entitlement with certainty, you may disregard the extra check. You must fully document the source and amount of the income and the basis for your income calculation.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 25 (New)	Calculating spouse's income for recently wed applicant	<ul style="list-style-type: none"> <li>• You only count the spouse's income for the months during the look-back period when the applicant was married. You cannot attribute to the applicant income that he or she did not have for the prior months.</li> <li>• An eligibility determination is valid for 12 months barring a substantial change in circumstance. Since the applicant's marriage was known and the spouse's income was counted at the time of determination, there would be no basis for re-determining the applicant in less than 12 months due to the spouse's known income. However, if the spouse's income over 12 months will render the applicant over-income at the first recertification, you should so advise the applicant at the time of enrollment so there is no misunderstanding later.</li> </ul>
Topic 26	Effect of public assistance on eligibility	<ul style="list-style-type: none"> <li>• Under the eligibility TEGL, public assistance is excluded from income for purposes of SCSEP eligibility. However, the applicant must still meet the income limit with regard to all includable family income for the 12 months or annualized 6 months prior to the eligibility determination. Receipt of public assistance does not make an applicant automatically eligible.</li> <li>• Furthermore, the determination of a state or local welfare agency to treat an applicant as a family of one is not determinative of family size for SCSEP purposes. Under the TEGL, if the applicant has family members who are included for income determination purposes, you will exclude public assistance benefits received <u>by the applicant and the applicant's family members</u>, but you must count the includable income of all other family members.</li> </ul>
Topic 27 (New)	Effect of garnishment of wages, taxes, and deductions for benefits	<ul style="list-style-type: none"> <li>• You must consider the gross amount of any includable income source before taxes and deductions for benefits like health insurance, and without regard for any garnishment.</li> <li>• For Social Security benefits other than disability, 75% of the benefit amount is includable.</li> </ul>
Topic 28 (Revised)	Exclusion from income: foster care and other types of child support payments	<ul style="list-style-type: none"> <li>• The eligibility TEGL excludes from income all forms of child support, including payments made by the government for the care of children who are not the applicant's own children, such as foster care or adoptive grandparent's subsidies. The exclusion also applies to all Social Security payments that an applicant receives for the benefit of a child for whom he or she serves as legal guardian. All such payments are considered for the benefit of the children, not the applicant. If the payments are public</li> </ul>



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		<p>assistance for the applicant's own children, they are also excluded. The eligibility TEGL explicitly excludes child support and welfare payments.</p> <ul style="list-style-type: none"> <li>If the payments are excluded, the applicant may still count the children as members of the applicant's family for purposes of establishing family size and income limits only if the dependent children meet the IRS definition of dependents.</li> </ul>
Topic 29 (New)	Exclusion for “difficulty of care” payments made under Medicaid	<ul style="list-style-type: none"> <li>The eligibility TEGL excludes “any other income exception required by applicable Federal law.” DOL has said that this exclusion applies to "difficulty of care payments" made to a caretaker under a state Medicaid Home and Community-Based Services waiver program where the applicant is taking care of a parent in the applicant's home because such payments are excluded from gross income by IRS. Whether the exclusion would apply to similar state programs is a matter that IRS would need to determine based on the nature of the payments and the purpose and design of the program.</li> <li>DOL has also said that an applicant providing such services in his or her home would not be considered employed and can continue in the program as long as the services do not interfere with the Community Service Assignment.</li> </ul>
Topic 30 (Revised)	Exclusion from income: wages or stipends from employment and training programs, and programs under the Corporation for National and Community Services	<ul style="list-style-type: none"> <li>The eligibility TEGL excludes from family income any wages or stipends received from any employment and training program by the applicant or the applicant’s family members. This exclusion applies to SCSEP regular program wages and OJE wages (even if paid by the employer), as well as to stipends paid by other government programs, such as the VA’s "Compensated Work Therapy."</li> <li>This exclusion also applies to Trade Readjustment Allowances (TRA). TRA is provided to workers who have lost their jobs due to foreign imports. A condition of receiving TRA benefits is that the claimant be enrolled in training provided by Trade Adjustment Assistance (TAA). The eligibility TEGL excludes from income for purposes of SCSEP eligibility all stipends from employment and training programs. Therefore, TRA benefits should be excluded.</li> <li>It is highly unlikely, however, that a recipient of TRA benefits would be otherwise eligible for enrollment in SCSEP. TRA recipients typically have extensive work histories and thus are likely to be job-ready. To the extent that TRA recipients need retraining to become job-ready, such training is provided by TAA. Although there may be exceptions, most TRA recipients do not need and would not benefit from the type of training provided by community service.</li> </ul>

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		<ul style="list-style-type: none"> <li>• Participation in the Foster Grandparent Program (FGP), the Senior Companion Program (SCP), the Senior Demonstration Programs (SDP), and the Retired and Senior Volunteer Program (RSVP) is not considered employment. These programs are all funded by the Senior Corps of the Corporation for National and Community Services. The authorizing legislation, the Domestic Volunteer Service Act, establishes these programs and VISTA as volunteer service, not employment, and further provides that the stipend paid to participants in these programs should not be considered income from employment. Therefore, you do not consider participants in these programs to be employed; and you do not include any stipend paid by these programs when determining income for purposes of SCSEP eligibility.</li> <li>• DOL has determined that AmeriCorps is to be treated the same as the Senior Corps programs. Enrollment in AmeriCorps does not constitute employment, and both the stipend and the educational assistance are to be excluded in the calculation of income for SCSEP eligibility purposes. However, DOL has also said that, in general, grantees should not be co-enrolling individuals while they are in AmeriCorps. These individuals are already receiving significant assistance, and SCSEP funds should be reserved for those who need community service to become job-ready. See Topic 124.</li> </ul>
Topic 31 (Revised)	Exclusion from income: pay and educational benefits received by active members of the Armed Forces; active service as employment	<ul style="list-style-type: none"> <li>• Active service in the Armed Forces, including the National Guard, is considered employment. Although National Guard service is usually part-time, it meets the SCSEP definition of employment because it is more than occasional work and results in regular payment. Therefore, current active members of the Guard are not eligible for enrollment in SCSEP.</li> <li>• However, once a member of the Armed Forces, including the National Guard, is no longer active and has become a veteran, the income from active duty and the amounts received for educational assistance cannot be included in income when determining eligibility for federally-funded employment and training programs, including SCSEP. See TEGL 10-09, Attachment A, Section 1(a).</li> <li>• This exclusion for certain pay and financial allowances earned while a veteran was on active duty includes dependency and indemnity compensation for service-connected deaths received by a dependent.</li> </ul>
Topic 32	Exclusion from income: Disaster Assistance Payments (DUA)	<ul style="list-style-type: none"> <li>• DUA is only provided to individuals who do not qualify for regular unemployment insurance. Like the National Emergency Grant (NEG) benefits that have been provided to hurricane victims, DUA should be treated as an employment and training stipend and should be excluded from income for SCSEP eligibility purposes.</li> </ul>

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Topic 33 (Revised)	Exclusion from income: lump sum receipt of lottery winnings, awards from lawsuits, insurance payments, and inheritance	<ul style="list-style-type: none"> <li>• Consistent with the Census and the CPS, the main rule for determining whether to include certain income for eligibility purposes is based on whether the income is received on a <u>regular</u> basis. If income such as lottery winnings, legal awards, insurance payments, or an inheritance is received in a lump sum as a one-time payment, then the payments are not considered income for SCSEP eligibility. However, if the income is collected from periodic payments and the applicant receives the income on a regular basis – annually, monthly, bi-weekly, every two months, etc. – then the payments are considered includable income for purposes of SCSEP eligibility.</li> </ul>
Topic 34 (New)	Exclusion for non-periodic distributions from an estate	<ul style="list-style-type: none"> <li>• An inheritance paid in installments as an estate is liquidated is not includable as income for SCSEP eligibility purposes because these income payments are not regularly received. See Section R of Attachment I to the TEGL. To be regular, they would have to be similar to recurring payments made by a trust. The payments are lump sum if they derive directly from the estate and are made as the assets are liquidated rather than on a schedule designed to provide ongoing maintenance or support for the applicant.</li> </ul>
Topic 35	Exclusion for Railroad Retirement	<ul style="list-style-type: none"> <li>• When determining an applicant’s includable income, it is not permissible to make deductions from Railroad Retirement. The only deduction for retirement income permitted by the statute and the eligibility TEGL is for Social Security.</li> </ul>
Topic 36 (Revised)	Educational assistance; treatment of work-study	<ul style="list-style-type: none"> <li>• TEGL 12-06 Attachment I, section N, lists "Pell Grants, other government educational assistance; any scholarships or grants; or financial assistance students receive from employers, friends, or relatives not residing in the students’ household" as includable income. In contrast, free tuition that is provided to everyone who meets certain qualifications is not the kind of cash educational assistance envisioned by the TEGL as constituting includable income.</li> <li>• Educational assistance refers to scholarships and grants, as well as cash assistance provided directly to the applicant by friends or relatives outside the applicant's household. Attachment I, Section N. Page 3 of TEGL 12-06 specifically says that all loans (money borrowed for any purpose) are excluded.</li> <li>• Note that there is an exception for veterans: All educational assistance is excluded. See Topic 31 above.</li> </ul>

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		<ul style="list-style-type: none"> <li>Although income from employment and training programs is excluded, financial assistance for education is included. Unless a work-study program is part of an employment and training program, e.g., it is designed to teach the participant skills that will be needed for the new vocation that the participant is training for at the college, it would be considered employment. Unrelated work in the student union or campus book store would usually not meet this requirement and thus would be considered employment and the income would be included.</li> </ul>
Topic 37 (New)	Exclusion for court-ordered alimony	<ul style="list-style-type: none"> <li>DOL has determined that court-ordered alimony paid directly to an ex-spouse is not included in the income of an applicant who is paying the alimony. Since the TEGl requires that alimony received by the ex-spouse be included as income, including the same money as income for the applicant who is paying the alimony would be counting the alimony twice.</li> </ul>
Topic 38 (New)	Garnishment	<ul style="list-style-type: none"> <li>In general, court enforcement of the payment of a debt does not render that debt excludable. Whether income is excluded or included depends on how the income is classified in the TEGl. It is the nature of the payment that makes court-ordered alimony excludable.</li> </ul>
Topic 39 (Revised)	Early withdrawal from IRA or other retirement account	<ul style="list-style-type: none"> <li>Whether a withdrawal is includable depends on the age of the participant/applicant at the time of the withdrawal and whether the withdrawal is partial or total. Regular withdrawals from IRA's are neither interest income nor capital gains. Rather, they are considered retirement income, which is includable. See Section 5 of TEGl 12-06 and Section J of Attachment I.</li> <li>However, early withdrawals before the age of 59½, for which participants usually pay a penalty, are not retirement income because a participant is not yet qualified to receive pension payments. Instead, they are treated like withdrawals from a savings account, which are excluded from SCSEP income. The same reasoning applies to a lump sum liquidation of an IRA account by persons 59½ or older.</li> <li>The TEGl specifically excludes from income capital gains distributions, withdrawals from savings accounts, and non-recurring lump sum payments of various kinds. Although the TEGl lists IRA distributions with includable pension payments, DOL has interpreted that TEGl provision to refer to continuing IRA payments and not one-time, lump sum distributions. Note that this determination applies only to complete liquidations of IRAs by those 59½ or older and to premature withdrawals from IRAs by individuals under 59½. Any other IRA distribution is covered by the TEGl and is includable as income.</li> </ul>

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		<ul style="list-style-type: none"> <li>• The same rules apply to other kinds of retirement accounts such as 401(k), 403(b), and Keogh accounts.</li> </ul>
Topic 40 (New)	Reimbursement for travel expenses	<ul style="list-style-type: none"> <li>• Travel reimbursement within the IRS allowances is not taxable and should not be included in income for SCSEP eligibility purposes. Any amount in excess of the IRS allowance is taxable and would be included.</li> </ul>
Topic 41	Jury duty pay	<ul style="list-style-type: none"> <li>• Grantees should check state statutes to determine what their obligations are, if any, regarding pay to participants on jury duty. Grantees are permitted to pay participants for jury duty as a fringe benefit. Such payments should not be recorded as paid hours on the Community Service Assignment form. Participants may be placed on approved break while on jury duty.</li> <li>• If the participant receives jury duty pay from the state, grantees must subtract this pay from any SCSEP payment they choose to make. The bottom line is that participants may not “double- dip.” That is, consistent with state law, participants may receive the equivalent of their SCSEP wages while on jury duty, but no more than that.</li> <li>• Any amount of jury duty pay participants receive from the state or the grantee is not includable as income for eligibility purposes during recertification.</li> </ul>
Topic 42 (new)	Rental income	<ul style="list-style-type: none"> <li>• Income eligibility is governed by TEGL 12-06. Section M of Attachment I says that “net” income from rental property is includable for purposes of SCSEP eligibility. That means you follow IRS rules in deducting allowable expenses for maintaining and renting the property.</li> </ul>
Topic 43 (New)	In-kind value of rent; rent paid by third-party	<ul style="list-style-type: none"> <li>• The value of rent received as an in-kind payment for maintaining an apartment building is not considered includable income under TEGL 12-06.</li> <li>• On the other hand, the regular payment of an applicant’s or participant’s rent by a third party is includable income. See Section Q of Attachment I of TEGL 12-06. An attestation from the landlord or from the third party making the payments would satisfy the DV documentation requirement.</li> <li>• Needs-based public assistance, including subsidized housing, is excluded when determining income for SCSEP eligibility.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 44 (New)	Severance pay	<ul style="list-style-type: none"> <li>• TEGL 12-06 does not directly address severance pay. DOL has determined that severance pay is, therefore, governed by Section R of Attachment I of the TEGL. If the severance is received in a lump sum at termination, it is not includable. If it is received in regular payments, e.g., as weekly continuation pay for a number of weeks, it is includable.</li> </ul>
Topic 45 (New)	Disability pensions	<ul style="list-style-type: none"> <li>• The TEGL refers to pensions and disability payments. Pensions, which are usually paid based on some combination of age and years of service, are includable as income. Disability payments, which are usually paid as a result of an injury or medical condition and are not dependent on age or years of service, are excludable.</li> <li>• The participant must document the exact nature of the payments before the grantee can determine whether to count them as income. That may require contacting the ex-employer for documentation.</li> </ul>
Topic 46 (New)	Cancelled debt	<ul style="list-style-type: none"> <li>• DOL has determined that cancelled debt is not includable income within the intent of TEGL 12-06.</li> </ul>
Topic 47 (Revised)	Exclusion from income: reverse mortgage payments; sale of property by land contract	<ul style="list-style-type: none"> <li>• Payments received by an applicant under a reverse mortgage are considered similar to capital gains or money borrowed and thus are excluded from income for purposes of SCSEP eligibility.</li> <li>• A land contract is a form of owner financing of the sale of property whereby the owner loans the purchase price to the buyer and retains title to the property until the purchase price is paid in full; the buyer occupies the property while the contract remains in effect and then takes legal title when the full purchase price has been paid. This owner financing is done through a contract for deed rather than a mortgage. The money received under the contract as repayment of the loan is excludable income, but any additional amounts identified in the contract as interest would be includable. It does not matter how frequently the interest is paid.</li> </ul>
Topic 48	Exclusion from income: medical insurance reimbursement	<ul style="list-style-type: none"> <li>• If an applicant receives reimbursement for medical expenses, including health insurance premiums, co-payments, and deductibles, as part of an employer-provided pension plan, those payments are excluded from income for SCSEP eligibility purposes – provided that the applicant only receives the payment if he or she incurs the expenses. Any payments in excess of expenses incurred are includable as income, as are the pension payments themselves.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 49 (Revised)	Inclusion of interest and dividend income; exception for IRA's	<ul style="list-style-type: none"> <li>• The eligibility TEGL requires that you include all interest and interest income. Dividends paid on stocks (whether purchased or inherited) held in an investment account are included as income even if the dividends are automatically reinvested in the purchase of additional stock and are not taken as cash. The stocks themselves are assets and are not included; nor are capital gains from the sale of stocks or other assets.</li> <li>• However, there is danger of counting this dividend and interest income twice when IRA's and other retirement accounts are involved. DOL has interpreted the eligibility TEGL to avoid double counting: For regular savings or investment accounts, interest and dividend income are included as income when credited to the account. For IRA's and other pensions, interest and dividend income are only included when taken as part of the distribution, i.e., when actually received by the beneficiary.</li> <li>• This treatment is required because withdrawals from regular savings and investment accounts are not otherwise includable as income while all normal payments from IRA's and other pensions are includable.</li> </ul>
Topic 50 (New)	Money raised by crowd funding	<ul style="list-style-type: none"> <li>• Money raised for personal purposes through a crowd funding site such as indiegogo.com is considered a gift and is excluded from income.</li> </ul>
Topic 51 (New)	Documentation of excludable income; continuing exclusion at recertification	<ul style="list-style-type: none"> <li>• DOL has said that you must document all sources of income and indicate which sources were included in the income calculation, but you only need to document the amount of includable income. You do not need to document the amount of excludable income.</li> <li>• For payments like VA survivor's benefits that are excluded under the eligibility TEGL, you only need to document the source of income. As long as you have confirmation that the spousal benefit remains in effect for the life of the recipient, i.e., is not converted into some other kind of benefit as is the case with SSDI when the recipient reaches normal retirement age, you do not need to separately document its continuation at each recertification. This confirmation could take the form of a description of the benefits from an official web site or an informational pamphlet.</li> </ul>
Topic 52	Treatment of Social Security Benefits Under TEGL 12-06	<ul style="list-style-type: none"> <li>• TEGL 12-06 addresses three kinds of benefits under the Social Security Act:               <ol style="list-style-type: none"> <li>1) Supplemental Security Income (SSI) under title XVI is a means-tested benefit that has always been and remains totally excluded from family income.</li> <li>2) Social Security Disability Insurance (SSDI) under Title II is totally excluded under TEGL 12-06 (see first bullet under Excluded Income on p.3 of the TEGL and Section I of Attachment I), as are all other</li> </ol> </li> </ul>

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		<p>types of disability payments. Note that when a beneficiary reaches the age for regular retirement benefits, SSDI is converted to regular SS retirement benefits. At that point, the benefit loses its total exclusion and is entitled to only a 25% exclusion as set forth in 3) below.</p> <p>3) Social Security retirement and survivors' benefits under Title II have an exclusion for 25% of the gross amount. There is no deduction for any Medicare premium paid by beneficiaries.</p> <ul style="list-style-type: none"> <li>• The exclusions listed above apply to all family income (and not just the income of the individual applicant) that would otherwise be included when determining income for SCSEP eligibility purposes. All of these exclusions have been effective since January 1, 2007.</li> <li>• Medicare benefits, regardless of the age of the recipient, are not considered income for SCSEP eligibility purposes.</li> </ul>
Topic 53	Consequences for participant with a disability when SSDI converts to regular SS retirement	<ul style="list-style-type: none"> <li>• All disability payments, regardless of source, are excluded from income for eligibility purposes. However, when a Social Security disability payment converts to regular Social Security, the income is treated under the normal rules for Social Security: You exclude 25% of the payments and include the remainder. (See Topic 52.)</li> <li>• An applicant or participant with a disability is entitled to be treated as a family of one for income eligibility purposes regardless of the source of income. This treatment is based on status, not income. In order to claim this special treatment, the participant must document the disability.</li> <li>• Both disability and severe disability count as separate barriers to employment under the Most-in-Need measure. When used for this purpose, they must be documented. In addition, severe disability is a factor that may entitle a participant to a waiver of the 48-month durational limit for individual participants. It must be documented if used for this purpose as well.</li> </ul>
Topic 54	Spouse of applicant who receives SSI benefits	<ul style="list-style-type: none"> <li>• SSI is a needs-based program for those who are disabled, blind, or over 65. SSI benefits are excluded from income for SCSEP eligibility purposes whether received by an applicant or the applicant's spouse.</li> <li>• Moreover, an applicant who receives SSI by reason of disability may choose to be treated as a family of one for purposes of SCSEP eligibility. That means that only the applicant's income is counted; the spouse's income is excluded regardless of the source of that income. On the other hand, if the applicant does not qualify as a family of one, the spouse's income must be included unless that income falls under its own exclusion.</li> </ul>



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Topic 55	Survivor of spouse formerly on SSDI	<ul style="list-style-type: none"> <li>Survivor's benefits are paid when the deceased spouse was eligible for either Social Security retirement or Social Security disability. Normally, survivor's benefits are treated like Social Security retirement, and only 25% is excluded from income for purposes of SCSEP eligibility. However, if the surviving spouse is also disabled and is receiving SSDI based on the deceased spouse's earnings (regardless of what kind of benefits the deceased spouse received), then all of the SSDI benefits are excluded.</li> </ul>
Topic 56 (Revised)	Survivor's benefits from VA	<ul style="list-style-type: none"> <li>A survivor's benefit based on a veteran's disability payment from the VA is excluded from income. The 2006 amendments to the OAA specifically exclude from the definition of income payments made "to or on behalf of" a veteran by the VA. The specific exclusion in Section G of Attachment I to TEGL 12-06 for VA payments to veterans or survivors is meant to implement the OAA provision. Section H of Attachment I, which includes survivors benefits as income, is not applicable to a surviving spouse's payments from the VA. The exclusion does not apply to pensions from the Department of Defense.</li> </ul>
Topic 57 (Revised)	Effect of SCSEP Wages on SSI and SSDI	<ul style="list-style-type: none"> <li>Supplemental Security Income (SSI) is a needs-based program that provides a cash benefit and Medicaid to recipients. Any earnings reduce SSI benefits dollar-for-dollar after an initial disregard of the first \$30. In most states, the 2015 SSI benefit was \$733.00 for an individual and \$1100 for a couple. (Some states also use state money to supplement this amount.) SCSEP wages will always reduce SSI, sometimes to zero. For example, a SCSEP participant working 20 hours per week at \$8.50 per hour would lose nearly all SSI benefits while a participant working at minimum wage would still retain over \$100 in cash benefits. Some applicants on SSI may choose to forego SCSEP once they know the effect on their federal benefit rate. However, some might choose to enroll because as long as a recipient keeps some SSI cash benefit, the recipient remains eligible for Medicaid.</li> <li><u>All Social Security Disability Insurance (SSDI) beneficiaries under the age of regular retirement (currently age 65-67, depending on date of birth) are required to report any earnings to the Social Security Administration (SSA). (In addition, retirement beneficiaries between the ages of 62 and full retirement age must report their wages because they are subject to an annualized earnings test on their wages.)</u> Those at or above normal retirement age can work without any effect on their benefits. For everyone else, the rules can be complicated and the consequences, especially the loss of health coverage, can be very serious.</li> </ul>

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		<ul style="list-style-type: none"> <li>• Social Security Disability Insurance is not needs-based. It requires sufficient wage credits under Social Security to qualify. Beneficiaries of SSDI can jeopardize their benefit eligibility if they work. However, under the Ticket to Work program, a beneficiary can work for a significant time and still maintain both cash and medical benefits. The length of time a beneficiary may work and still receive full benefits varies depending upon his or her situation. The Ticket to Work can be used with multiple employers over the beneficiary’s lifetime so it could be used first with SCSEP and then possibly with an unsubsidized employer. However, both the SCSEP employer and the unsubsidized employer must be recognized by SSA as an “employment network.” DOL is investigating the feasibility of SCSEP grantees and sub-grantees being employment networks, but unless that happens, any sub-grantee enrolling an SSDI beneficiary has to register individually. Most SSDI beneficiaries have already received their Ticket to Work. If not, they can get one on demand from SSA by calling 1-800-772-1213.</li> <li>• SSDI beneficiaries who do not receive the Federal Benefit Rate (FBR) based on their recorded earnings may also receive SSI to make up the difference. They are called concurrent beneficiaries. They also receive Medicare (after 24 months) under SSDI and Medicaid under SSI. Ticket to Work will not protect the SSI portion of their benefit. If SCSEP wages reduce their SSI to zero, they will also lose Medicaid.</li> <li>• Information about the effect of work and earnings on both programs is available on the SSA Web site, <a href="http://www.socialsecurity.gov/work/">www.socialsecurity.gov/work/</a>.</li> </ul>
Topic 58 (Revised)	Documenting Social Security income	<ul style="list-style-type: none"> <li>• An applicant can obtain a Social Security or Supplemental Security Income (SSI) benefit verification letter by using one of the following methods: logging onto My Social Security at <a href="https://secure.ssa.gov/RIL/SiView.do">https://secure.ssa.gov/RIL/SiView.do</a>; calling SSA toll-free at 1-800-772-1213; or visiting a local SSA office. Since the SCSEP eligibility determination requires total family income, you should be sure the letter from Social Security addresses all family members counted in field 11.</li> <li>• If there is a delay in obtaining the verification letter, you may use a properly labeled bank statement to verify the gross amount of Social Security benefits received by an applicant who is 65 or older. The applicant's bank statement may not suffice to establish whether another family member is receiving Social Security benefits. It will also not reflect any deductions for Medicare premiums. If there is any doubt,</li> </ul>

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		<p>you should accept the bank statement as provisional documentation while the applicant works to obtain a statement from the SSA.</p> <ul style="list-style-type: none"> <li>• You can use a general letter from SSA to document the amount of the COLA increase that all participants and applicants will receive for the year. Of course, you still have to do the complete determination of income eligibility to make sure that you have identified and documented all sources of income.</li> <li>• As with all documentation, an award letter can only be relied on to the extent that it answers the fundamental questions. In this case, since grantees are required to include 75% of the gross amount of Social Security retirement benefits, the documentation must provide the gross amount of benefits. Certain kind of award letters may always list the gross amounts; if you can obtain confirmation from the Social Security Administration as to which awards these are, then you can rely on those letters even though they do not explicitly state that the amount is gross. If in doubt, you must seek clarification.</li> </ul>
Topic 59 (New)	No necessity of documenting non-receipt of Social Security Income	<ul style="list-style-type: none"> <li>• Grantees are not supposed to investigate potential sources of income. Under normal conditions, all that is required is that the person certify to having provided accurate eligibility information and attest that he or she has no sources of income other than those listed.</li> <li>• Since normal retirement age for Social Security is now 65-67, if the person has sufficient income to live on, the person might well choose to defer collecting Social Security in order to receive a higher amount at normal retirement age. Unless there are circumstances that reasonably lead you to believe that the person is not being honest, e.g., the person has no or insufficient income and cannot explain how he or she is supported, there is no reason to ask the Social Security Administration to validate that the person has not filed a claim.</li> </ul>
Topic 60	Documenting income for farmers and other self-employed individuals before tax returns are available	<ul style="list-style-type: none"> <li>• Farmers and other self-employed applicants may not have official proof of income until they file their tax returns. You may use signed self-attestation, based on the applicant's own figures, until the tax documents are available. At that time, you must verify the income information provided by the applicant. You must inform the applicant that falsification of eligibility information is cause for immediate termination.</li> </ul>

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		<ul style="list-style-type: none"> <li>When accepting self-attestation, you should also require a copy of the prior year's tax return. The applicant should be able to satisfactorily explain any substantial changes in expected income from the prior year.</li> </ul>
Topic 61 (New)	Documenting pension from ex-spouse	<ul style="list-style-type: none"> <li>Under ERISA, ex-spouses are entitled to survivor's benefits under qualified employer-sponsored retirement plans unless the ex-spouse has signed a valid waiver. If the participant's former spouse is still alive, it is likely that pension benefits were awarded to the participant in the divorce decree. The divorce decree and information in the court file should provide details of the pension payments. (The participant's attorney in the divorce proceedings should be able to provide these documents to the participant.) Alternatively, you should also be able to identify the pension plan administrator through the bank where the electronic deposit is made and then obtain details about the payment from the plan administrator.</li> </ul>
Topic 62 (Revised)	Documentation and data validation	<ul style="list-style-type: none"> <li>Documentation and data validation are required for items that determine eligibility (residence, family size, income, and employment status), waiver of durational limits, certain priorities of service characteristics, veteran's status, and certain program requirements. The Data Validation Handbook indicates when official business records, signed attestation or case notes suffice for documentation.</li> <li>Official business records and third-party attestation are two different sources of documentation and have different standards. Official business records are prepared by a disinterested party, are generally used by the entity in the course of its business, and are presumed to be reliable. The DV Handbook specifically recognizes that grantee, sub-grantee, or host-agency business records constitute official records. However, a record from a host agency is acceptable only if it is relevant to the issue at hand and meets the requirements for a business record. It is not obvious that a host agency would have a business record regarding an issue such as the participant's family size since the host agency would not normally be in the business of collecting such information from volunteers or trainees to whom it provides no wages or benefits. On the other hand, a participant's supervisor or any other third party could have personal knowledge of the participant's family size and could sign an attestation if he or she had such personal knowledge and was not just reciting what the participant had told the supervisor.</li> <li>The documentation must cover includable income for the relevant look-back period. If that period spans two benefit years, it may be necessary to obtain documentation for each year.</li> </ul>

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		<ul style="list-style-type: none"> <li>• Grantees must apply the DV rules in effect at the time they perform the validation even if the documentation rules changed during the year in which the data were collected. This will enable grantees to see where there need to be changes in practice or additional training to comply with the current rules. No grantee will be put at a competitive disadvantage because of this change in requirement, nor will any grantee suffer adverse consequences. Grantees may enter a comment noting that the requirement was not in effect at the time of the recertification.</li> <li>• If an applicant is claiming disability for purposes of income eligibility (an applicant with a disability is treated as a family of one), documentation is required. Acceptable documentation would include proof of a government disability determination. If no such formal determination has been made, you may accept a doctor's certification. If the applicant is not claiming disability for eligibility purposes, then disability is an equal opportunity (EO) item, and disclosure is voluntary. In that case, documentation is not required; however, without documentation, you will not receive credit in the Most-in-Need measure. (See field 26 below.) Documentation is also required for severe disability and frail, two of the factors used for waiver of the durational limit.</li> <li>• If you are unable to make copies when taking an application, the eligibility TEGl permits you to document the sources that were relied on to establish eligibility. You should create a form to use for documenting income and other eligibility factors. Both the applicant and the eligibility reviewer must sign the form. Required information includes:               <ol style="list-style-type: none"> <li>1. Name of reviewer</li> <li>2. Date of review</li> <li>3. Title or descriptive name of source documents</li> <li>4. Other pertinent information</li> </ol> </li> <li>• If an applicant is claiming status as a family of one because of disability, you must retain a copy of the appropriate medical documentation even if you do not have a copier.</li> </ul>
Topic 63 (New)	Electronic records and signatures	<ul style="list-style-type: none"> <li>• The Government Paperwork Elimination Act (GPEA) encourages the use of electronic records and signatures and prohibits federal agencies from denying legal validity to them. SCSEP has long permitted electronic records in place of hard copy records. Grantees must collect the required data contained on the hard copy forms and in SPARQ, must comply with the certification requirements for eligibility and</li> </ul>

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		<p>performance information, and must follow all required SCSEP procedures and practices for entering the information into SPARQ. However, they are permitted to use either hard copy or electronic records and signatures to do so.</p> <ul style="list-style-type: none"> <li>• Since copies of documentation are acceptable (except when there is reasonable doubt as to their authenticity), grantees may produce these copies mechanically, by copier, or electronically, by scanner.</li> <li>• When a grantee uses electronic forms and signatures, it must describe in writing the process used to enter the data and the required signatures. The explanation must specifically detail how and where in the case file records someone doing data validation can determine that the required signatures and dates are valid. This information must be updated and provided to validators for each annual Data Validation cycle. Grantees should keep such policies on file and should document that all staff were trained in their use.</li> <li>• Grantees using electronic records should submit a draft of this process information to DOL for review.</li> </ul>
Topic 64 (Revised)	Retention of case files, financial records and other documentation	<ul style="list-style-type: none"> <li>• All required documentation, both fiscal and programmatic (including records pertaining to grievances), must be retained for three program years after the end of the program year in which the document was generated. For participants who enter unsubsidized employment after exiting the program, this means three program years after the end of the program year in which all follow-up activity is ended.</li> <li>• If you are required to have a signed IEP or waiver form in the file, you must retain it for the specified retention period. If you are missing documentation, you must take reasonable steps to recreate it or you risk audit/monitoring problems. If you do recreate documents, you should also make case notes to document what you have done.</li> </ul>
Topic 65	Special rules during disasters	<ul style="list-style-type: none"> <li>• If, due to a disaster, applicants have no means of producing supporting documentation of their income, special rules for income documentation apply. In addition, several forms of disaster or refugee payments received by natural disaster victims are excludable income:             <ul style="list-style-type: none"> <li>○ For disaster victims who have lost their documentation, grantees may accept self-attestation of age and income in new applications for 90 days while the applicants obtain new documentation.</li> <li>○ Disaster victims are considered residents of the states in which they apply for SCSEP.</li> <li>○ Current participants may also self-attest to age and income for recertification purposes.</li> </ul> </li> </ul>

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		<ul style="list-style-type: none"> <li>○ SPARQ records may be used to establish enrollment status and documentation of age and income.</li> <li>○ Participants whose host agencies are no longer available may be assigned to emergency relief work with non-profit organizations such as the Red Cross.</li> <li>○ Evacuees may be enrolled in temporary positions until they can be transitioned to permanent positions or returned to their home communities.</li> <li>○ Under existing rules, grantees may employ a wide variety of supportive services to assist hurricane victims.</li> <li>○ Income from any employment and training program is disregarded for purposes of SCSEP eligibility. The disregard specifically includes employment in NEG temporary jobs and DUA benefits. Other forms of disaster or relocation assistance will be determined by DOL on a case-by-case basis.</li> </ul>
Topic 66	Documentation for ineligible applicants	<ul style="list-style-type: none"> <li>● In general, you must document eligibility information for all applicants. For ineligible applicants, documentation is especially important if the applicant is unhappy with the eligibility determination and may wish to contest it. There are circumstances, however, where an ineligible applicant readily accepts your determination and merely wishes to take advantage of other services, such as your assistance in job placement under an MOU.</li> <li>● If there truly is no doubt about the ineligibility and you are certain that the applicant will not later decide to challenge your determination, you do not have to document the applicant's age or income, nor do you have to obtain the applicant's signature on the Participant Form. You should, however, use the comment field to explain what you have done and why. Because of the potential for misunderstanding, you should also require that the eligibility determination be made by the sub-grantee's director rather than a staff person.</li> <li>● Data validation is not required for ineligible applicants.</li> </ul>
Topic 67 (Revised)	Responsibility of sub-grantees in maintaining participant case	<ul style="list-style-type: none"> <li>● You need not maintain all case notes in hard copy; electronic case notes are acceptable. A case manager must take detailed notes that include the date and her/his name. You will also have to retain hard or electronic copies of any documents requiring signature and any documents that are not included in SPARQ.</li> </ul>

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	files; access to files	<ul style="list-style-type: none"> <li>• It is critical that the case notes contain solid information and be attributable to someone for accountability. Sub-grantees should clearly understand that they must provide access to this electronic information to the grantee and to national office monitors. Furthermore, sub-grantees should be informed in their sub-contract agreements of their legal obligation to turn over their complete electronic records to the grantee at the time that they cease to be involved in the program or when the grantee otherwise requires them.</li> <li>• The grantee is legally responsible for ensuring complete and accurate data collection and for the maintenance of all required documentation. As a practical matter, the local site with the most contact with the client should maintain the primary case file with all the documentation. This will typically be the sub-grantee or the sub-sub-grantee. However, there should be agreements in place so that the sub-grantees know these files will be validated and that both the grantee and DOL have the right to view the information in the files wherever they are maintained. The procedures for ensuring that information and documentation are properly collected, stored, and made accessible must be set forth in the grant application.</li> </ul>
Topic 68	Safeguarding sensitive information	<ul style="list-style-type: none"> <li>• The assurances in all SCSEP grants require grantees to certify that participant records are securely stored and access is limited to appropriate staff to safeguard personally identifying information. In addition, grantees must certify that medical records are securely stored separate from all other participant information and access is limited to authorized staff for authorized purposes. (See also Topic 84.)</li> <li>• One way to safeguard sensitive information, like case notes about a participant's criminal background, is to treat it the same way as you treat medical records: Put it in the separate secured file to which access is strictly limited.</li> </ul>
15	Family income at or below 100% of poverty level?	<ul style="list-style-type: none"> <li>• Use the federal poverty level for the applicant's family size and check the appropriate box. Use the same income inclusions and exclusions that you use for determining SCSEP eligibility.</li> <li>• This information is used for reporting purposes only, not for eligibility.</li> </ul>
16	Formerly a participant in any SCSEP project?	<ul style="list-style-type: none"> <li>• Check "yes" if the applicant reports that he or she was ever enrolled in any SCSEP project. Re-enrollments are entirely new records. All dates are based on the conditions at the time of re-enrollment without regard to anything that occurred during the prior enrollment. The application date is the date of the application for re-enrollment, and the eligibility determination date is the date on which eligibility for</li> </ul>



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		<p>re-enrollment was determined. You can verify prior enrollment by using the Participant Search function on the SPARQ Home page.</p> <ul style="list-style-type: none"> <li>• A new Participant Form is required for each new enrollment. The data system uses Participant ID number and application date to distinguish multiple enrollments by the same individual.</li> <li>• Re-enrollment is at the discretion of the sub-grantee. Former participants do not have an automatic right to re-enroll. You should consider the circumstances of the participants' prior exit from SCSEP, e.g., whether they were terminated for cause and whether they are now job- ready. Former participants who have had employment since leaving SCSEP may be presumed to be job-ready and thus ineligible. They should be referred to an American Job Center.</li> </ul>
Topic 69	Re-enrolling a participant who quit unsubsidized employment	<ul style="list-style-type: none"> <li>• See Topic 1 of the Exit Form Guide for a discussion of the right of return and re-enrollment after placement. (The right of return is limited to participants who exit to enter unsubsidized employment, work for a total of less than 30 days, and return to the program within 90 days of exit. Those who do not meet all three criteria for the right of return may seek to re-enroll.) Either option may be available depending upon how long the participant worked, when the participant attempts to re-enter the program, why the participant is now unemployed, and whether the participant is job-ready.</li> <li>• If the participant quit his or her job, you will obviously want to take that into consideration in deciding whether to take the participant back into the program. If the participant quit with good cause, e.g., was unsuited to the work or had a health problem, the participant would be entitled to exercise the right of return. Alternatively, you would be justified in exercising your discretion to permit her to re-enroll. Of course, before taking the participant back into the program, you will want to determine whether another placement would be suitable. For example, if the participant quit a job for which he or she lacked sufficient skills, but the participant was otherwise job-ready, you should attempt to find her a job for which the participant is better suited.</li> <li>• On the other hand, if the participant quit under conditions that would have amounted to a failure to comply with the IEP, e.g., the job was suitable but the participant did not really want to work at any job, you might let the participant exercise the right of return only if he or she agreed to cooperate in the future, and you could treat the quitting as a failure to accept a job referral under the IEP. You certainly would not have to permit the participant to re-enroll. Re-enrollment is discretionary; a participant who has been</li> </ul>

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		<p>terminated for cause or has demonstrated an unwillingness to abide by the program's rules is not entitled to a second enrollment.</p> <ul style="list-style-type: none"> <li>• If the participant has worked a sufficient time to demonstrate that she is job-ready, she would no longer be eligible for re-enrollment. Under most circumstances, a participant who has worked for 30 days and is laid off for lack of work would be considered job-ready and would not be eligible for re-enrollment. This would not necessarily be true of a participant who worked a relatively short time, including one who was in temporary or seasonal work.</li> <li>• In contrast, a participant who is fired after 29 days in unsubsidized employment for inability to do the job could very well need additional community service training to be truly job-ready and would be appropriate for re-enrollment if the participant were financially eligible.</li> <li>• If you decide to re-enroll a participant who left unsubsidized employment, you count all income earned in unsubsidized employment in the twelve or six months prior to re-enrollment.</li> </ul>
Topic 70	Re-enrolling an applicant who previously withdrew from the waiting list	<ul style="list-style-type: none"> <li>• You must take an application from anyone who wishes to apply. You must apply the priorities of service in deciding whom to enroll when you do not have sufficient positions available for all applicants. You do not have to enroll applicants who cannot benefit from the program or who have failed to cooperate. However, an applicant's withdrawing from the waiting list and then reapplying would not ordinarily be grounds to refuse to serve an otherwise qualified applicant, especially if you have an opening or the applicant meets a priority or preference.</li> </ul>
Topic 71	Re-enrollment when there is no available slot	<ul style="list-style-type: none"> <li>• If a former participant is eligible and you decide to re-enroll the individual but do not have an opening, you should complete the participant form, determine the individual eligible, and then place the individual on the waiting list until a position is available.</li> <li>• An individual seeking re-enrollment is subject to the priorities of service like any applicant.</li> </ul>
Topic 72 (Revised)	Durational limits	<ul style="list-style-type: none"> <li>• The 2006 amendments to the OAA imposed two distinct durational limits for the first time: average project duration (APD) for grantees; and individual durational limits (IDL) for participants. These durational limits were retained in the 2016 amendments to the OAA.</li> <li>• Grantees are limited to an average project duration of 27 months for all participants in the aggregate. Each spring, as part of the grant application, grantees may seek an extension of the 27-month average duration to 36 months for the coming program year. (Grantees may also seek an extension during the</li> </ul>

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		<p>program year if circumstances warrant it.) <u>This 27-month average project duration does not apply to any individual participant.</u></p> <ul style="list-style-type: none"> <li>• Regardless of durational limits, a grantee may not enroll job-ready participants. If a participant has been in another grantee's project for a long time, the participant may be job-ready. In that case, the participant may not be enrolled by the new grantee but must be referred to the American Job Center.</li> <li>• Separate and apart from the average grantee durational limit, individual participants have a lifetime durational limit of 48 months with any and all projects and any and all grants, including ARRA, regular SCSEP grants, and additional grant funds. Grantees may seek an extension of the 48-month duration for individual participants.</li> <li>• The Waiver of Durational Limit (WDL) management report in SPARQ is designed to help grantees manage individual durational limits, and the QPR displays the average project duration for each grantee and sub-grantee.</li> <li>• Grantees are required to have an individual durational limit (IDL) policy that adopts one of three possible durational limits for individual participants: 48 months with no possibility of an extension; 48 months with the possibility of an extension for participants who have any one of the 7 waiver factors; and 48 months with the possibility of an extension under certain conditions, e.g., the participant must have certain specified waiver factors or the participant may only receive one 12-month extension. Durational limits less than 48 months are not permitted.</li> <li>• Participants must be informed of the durational policy (including the possibility of an extension, if applicable under the grantee's policy) at the time of enrollment and annually thereafter. Participants who are approaching their durational limit and are unlikely to find unsubsidized employment prior to exit must be provided with transition services. The transition plan must be reflected in the participant's IEP. See Topic 38 of the Community Service Assignment Form Guide for information on extensions of the individual duration limit.</li> <li>• Both limits are calculated from July 1, 2007, or the date of enrollment, whichever is later. They include any and all enrollments in any SCSEP grant and with any grantee. The calculation excludes time on an approved break in participation. The individual durational limit date (DLD) for someone who has no approved breaks in participation or other complications, including prior enrollments, will be the day before</li> </ul>

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		the date of initial assignment plus 4 years. So, if the initial assignment date were June 1, 2012, the DLD would be May 31, 2016. Guidance on the durational limits is available on the Community of Practice.
Topic 73 (New)	Managing average project duration	<ul style="list-style-type: none"> <li>• The SCSEP Community of Practice has a webinar that discuss both the Individual Durational Limit (IDL) and Average Project Duration (APD): “SCSEP Durational Limits: What Do They Mean for Grantees and Participants.” There is also a two-page summary of the two limits on the Community of Practice: “Durational Time Limits for SCSEP.”</li> <li>• Every new participant you enroll starts with 1 day of duration and serves to reduce your APD. The key to managing APD is maintaining a robust and efficient customer flow. To do that, you need to manage exits effectively, which, in turn, will lead to an increase in your entered employment rate. You should fill all vacancies, you should also examine the time it takes you to fill a vacancy, and you should maintain a healthy waiting list of applicants who can be assigned as soon as a vacancy occurs. If your APD is too high, you should also consider changing your IDL policy to Option 1 if it is Option 2 or 3. Finally, you should ensure that all participants who are on leaves of absence are put on approved break in SPARQ; this stops the clock for both IDL and APD.</li> </ul>
Topic 74	Entering re-enrollments into the data system	<ul style="list-style-type: none"> <li>• Re-enrollment requires the completion of a new Participant Form and the creation of a new record in the database. SPARQ uses the participant’s Participant ID number and application date to distinguish the original enrollment from the re-enrollment. To create a re-enrollment, users select an existing participant and create a new enrollment for that participant.</li> <li>• When you create a new enrollment for an individual already in the database, only the basic participant information (name, date of birth, and Social Security number) will be carried over from the prior enrollment. You will enter all other information for this enrollment and it will be stored in the database separate from the original information.</li> </ul>
17 (Revised)	Transferred from another project?	<ul style="list-style-type: none"> <li>• If the participant was transferred into your project from another project, check “yes” and enter the name and code of the transferring grantee into the hard copy form. Do not enter a new enrollment into SPARQ. As explained below, the transfer process will take care of that.</li> <li>• If the participant is transferred from another project, the participant will not be included in the donor grantee’s employment outcome measures. A transfer is not considered an exit for purposes of the Common Measures.</li> </ul>

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		<ul style="list-style-type: none"> <li>• SPARQ contains a utility for changing entities – either transferring participants from one grantee to another or changing sub-grantees within a grantee. This utility must be used to transfer a single participant or multiple participants. When this utility is used for a transfer, it creates a new enrollment record for the recipient grantee that contains all of the existing information about the participant’s current enrollment. Field 17 will contain the name and code of the donor grantee along with the date of transfer. Because field 17 will be system-generated in the WebDCS, it is grayed out.</li> </ul>
Topic 75	Repeated transfer by sub-grantee of same participant between grantees	<ul style="list-style-type: none"> <li>• A sub-grantee that works for two different grantees cannot routinely transfer a participant between the two grants. This is not allowed as a general practice because it distorts the performance measures. It results in a sub-grantee receiving credit for serving two participants, and two grantees receiving credit for serving the same participant, when no additional services have usually been provided.</li> <li>• In special circumstances, such as to avoid a premature exit when a grantee has unexpectedly run out of money at the end of the program year, participants may be moved to another grant. The movement of a participant from one grant to another is a transfer. It can only be done with the approval of both grantees. It cannot be done unilaterally by the grantee and must be limited to legitimate and unforeseen circumstances. The FPO and the national office must be notified whenever a transfer is being initiated because of a lack of funds.</li> </ul>
Topic 76	Minimum time of enrollment before transfer	<ul style="list-style-type: none"> <li>• There is no minimum time requirement for transfers. The only requirement is that the transfer be done by agreement of the affected grantees, and, of course, that the transfer must be for a legitimate reason. (See Topic 75 above.)</li> </ul>
Topic 77 (Revised)	Transfer of participant vs. re-enrollment	<ul style="list-style-type: none"> <li>• Transfers of participants between grantees are usually done for the convenience of the participants or to avoid disruption of service when a grantee has insufficient funds to support all filled positions. Transfers of participants only (as opposed to the movement of positions) require the approval of the two affected grantees; they do not require the approval of the state grantee where the positions are located.</li> <li>• Transfers must be done by agreement of two grantees, not the unilateral action of a participant. When a participant has been transferred, the participant retains the status that he or she had at the transferring project. The participant does not have to be recertified (as long as the last eligibility check was within the last 12 months), nor is the participant subject to priority of service at the new project. Any participant can</li> </ul>

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		<p>leave one project and seek to re-enroll in another project. However, such action requires a new application with an eligibility determination and is subject to the priorities in effect at the new project.</p> <ul style="list-style-type: none"> <li>• Typically, when a participant moves from a service area, the participant terminates from the first project and seeks to re-enroll in a new project. However, nothing prevents the project that the participant is leaving from contacting the new project and seeing if a transfer is possible. The new project is not obligated to accept the transfer. For example, it may not have any positions available, or it may have higher priority applicants on its waiting list.</li> <li>• When there has been a transfer of a participant (as opposed to an exit and a re-enrollment), the first project does not have a true exit and thus does not have an employment outcome that is reflected in its performance measures. The true exit occurs when the participant leaves the new project.</li> </ul>
Topic 78	Transfer of participant vs. movement of positions	<ul style="list-style-type: none"> <li>• The movement of authorized positions between grantees is done for a variety of purposes; e.g., to complete a new competitive process for national grantees; to achieve equitable distribution (ED) or to change ED based on recent Census data; to avoid disruption of service; to simplify administration when one host agency has participants from multiple projects; or to swap positions in the same or different states to improve efficiency. The movement of positions (as opposed to just the transfer of a participant) requires the approval of the state grantee where the positions are located, the FPO, and the national office.</li> </ul>
Topic 79	Transfer of participant vs. change of sub-grantee	<ul style="list-style-type: none"> <li>• The change of a sub-grantee – for an entire project or for a single participant – is neither a transfer nor a re-enrollment. A transfer can only occur between grantees. A change of sub-grantee occurs within a single grantee. SPARQ contains a utility for changing entities – either transferring participants from one grantee to another or changing sub-grantees within a grantee. This utility is used to change the sub-grantee for a single participant or multiple participants. The grantee enters the codes of the donor and recipient sub-grantees into the utility. SPARQ then moves the enrollment records from the donor sub-grantee to the recipient sub-grantee.</li> <li>• The hard copy Exit Form contains a field, 6(a)(ii), for the donor sub-grantee to indicate that it has lost a participant to the recipient sub-grantee and to record the code of the recipient sub-grantee. In the WebDCS, however, this field is grayed out. Field 17a of the Participant Form, which indicates the code of the donor sub-grantee, is generated by the change of entity utility in SPARQ. This field is also grayed out</li> </ul>

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		<p>in the WebDCS. The date of the change of sub-grantee is populated by the change of entity utility. You should also record that date in field 17a of the hard copy form.</p> <ul style="list-style-type: none"> <li>• For changes of sub-grantee during a program year, all QPRs after the date of the change in sub-grantee will treat participants who have been moved to a new sub-grantee as though they have always been enrolled with the recipient sub-grantee. Although this may lead to some inaccuracy in the reported performance of the new sub-grantee for the balance of the program year, the QPR for the grantee, which is all that is used for official monitoring of performance, will be accurate. As long as everyone understands that the QPR for the new sub-grantee includes performance by the old sub-grantee, the new sub-grantee should not be unfairly evaluated.</li> </ul>
Topic 80 (New)	Transfer and right of first refusal	<ul style="list-style-type: none"> <li>• If a participant is transferred at the initiative of the grantee, e.g., for administrative reasons such as a lack of funding, the participant is entitled to the “right of first refusal.” This means the right to remain in the current host agency assignment under the same working conditions for 90 days after the date of transfer. In addition, the participant will fall under the IDL policy of either the donor grantee or the recipient grantee, whichever is more favorable to the participant.</li> </ul>
Topic 81	“Orphan exiters”: follow-up for participants who exited before a sub-grantee has gone out of business	<ul style="list-style-type: none"> <li>• Whenever a total change of sub-grantee occurs, there may be exited participants who are still in the follow-up period, which can last up to 15 months after the date of exit. Since these “orphan exiters” are not active participants, the question arises as to which entity will handle their follow-up once the old sub-grantee goes out of business.</li> <li>• You cannot transfer participants who exited from a closing sub-grantee. Once an exit has occurred for any reason, you can no longer enter a transfer into the database.</li> <li>• You can, however, use the batch change of entity function in SPARQ to have the new sub-grantee that is receiving all the active participants from the closing sub-grantee take responsibility for the orphan exiters as well. At that time, the database of the closing sub-grantee would be marked as “retired” in SPARQ.</li> <li>• All records moved from the old sub-grantee to the new sub-grantee are subject to data validation. Grantees should ensure that the old sub-grantee provides the case files to the new sub-grantee.</li> <li>• You can use the change of entity function to assign the orphan exiters to one or multiple recipient sub-grantees.</li> </ul>

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		<ul style="list-style-type: none"> <li>• Alternatively, the grantee itself may perform the follow-up activities for the orphan exiters. The grantee has read/write access to the databases of all of its sub-grantees. It could perform the follow-up and update the records of only the orphan exiters while assigning the active participants to one or more sub-grantees. The entire database for the old sub-grantee would be marked as “retired” in SPARQ when the outcomes for the orphan exiters were final.</li> <li>• If the grantee lets the sub-grantee go out of business and does not make arrangements for some other entity to do the follow-up for the orphan exiters, it will lose any remaining outcome credit for exited participants. The national office strongly discourages this option because it will negatively affect performance at the grantee and nationwide levels.</li> </ul>
17a	Change of sub-grantee?	<ul style="list-style-type: none"> <li>• In the WebDCS, this field is grayed out. If the participant has changed sub-grantees, the change of entity utility will reassign the affected participant records to the recipient sub-grantee and will indicate in this field the code of the donor sub-grantee. (See Topic 79 above.)</li> </ul>
Topic 82 (Revised)	Equal Opportunity (EO) information: required disclosures	<ul style="list-style-type: none"> <li>• You must attempt to collect EO information – gender, ethnicity, race, and disability – from all applicants. Before doing so, however, you must make the following disclosures:               <ul style="list-style-type: none"> <li>○ The disclosure of the information is voluntary.</li> <li>○ The refusal to provide it will have no effect on any decision to provide services except where disability may be used to establish eligibility or priority of service.</li> <li>○ The information will be kept confidential as required by law.</li> <li>○ The information will be used only in accordance with the law.</li> <li>○ The information will be used for statistical purposes, and disability status will be used to determine priority of service (and eligibility if applicant is claiming status as family of one).</li> </ul> </li> <li>• EO information must be requested from <u>all applicants</u> regardless of their eligibility.</li> <li>• All applicants should also be informed that if they have a physical or mental impairment, they may request reasonable accommodation for the application process. If any of the host agencies to which applicants might be assigned has an affirmative action program for persons with disabilities, or a similar program designed to benefit persons with disabilities, applicants should also be informed that if they have one or more disabilities and are interested in benefiting from such programs, they should notify the staff.</li> </ul>



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		<ul style="list-style-type: none"> <li>• Staff should inform <u>all participants</u> that, if they have a disability, require a reasonable accommodation, and would like information about when and to whom they should disclose their need for such an accommodation, they should notify program staff.</li> </ul>
Topic 83 (Revised)	Reasonable Accommodation	<ul style="list-style-type: none"> <li>• There is no SCSEP-specific guidance on reasonable accommodation. You can seek assistance from DOL's Job Accommodation Network (JAN) at <a href="http://askjan.org/">http://askjan.org/</a>. JAN, a service provided by DOL's Office of Disability Employment Policy, provides comprehensive information on job accommodation.</li> <li>• Grantees are responsible for ensuring that reasonable accommodation is provided if requested. Grantees can pay the cost of reasonable accommodation at a host agency or an unsubsidized employer as a supportive service. However, grantee resources for such services are extremely limited and many host agency and partner programs, especially Vocational Rehabilitation, may also be willing to help.</li> </ul>
Topic 84 (Revised)	Storage and confidentiality of and access to medical records and disability-related information	<ul style="list-style-type: none"> <li>• Medical and disability-related information (or information related to a status such as “severely disabled” or “frail” that might reveal a disability) must be stored in individual separate files -- apart from all other information about an applicant or participant -- and treated as a “confidential medical record.” The information must be stored securely, with limited access, and must be available only to persons with a permitted need to know. Confidentiality applies to all disability or medical information, including information related to reasonable accommodation requests. Access to medical and disability-related records, and knowledge that a particular individual is a person with a disability, must be strictly limited, as described below.</li> <li>• Knowledge of disability status may be provided only to the following individuals and only when necessary:               <ul style="list-style-type: none"> <li>○ sub-grantee staff who need to know that a participant is entitled to priority of service or a waiver of the durational limitation; or who need to make a decision about financial eligibility based on status as a family of one</li> <li>○ sub-grantee staff who need to know about the accommodation the participant will be provided</li> <li>○ first aid and safety personnel, if the condition might require emergency treatment or if the participant may need particular assistance in an emergency evacuation</li> <li>○ grantee staff or federal project officers who are doing monitoring or data validation</li> <li>○ government officials investigating compliance with EO requirements</li> </ul> </li> </ul>

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		<ul style="list-style-type: none"> <li>• The circumstances under which staff may be permitted access to an individual’s underlying medical- or disability-related documents are even more limited. For example, access to medical documentation that a participant is entitled to status as a family of one, priority of service, or extension of the durational limit should be limited to those grantee or sub-grantee staff who need to document the basis for such decisions. In addition, first aid personnel may need access to underlying documentation related to a participant’s medical condition in an emergency.</li> <li>• As a general rule, staff persons making assignments to a host agency should not have knowledge of a participant’s disability status unless the participant has requested an accommodation for the process of assignment, or unless the host agency has an affirmative action or similar plan intended to benefit individuals with disabilities and the participant has informed grantee staff that s/he is interested in taking advantage of such programs.</li> <li>• The case worker may ask <i>all</i> applicants whether they can perform the essential functions of a host agency assignment or a job "with or without reasonable accommodation."</li> <li>• Host agencies may not be informed that a participant has a disability unless:               <ul style="list-style-type: none"> <li>○ The applicant has made an independent decision to disclose the disability.</li> <li>○ The applicant has directed the sub-grantee staff to make the disclosure on behalf of the applicant.</li> <li>○ The request was initiated by the participant and not by the sub-grantee staff.</li> </ul> </li> </ul>
Topic 85 (Revised)	SCSEP disability status versus EO non-discrimination requirements applicable to participants, as well as to applicants for employment and	<ul style="list-style-type: none"> <li>• As recipients of federal assistance and as mandatory one-stop partners, grantees and sub-grantees are subject to the WIOA non-discrimination regulations published at 29 CFR Part 38 in their employment practices, as well as in their programs and activities.</li> <li>• The definition of "disability" used in the nondiscrimination context – in both employment and the services provided to participants – to determine who is both protected from discrimination and entitled to reasonable accommodations or similar measures, is broader than the Older Americans Act (OAA) definition of disability that is used by SCSEP for determining eligibility, priority of service, or extension of the durational limitation. Both definitions provide that to be considered as having a "disability," an individual must have a physical or mental impairment that substantially limits one or more major life</li> </ul>

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	employees of sub-grantees and grantees	<p>activities. However, the list of activities that are considered "major life activities" is different under each definition.</p> <ul style="list-style-type: none"> <li>• The Supreme Court has held that under disability nondiscrimination law, a "major life activity" is an activity that is "of central importance to daily life." Examples of such activities include, but are not limited to, caring for one's self; performing manual tasks; walking; seeing; hearing; speaking; breathing; and learning.</li> <li>• The OAA definition, by contrast, provides a specific, restrictive list of "major life activities." One or more of the particular activities on this list must be "substantially limited" by a physical or mental impairment in order for a person to be considered as having a disability for purposes of the SCSEP program. Those activities include self-care; receptive and expressive language; learning; mobility; self-direction; capacity for independent living; economic self-sufficiency; cognitive functioning; and emotional adjustment. The category of individuals who qualify as having a "severe disability" under the SCSEP program is even more limited.</li> <li>• In addition, disability nondiscrimination law prohibits discrimination against two categories of persons who do not have a "physical or mental impairment that substantially limits one or more major life activities": those persons who have a record of having had such a disability, and those who are regarded as having such a disability by other persons. Under disability nondiscrimination laws, people in the "record of" and "regarded as" categories are protected from exclusion, unlawful segregation, and other adverse actions that are based on their perceived status as persons with disabilities. However, such laws do not mandate that people in these categories be provided with positive actions, such as reasonable accommodations, that are designed to help people with actual, current disabilities compete on an equal basis despite their substantially limiting impairments.</li> <li>• See <a href="http://www.dol.gov/oasam/programs/crc/WIASection188DisabilityChecklist.htm">http://www.dol.gov/oasam/programs/crc/WIASection188DisabilityChecklist.htm</a> for information on the WIOA nondiscrimination regulations regarding individuals with disabilities. See also this CRC site, <a href="http://www.dol.gov/oasam/programs/crc/dElement5Intro.ppt">http://www.dol.gov/oasam/programs/crc/dElement5Intro.ppt</a>, for much helpful information.</li> </ul>
18	Gender	<ul style="list-style-type: none"> <li>• Gender, like all other EO information, is voluntary and is self-reported.</li> </ul>
19	Ethnicity	<ul style="list-style-type: none"> <li>• Record "yes" if the individual is a person of Cuban, Mexican, Puerto Rican, South- or Central-American, or other Spanish culture in origin, regardless of race.</li> </ul>

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		<ul style="list-style-type: none"> <li>• Applicants must be informed that this information is voluntary and that the refusal to provide it will have no effect on any decision to provide services to them.</li> <li>• Ethnicity and race are distinct. The question about ethnicity must be asked before the question on race; individuals may be Hispanic (or not) and may also identify as any race or combination of races.</li> </ul>
20	Race	<ul style="list-style-type: none"> <li>• Check the appropriate box(es). More than one box may be checked for a single participant:               <ul style="list-style-type: none"> <li>○ <i>American Indian/Alaskan Native</i> A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.</li> <li>○ <i>Asian</i> A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.</li> <li>○ <i>Black/African American</i> A person having origins in any of the black racial groups of Africa.</li> <li>○ <i>Native Hawaiian/Pacific Islander</i> A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.</li> <li>○ <i>White</i> A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.</li> <li>○ <i>Did not voluntarily report</i> Use this field for an applicant who did not select any of the above racial categories.</li> </ul> </li> <li>• You must ask applicants about their race regardless of their response to the question about ethnicity.</li> <li>• Applicants must be informed that this information is voluntary and that the refusal to provide it will have no effect on any decision to provide services to them.</li> </ul>
21	Education	<ul style="list-style-type: none"> <li>• Enter the appropriate code that corresponds with the participant’s highest level of education. Enter only one code for each participant. For those with 1-11 years of school, <u>enter the single number that</u></li> </ul>

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		<p><u>corresponds to the highest grade completed.</u> For example, for someone who has completed the tenth grade, enter 10. The WebDCS has a drop-down menu containing all the valid values.</p> <ul style="list-style-type: none"> <li>• Codes 13 to 15 include college or full-time technical or vocational school. Codes 13 to 15 should not be used for individuals who are not high school graduates or do not have a GED. <u>Enter the single number that corresponds to the number of years of college completed.</u> For example, 14 = two years of college completed.</li> <li>• Individuals who completed 12th grade but did not receive a diploma or equivalent should be coded A11.</li> <li>• This field should not be updated once the participant has been enrolled. Grantees must use other ways, like the IEP and case notes, to document the attainment of higher levels of education by the participant.</li> </ul>
22 (Revised)	Limited English Proficiency (LEP)	<ul style="list-style-type: none"> <li>• Check “yes” if the participant cannot speak or read English well enough to fully participate in all aspects of the program.</li> <li>• An LEP individual is one who does not speak English as his or her primary language and who has a limited ability to read, speak, write, or understand English. If you are in doubt, ask the participant. This definition applies to all participants, including those residing in Puerto Rico.</li> <li>• Sub-grantees should use this information to provide language assistance to the participant. It may also be used to send the customer satisfaction survey in the participant’s primary language.</li> <li>• An LEP participant may not also be counted as having low literacy. See element 24.</li> <li>• This priority of service is counted in the Most-in-Need measure. Data validation is required for this element.</li> </ul>
23	If LEP, please specify primary language	<ul style="list-style-type: none"> <li>• If the participant is identified as LEP, it is necessary to specify the participant’s primary language. This can be determined by asking the participant what language is primarily spoken at home or what language the participant primarily speaks with friends and family.</li> <li>• If the participant’s language is not on the list, select “other” and record the language. If the participant speaks a dialect of a listed language, use the comments field to record the dialect.</li> <li>• WebDCS will not let you select a language unless you have indicated “yes” in field 22.</li> </ul>

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Topic 86	Interpreters, translation, and other services for LEP participants	<ul style="list-style-type: none"> <li>• As recipients of federal grant money, grantees and sub-grantees are subject to Title VI of the Civil Rights Act. Title VI requires that LEP participants have meaningful access to all federally funded programs. You are required to identify LEP participants and to have a plan for communicating with them about the essential features of the program.</li> <li>• Providing an interpreter is usually the preferred method, but you may also provide written translations of critical documents. If the need for interpreter services in a particular language is small, you do not need in-house capacity to communicate with LEP participants on demand. However, you should arrange with another community organization or a professional interpreter service (there are several that operate over the telephone) to provide timely and meaningful assistance to all LEP participants.</li> <li>• To address the participant's long-term needs, you should review the participant's IEP and consider whether the participant would benefit from English as a Second Language (ESL) classes and a host agency assignment where language skills could be worked on. If part of an IEP and the grant agreement, ESL classes are an allowable training expense, and the participant may be paid wages while attending these classes.</li> </ul>
24	Low literacy skills?	<ul style="list-style-type: none"> <li>• Check “yes” if the participant calculates or solves problems, reads, writes, or speaks English at or below the 8th grade level or is unable to compute or solve problems, read, write, or speak at a level necessary to function on the job, in the individual’s family, or in society.</li> <li>• The field for low literacy skills does not apply to participants who are LEP. See element 22.</li> <li>• Asking the participant about literacy is likely to embarrass the participant and is unlikely to produce accurate information. As part of the IEP, you may wish to test all participants who have less than some college education. Standard tests include Test of Adult Basic Education (TABE), Adult Basic Learning Exam (ABLE), and Test of Applied Literacy Skills (TALS). Your local American Job Center can administer any of these tests for you. <i>You should not design your own test.</i></li> <li>• This priority of service is counted in the Most-in-Need measure. Data validation is required for this element.</li> </ul>

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Topic 87 (New)	LEP and Low Literacy as both priorities of service and waiver factors	<ul style="list-style-type: none"> <li>• LEP and low literacy are both priorities of service (P22 and P24) and waiver factors (P55 and P56). They cannot be updated as priorities of service, but they can be updated as waiver factors anytime you become aware of them. If they are entered as priorities of service at the time of enrollment, the QPR will count them in the Most-in-Need measure for as long as the participant is enrolled regardless of whether they are updated.</li> <li>• If entered as waiver factors, you will only get credit for the Most-in-Need measure in the program year during which they were first entered or are updated. You will have to update them each year that they still apply in order to continue receiving credit. You will also need to update them in the year the durational limit is reached if you want them to support an extension.</li> </ul>
Topic 88	Lack of computer skills and low literacy skills	<ul style="list-style-type: none"> <li>• The lack of computer skills does not fit within the definition of low literacy skills for the Most-in-Need measure. However, it could be a basis for identifying some participants as having low employment prospects depending on their education, background, skills, and employment capability/interests.</li> <li>• It requires a case-by-case determination whether lack of computer skills is a significant barrier to employment that makes it unlikely the individual will obtain employment without enrollment in SCSEP or another employment and training program. Not all the jobs participants desire or secure require computer skills, so lack of computer skills would not constitute low employment prospects for everyone.</li> </ul>
25 (Revised)	Veteran (or eligible spouse of veteran)?	<ul style="list-style-type: none"> <li>• Enter (a) if the individual is a person who served in the active U.S. military, naval, or air service and who was discharged or released from such service under conditions other than dishonorable. Active service includes full-time duty in the National Guard or a Reserve component, other than full-time duty for training purposes.</li> <li>• Enter (b) if the individual is the spouse of any of the following:               <ul style="list-style-type: none"> <li>○ any veteran who died of a service-connected disability;</li> <li>○ any member of the Armed Forces serving on active duty who, at the time of application for the priority, is listed in one or more of the following categories and has been so listed for a total of more than 90 days: (i) missing in action; (ii) captured in line of duty by a hostile force; or (iii) forcibly detained or interned in line of duty by a foreign government or power;</li> <li>○ any veteran who has a total disability resulting from a service-connected disability, as evaluated by the Department of Veterans Affairs; or</li> </ul> </li> </ul>

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		<ul style="list-style-type: none"> <li>○ any veteran who died while a disability was in existence</li> <li>● Enter (c) if neither (a) nor (b) applies</li> <li>● Documentation is required. Grantees must verify the status of an individual as a veteran or eligible spouse at the time of eligibility determination and subsequent enrollment in SCSEP. Eligibility can be verified using a variety of official documents, including, but not limited to:               <ul style="list-style-type: none"> <li>○ a DD 214 (issued following separation from active duty);</li> <li>○ an official notice issued by the VA that establishes entitlement to a disability rating or award of compensation to a qualified dependent; or</li> <li>○ an official notice issued by a State veterans' service agency that acknowledges veterans' status or spousal rights</li> </ul> </li> <li>● For veterans discharged prior to 1950, a participant signed self-attestation is acceptable in all cases. For more recent veterans, if official documentation cannot be attained, other evidence of military service along with self-attestation may be accepted.</li> <li>● The rules governing veterans and eligible spouses are set forth in TEGl 10-09. Section 6 states that "for a spouse whose eligibility is derived from a living veteran or service member, that eligibility would be lost upon divorce from the veteran or service member." See also the answers to Questions 5 and 6 in Attachment B to the TEGl.</li> <li>● To mitigate the burden of establishing proof-of-covered-person status, grantees also may establish other means for verifying status, such as electronic communication with official databases such as those maintained by State Veterans' service agencies, or property tax exemption databases in states that grant exemptions to certain types of veterans or other covered persons.</li> <li>● See TEGl 10-09 and the accompanying guidance, <i>SCSEP and Veterans' Priority of Service</i>, for complete information about grantees' obligations under the Jobs for Veterans Act.</li> <li>● This priority of service is counted in the Most-in-Need measure. Data validation is required for this element.</li> </ul>



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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 89 (New)	Veterans Priority of Service; enrolling spouses who are both covered persons	<ul style="list-style-type: none"> <li>• The rules on Veterans' Priority of Service do not distinguish between veterans and eligible spouses of veterans. Both are considered covered persons and both receive priority over non-covered persons. Among covered persons, veterans do not rate higher than eligible spouses; however, covered persons with other priorities of service rate higher than covered persons without other priorities of service. The SCSEP guidance of October 2, 2009 states that to obtain priority, a covered person must first meet the statutory eligibility requirements for SCSEP. Grantees must determine each individual's covered person status and apply priority of service as described below:               <ul style="list-style-type: none"> <li>○ Covered persons who meet at least one other statutory SCSEP priority must receive the highest priority for SCSEP services.</li> <li>○ Covered persons who do not meet other statutory SCSEP priorities must receive priority for services before all non-covered persons.</li> <li>○ Non-covered persons who meet other statutory SCSEP priorities must receive services over those non-covered persons who do not meet any statutory priority criteria.</li> </ul> </li> <li>• Note that the law contains a detailed, limited definition of eligible spouse. If the husband is a veteran with a disability, the only way the wife can be a covered person is if the husband "has a total disability resulting from a service-connected disability, as evaluated by the Department of Veterans Affairs." The other ways for a spouse to be eligible based on a veteran's disability all require the veteran to be deceased.</li> <li>• There is no prohibition on enrolling both spouses at the same time. However, grantees should generally assign them to different host agencies. See Topic 22 of the Community Service Assignment Form Guide.</li> </ul>
26	Disability?	<ul style="list-style-type: none"> <li>• The definition of disability is contained in the definition section of the SCSEP regulations, Section 641.140. The regulations define "disability" as: a condition attributable to mental or physical impairment, or a combination of mental and physical impairments, that results in substantial functional limitations in one or more of the following areas of major life activity: (A) self-care; (B) receptive and expressive language; (C) learning; (D) mobility; (E) self-direction; (F) capacity for independent living; (G) economic self-sufficiency; (H) cognitive functioning; and (I) emotional adjustment.</li> </ul>

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		<ul style="list-style-type: none"> <li>• Check “yes” only if the participant actually is impaired at the time of enrollment. We do not count as disabled an individual who merely has a history of impairment or is regarded as being impaired. The individual must have the impairment currently.</li> <li>• Applicants must be informed that this information is voluntary and that the refusal to provide their disability status or to produce documentation will have no effect on any decision to provide services to them.</li> <li>• Documentation is required if the applicant is claiming status as a family of one due to disability.</li> <li>• Data validation is also required if this element is used for the most-in need measure. Because disability is an EO item, a participant may self-report and decline to provide documentation. In that case, you will check the box for “Yes, self-report,” but you will not receive Most-in-Need credit.</li> <li>• The data validation requirement in no way prevents grantees from recruiting or enrolling participants with disabilities. Indeed, the OAA requires grantees to give priority of service to participants with disabilities. You must still allow participants to self-attest to disability, and you may not require them to provide documentation. The validation requirement only means that you will not get credit for the Most-in-Need measure if you do not obtain documentation.</li> <li>• High-quality service to individuals with disabilities is a critical goal of SCSEP and its WIOA partners. Technical assistance resources are available at <a href="https://disability.workforcegps.org/resources/2017/02/15/22/14/The_Playlists_Disability_Resources_for_WIOA_Practitioners">https://disability.workforcegps.org/resources/2017/02/15/22/14/The Playlists Disability Resources for WIOA Practitioners</a></li> </ul>
Topic 90 (New)	Documenting disability	<ul style="list-style-type: none"> <li>• For disability to count for the most-in-need measure or to establish status as a family of one, there must be medical documentation that meets the regulatory definition. If there has not been an official determination of disability, you may use a doctor's statement that satisfies the regulatory criteria: 1) a mental or physical impairment (or combination of impairments); 2) that results in substantial functional limitation; 3) in one or more of the nine listed areas of major life activity. The doctor does not have to use the word "disability," but the statement must cover all three aspects of the definition. Grantees are not allowed to use their own judgment about whether a medical impairment exists and whether it substantially limits functioning in one of the areas.</li> <li>• Receipt of Social Security Disability Insurance (SSDI), where there are objective standards and a formal medical determination, is sufficient to establish disability. However, grantees will need to assess</li> </ul>

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		<p>other types of state or federal designations of disability to determine if they meet the SCSEP standard. For example, a DMV disability card or parking sticker by itself would not qualify unless the standard that is applied to issue the card meets the SCSEP standard. In many states, parking stickers for handicapped parking are provided for reasons that fall short of the regulatory definition of disability.</p> <ul style="list-style-type: none"> <li>Although the receipt of SSDI satisfies the SCSEP requirement for disability because of the standard applied by the Social Security Administration, the VA disability determination provides an individualized rating that does not on its face satisfy the SCSEP requirement. Because the existence of a VA rating does not by itself prove that the applicant meets the SCSEP standard, the applicant will need to obtain a letter from the applicant's physician stating whether the applicant has “a condition attributable to mental or physical impairment, or a combination of mental and physical impairments, that results in substantial functional limitations in one or more” of the nine areas of major life activity specified in the definition.</li> </ul>
Topic 91 (New)	Proof of SSDI	<ul style="list-style-type: none"> <li>The letters DI after an individual's SSN on a document from the Social Security Administration indicate that the individual is receiving or has received Social Security Disability Insurance. The DI indicator appears on the individual's Medicare card and on correspondence from the Social Security Administration. The problem is that the DI indicator remains after the individual has reached the age of normal retirement and the SSDI has converted to regular retirement benefits. At that point, the DI indicator is not reliable evidence of either disability or the receipt of SSDI.</li> <li>Given the ambiguity of the DI indicator for many SCSEP applicants and participants, the better approach is to have the individual obtain documentation of disability and SSDI by requesting a benefit verification letter from the Social Security Administration. This can be done by phone at the time of initial application or recertification.</li> <li>Determining the source of SSA payments is not always easy. While it is generally true that a Medicare beneficiary under the age of 62 is receiving Medicare because of a disability, that is not always the case. Spouses, ex-spouses, and unmarried children of various ages can also receive Medicare benefits based on the earnings of a beneficiary with a disability. See the SSA Disability Benefits guide at <a href="http://www.socialsecurity.gov/pubs/EN-05-10029.pdf">http://www.socialsecurity.gov/pubs/EN-05-10029.pdf</a> . If in doubt, the safest course is to request a benefit determination letter from SSA. This can most easily be done online at <a href="http://www.ssa.gov/myaccount/">http://www.ssa.gov/myaccount/</a>.</li> </ul>

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Topic 92 (New)	Eligibility of applicant on workers' compensation	<ul style="list-style-type: none"> <li>• Grantees are required to give priority of service to applicants with disabilities and must provide reasonable accommodation in community service assignments for participants if requested. Therefore, if the applicant is capable of participating in the program with or without an accommodation, you could not deny eligibility solely because the applicant is receiving workers' compensation.</li> <li>• Note, however, that you cannot enroll applicants who are job-ready; job-ready means that the applicant does not need further education or training to perform work that is available in his or her labor market. An applicant who has the right of return to a job may be considered job-ready unless the injury precludes performing the duties of that job and the applicant could not obtain another job in his or her labor market without additional education or training.</li> </ul>
27	At risk for homelessness	<ul style="list-style-type: none"> <li>• Being at risk for homelessness is considered along with actual homelessness (field 8) as a single priority for service and a single factor for the Most-in-Need measure. An individual may be either at risk for homelessness or homeless, but not both at once.</li> <li>• At risk for homelessness means that an individual who is not currently homeless at the time of enrollment is likely to become homeless and lacks the resources and support networks needed to obtain housing. The risk must be real and imminent. In some sense, anyone living below the poverty level may be at risk of homelessness. This field requires a more specific and identifiable risk than just low income.</li> <li>• Like all priorities of service, you do not update this field after the time of enrollment. You should note any change in status after enrollment in the case notes.</li> <li>• Data validation is required for this element.</li> </ul>
Topic 93 (New)	Homeless or at risk of homelessness: applicant living in adult children's homes	<ul style="list-style-type: none"> <li>• If an applicant has no home of his or her own, living with adult children may or may not qualify as homelessness or at risk of homelessness. If the arrangement with the children is stable, then the applicant probably would not qualify under either definition. If there is no permanent agreement and either child might turn the applicant away, then the applicant would appear to be at risk of homelessness. The determination depends on the specific facts of each case.</li> </ul>

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28	Displaced homemaker?	<ul style="list-style-type: none"> <li>• A displaced homemaker is an individual who has been providing unpaid services to family members in the home and who: (1) has been dependent on the income of another family member but is no longer supported by that income; and (2) is unemployed or underemployed (involuntarily working fewer hours than the individual desires to work) and is experiencing difficulty in obtaining or upgrading employment.</li> <li>• A displaced homemaker will nearly always have low employment prospects as well.</li> </ul>
29	Failed to find employment after using WIOA Title I	<ul style="list-style-type: none"> <li>• Record “yes” if the participant was enrolled in WIOA Title I (adult services) prior to enrolling in SCSEP and was unable to obtain employment before enrolling in SCSEP. If the participant reports having used the American Job Center system, you must call the WIOA provider to determine whether the participant was actually enrolled in WIOA. Mere registration by or use of the American Job Center does not constitute registration in WIOA.</li> <li>• This priority of service is counted in the Most-in-Need measure. Data validation is required for this element. WIOA enrollment may be documented by a case note regarding the call to the American Job Center. You may accept signed self-attestation as to the lack of employment.</li> </ul>
30 (Revised)	Low employment prospects?	<ul style="list-style-type: none"> <li>• Check “yes” if the participant’s employment prospects are low. Low employment prospects means the likelihood that an individual will not obtain employment without the assistance of SCSEP or another workforce development program. Persons with low employment prospects have a significant barrier to employment. Significant barriers to employment may include, but are not limited to: lacking a substantial employment history, basic skills, and/or English-language proficiency; lacking a high school diploma or the equivalent; having a disability; being homeless; or residing in socially and economically isolated rural or urban areas where employment opportunities are limited.</li> <li>• A participant with low employment prospects is unlikely to find employment without the assistance of SCSEP or some other employment and training program. The definition requires at least one significant barrier to employment. You must document which barrier to employment is being relied on and must state how that barrier renders the participant unlikely to find employment. In some cases, that connection will be obvious and will require little explanation. In other cases, additional facts may be necessary.</li> <li>• Lack of a high school degree or its equivalent <u>may</u> be sufficient to establish low employment prospects, but the determination is not automatic. Lack of a high school degree is listed as a characteristic that may constitute a significant barrier to employment. Whether it does in any given case will depend</li> </ul>

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		<p>upon several other factors, including the participant's skills and employment history. For example, if the participant has a work history as a skilled trades person, lack of a high school degree by itself would not usually be a significant barrier to reemployment. On the other hand, if the participant had no marketable skills or a history of only low-paying, unskilled work, the lack of a high school degree could mean that the participant had low employment prospects.</p> <ul style="list-style-type: none"> <li>• Many barriers, like prior felony convictions, transgender, personal hygiene issues, and phobias, may support a determination of low employment prospects. Having been a past victim of age discrimination, however, is not itself a barrier. Nor, given the nature of our program, can age itself be a barrier for purposes of this measure. Inability to lift weight, which is not unusual for many older workers, might be a barrier to employment if the participant's only skills and employment history involved physical labor. However, if the participant were capable of sedentary work that did not involve lifting, then this restriction would probably not constitute a significant barrier for purposes of the measure.</li> <li>• Some of these characteristics are captured on the application form. You will have to ask the applicant about other characteristics that might fit the definition of poor employment history or prospects.</li> <li>• This priority of service is counted in the Most-in-Need measure. Data validation is required for this element.</li> </ul>
Topic 94 (Revised)	Low employment prospects due to "residing in socially or economically isolated rural or urban area where employment opportunities are limited"	<ul style="list-style-type: none"> <li>• There is no definition for this particular barrier to employment. However, the general rules for low employment prospects apply.</li> <li>• For social or economic isolation, the case note must contain sufficient facts to establish <u>both</u> that the area in which the participant resides is socially or economically isolated <u>and</u> that employment opportunities are limited in that area. Isolation in a rural area should be relatively easy to document. Isolation in an urban area may turn on whether there is a social infrastructure in the area (civic organizations, churches, government offices, etc.), whether there is transportation, and whether there is normal commercial and economic activity (stores, businesses, or industry).</li> <li>• The area in which the participant resides may depend upon the transportation options available to the participant and normal commuting patterns. For a city with good public transportation, the area could be the city or even surrounding towns. For a city with no or very poor transportation, the area might be much more limited. The unemployment rate for the area could be used to establish that employment</li> </ul>

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		<p>opportunities are limited there compared to less isolated areas. If there is no official unemployment rate for the area, you will need to determine whether the number of non-profit, government, and private sector entities in the area is insufficient to provide jobs for all residents of the area who want employment.</p> <ul style="list-style-type: none"> <li>• As with many of the barriers to employment, you will need to develop the facts as best you can and use your judgment. As long as the case note contains the facts upon which you rely and you apply the correct factors, there should be no problem.</li> <li>• Because this barrier is not itself included in the Most-in-Need measure, it is not directly subject to data validation. If you rely on it to support low employment prospects, then documentation is required as part of the validation of low employment prospects.</li> </ul>
31	Personal characteristics comments	<ul style="list-style-type: none"> <li>• Use this field to enter any relevant comments on the application. You may enter up to 1000 characters (about 160 words) into the database.</li> <li>• You may enter into this field additional contact information such as cell phones number, e-mail addresses, or an emergency contact person.</li> </ul>
32 (Revised)	Signature of applicant	<ul style="list-style-type: none"> <li>• Make sure the applicant reads and understands the certification. Intentional falsification of eligibility information requires immediate removal from the program. The applicant's signature appears on the hard copy form only. It must be retained in the file.</li> <li>• A determination of eligibility cannot be made until the participant has signed the certification. If it is not feasible for the participant to come to the office to sign the certification, it may be done by mail as long as the case worker explains clearly to the participant the facts the applicant is certifying and the consequences of making a false statement with regard to those facts.</li> <li>• The certification does not satisfy any of the documentation requirements for Data Validation.</li> <li>• Under the circumstances described in Topic 66 above, you do not have to obtain a signature from an ineligible applicant who you are sure will not contest eligibility.</li> </ul>
33	Date of signing	<ul style="list-style-type: none"> <li>• Enter the date on which the applicant signed the certification of the accuracy of the eligibility information for the original enrollment or re-enrollment.</li> <li>• Do not use this field for recording the date of the eligibility determination at recertification. All recertification data are entered in fields 44-51. Field 33 will always reflect the date on which the participant signed the original certification. Do not overwrite this field.</li> </ul>

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34	Eligibility determination	<ul style="list-style-type: none"> <li>• Check the appropriate box to indicate whether the applicant is eligible or ineligible.</li> <li>• Do not use this field for recording the eligibility determination at recertification. All recertification data are entered in fields 44-51. Field 34 will always reflect the eligibility determination at the time of initial enrollment. Do not overwrite this field.</li> <li>• Sub-grantees are required to take an application from any individual who indicates a desire to apply, even if they believe the individual is ineligible. Sub-grantees need not take applications from those who merely inquire about the eligibility requirements of the program.</li> <li>• The regulations provide that an individual who is determined ineligible has the right to appeal that determination. If the determination is not made formally and documented in an application, the right of appeal may be meaningless.</li> </ul>
Topic 95 (New)	Concerns about fraud	<ul style="list-style-type: none"> <li>• If you believe that fraud has occurred, your options depend on the kind of fraud involved:               <ul style="list-style-type: none"> <li>○ If the fraud involves an applicant's or participant's application or continued eligibility for the program, you should notify the sub-grantee. The regulations require the sub-grantee to investigate and to initiate the termination process if the facts warrant.</li> <li>○ If you believe the fraud has harmed you personally, you should file a complaint under the grantee's grievance policy. If the complaint involves claims of discrimination, you also have the right to file with DOL's Civil Rights Center.</li> <li>○ If you have a whistle blower complaint alleging misuse of federal funds or other violations of federal law, you should file your complaint with DOL's Office of the Inspector General, with a copy to the Federal Project Officer and National Office Liaison assigned to the grantee.</li> </ul> </li> </ul>
Topic 96	Over-enrollment and conditional or temporary eligibility	<ul style="list-style-type: none"> <li>• Responsible over-enrollment is a routine and expected practice in order to ensure that the normal delays in filling vacancies or participants on approved breaks in participation do not cause grantees to under-spend their grants. Since SPARQ was implemented, SCSEP has not had "temporary" positions. All participants are equal, and any durational limit must be applied equally to all participants in a grant. There is no legal authority for treating over-enrolled participants as temps who have less right to service than everyone else. When a grantee over-enrolls, it is expected to know what it is doing and to manage its grant so as to avoid any dislocation of participants.</li> </ul>



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		<ul style="list-style-type: none"> <li>• Unlike short-term grants (e.g., the Recovery Act grant), the regular grants do not permit a disclaimer about termination for lack of funding because there is continuing funding each year. Grantees routinely over-enroll. However, they must do so based on their ability to manage case flow. They must manage their regular grant to have sufficient exits occurring so that the over-enrolled participants are not in danger of being terminated prematurely.</li> </ul>
Topic 97 (Revised)	Grantee eligibility requirements	<ul style="list-style-type: none"> <li>• Grantees cannot have eligibility requirements beyond those authorized in the statute. On a case-by-case basis, grantees can deny enrollment to someone who refuses to comply with program requirements. Grantees cannot use past behavior alone as a basis for denial nor can they impose blanket rules to disqualify applicants without making individualized determinations.</li> <li>• The Department has previously determined that grantees cannot deny eligibility to someone who does not have a driver's license and an acceptable level of automobile insurance. It has also determined that a grantee cannot require a background check of all applicants as a condition of eligibility. See Topic 99. Such issues may determine where participants are assigned, but they cannot be used to determine eligibility.</li> <li>• US citizenship is not an eligibility requirement for SCSEP. Participants are not required to have Social Security Numbers. (See Topic 3 above about issuance of proxy SSNs.) Grantees are not required to obtain I-9 forms from applicants or to retain them for documentation.</li> <li>• Disability is not part of the eligibility criteria for SCSEP. Eligibility is determined solely by age, income, employment status, and residence. Under federal law, denying enrollment to someone on the basis of disability would be illegal. Furthermore, Congress has mandated that SCSEP give special consideration in initial enrollment and continued enrollment beyond the 48month durational limit to individuals who have a disability or a severely disability, or who are frail. Grantees have an obligation to accommodate individuals who have documented disability and to find a suitable host agency assignment for them. If the participant is so disabled that he or she cannot perform any existing host agency assignment even with an accommodation, you might contact organizations that work with persons with disabilities to help identify a potential community service assignment.</li> </ul>

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Topic 98	Psychological testing at enrollment or re-enrollment of participant believing to be acting erratically or disruptively	<ul style="list-style-type: none"> <li>• It is neither appropriate nor lawful to request a psychological evaluation of an individual believed to be acting erratically or disruptively. The same legal limitations on disability-related inquiries and medical examinations apply to the re-enrollment process as to the original application process. Therefore, SCSEP may require a psychological evaluation or psychiatric examination of an applicant or former participant seeking re-enrollment only after he or she has been extended a conditional offer of (re-)enrollment, and only if all other similarly-situated participants are subjected to the same evaluation or examination at the same point in the process. (Note that in the limited circumstances in which an evaluation or examination is permitted, the program must pay for the evaluation or examination and cannot shift the cost to the former participant.)</li> <li>• An applicant’s erratic or disruptive behavior during the application process in and of itself <u>may</u> provide sufficient basis for declining to enroll the individual. For those seeking re-enrollment, it is entirely appropriate to consider past performance as long as you do so uniformly for all those seeking re-enrollment.</li> <li>• Re-enrollment is discretionary. Grantees are not required to provide anyone a second opportunity to participate in SCSEP, especially when there are so many eligible seniors who have never had the benefit of the program. In deciding whether to exercise their discretion to re-enroll any former participant who otherwise satisfies the eligibility criteria (including the requirement that the individual needs additional time in a community service assignment in order to become job-ready), grantees should consider whether the individual:               <ul style="list-style-type: none"> <li>○ has taken full advantage of the opportunity afforded by the prior enrollment</li> <li>○ has demonstrated a commitment to the program's objectives</li> <li>○ has violated any conduct standards during the prior enrollment</li> </ul> </li> <li>• Focusing exclusively on these considerations, which permit the program to take into account the participant's behavior during the prior enrollment and the circumstances of the participant’s leaving the program, is likely to protect the interests of the SCSEP program without violating either the law or the participant’s rights. To ensure that these considerations are not used in a discriminatory fashion, they should be applied in all cases in which a former participant seeks re-enrollment.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 99 (Revised)	Criminal background	<ul style="list-style-type: none"> <li>• SCSEP policy has long prohibited discrimination against ex-offenders, and specifically has barred the use of background checks as an eligibility criterion. See the preamble to the SCSEP Final Rule at section 641.585, page 53803, and Topic 97 above. In addition, TEGL 31-11 requires grantees to conduct their activities using safeguards to prevent discrimination and promote employment and training opportunities for ex-offenders. This applies to decisions to assign participants to host agencies and the information grantees convey about a participant’s background.</li> <li>• The TEGL relies upon and requires grantees to follow the EEOC’s guidance on arrest and conviction: <a href="https://www.eeoc.gov/laws/guidance/upload/arrest_conviction.pdf">https://www.eeoc.gov/laws/guidance/upload/arrest_conviction.pdf</a>. In general, grantees should not employ, or permit host agencies or employers to apply, practices that can have a disparate impact on participants unless they are job-related for the position in question and consistent with business necessity. For convictions, the EEOC states that this standard requires a determination of: <ul style="list-style-type: none"> <li>○ the nature and gravity of the offense or conduct</li> <li>○ the time that has passed since the offense or conduct and/or completion of the sentence</li> <li>○ the nature of the job held or sought</li> </ul> </li> <li>• For arrests, the EEOC has said that “although an arrest record standing alone may not be used to deny an employment opportunity, an employer [or host agency, in the case of SCSEP] may make an employment decision based on the conduct underlying the arrest if the conduct makes the individual unfit for the position in question. The conduct, not the arrest, is relevant for employment purposes.”</li> <li>• Grantees must find suitable host agency assignments for participants based on their assessment and IEP; doing so requires a sensitive consideration of the participant’s criminal background. If a host agency is justified in requiring information about a participant’s criminal background, the grantee may disclose it with the participant’s permission. If the participant does not consent to the disclosure or the host agency refuses to accept the participant, the grantee is required to find another community service position for which the participant's criminal record will not be an issue.</li> <li>• Background checks may be required by state law (so-called “barrier laws”) before you can assign participants to certain jobs. Grantees should determine the law in the state in which they are operating. States may also have laws prohibiting discrimination against individuals based on past criminal behavior so grantees must obtain guidance from the relevant state authorities. Grantees should consult an attorney</li> </ul>

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		<p>before taking any action in this area. Grantees may also want to contact organizations that work with ex-offenders to get a broader understanding of how the issue is dealt with in a particular state. There are federal and state bonding programs for ex-offenders.</p> <ul style="list-style-type: none"> <li>• There is no simple answer about the potential liability of grantees for actions committed by participants at their community service assignment or unsubsidized employment. It depends on the circumstances of each case and on the laws of the state in which the grantee is operating. However, grantees must also be aware of their obligation to prevent discrimination against and promote employment of ex-offenders as required by TEG 31-11.</li> <li>• Although a background check that meets the SCSEP requirements is a permissible grantee expense, some grantees require host agencies to take full responsibility for any required background checks or refuse to work with host agencies that require background checks.</li> </ul>
Topic 100	Why must applicants be unemployed at time of eligibility determination?	<ul style="list-style-type: none"> <li>• Section 502(a)(1) of the Older Americans Act defines the purpose of SCSEP as: To foster individual economic self-sufficiency and promote useful opportunities in community service activities (which shall include community service employment) <u>for unemployed low-income persons</u> 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.</li> <li>• Employed and recently laid off applicants are presumed to be job-ready and thus ineligible for SCSEP. SCSEP is solely for those applicants who need community service assignments in order to become job-ready. Job-ready applicants should be referred to the American Job Center.</li> </ul>
Topic 101 (Revised)	What constitutes employment?	<ul style="list-style-type: none"> <li>• A participant must be unemployed at the time of enrollment and must remain unemployed while enrolled. The no-employment rule does not apply to casual, non-recurring labor; however, regularly working part-time, no matter how little, is not permitted.</li> <li>• The 2006 amendments to the OAA codify the definition of unemployed and make clear that someone who has occasional, irregular work is not employed for SCSEP eligibility purposes. For example, if a participant occasionally tends to a neighbor's garden or occasionally baby-sits for a friend's child and receives payment, that would not constitute disqualifying employment unless the participant were</li> </ul>

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		<p>regularly engaged in the business of landscaping or providing child care and received a regular income. Working at the polls at an election would be occasional employment resulting in non-regular income.</p> <ul style="list-style-type: none"> <li>• If the work is regularly occurring, even if it is only once every few weeks or months, the employment is not permitted while the participant is enrolled. The duration of the work could be a factor if it extends over more than a few days and interferes with the participant's community service assignment. DOL has not established hard and fast rules because each case must be decided on its facts. For example, ushering for pay in the evening, outside of CSA hours, for a few days on a totally irregular basis would not be considered disqualifying employment. However, doing so several times each week would be part-time work that is not permitted.</li> <li>• It is not considered employment for purposes of SCSEP eligibility if a participant engages in sideline activity that can easily be done in off hours and that is only distinguishable from a pure hobby by the fact that it generates occasional income. An example would be making jewelry and selling it online. However, the line between a sideline activity and full-blown self-employment is not always easy to distinguish. It is a question of degree, both as to the amount of time and labor devoted and to the regularity of the income generated. At some point well short of competing with Etsy or Amazon, the participant would be considered employed and no longer eligible for SCSEP.</li> <li>• Determining when someone is self-employed and engaging in disqualifying employment is often a judgment call. It is not generally the case that engaging in personal activity that generates income, such as managing personally owned rental property or other investments, is disqualifying employment. In addition, many people have hobbies, for example, making crafts, at which they may make some money on occasion. In the old days, people might sell their crafts at fairs or similar public events; today they use the Internet. We would generally not consider such activity to be disqualifying self-employment unless it consumed a significant amount of the participant's time or generated substantial, regular income. On the other hand, someone could set up an importing business and spend all day promoting or fulfilling sales on the Internet. That would be disqualifying self-employment.</li> <li>• Furthermore, even for regularly performed labor, such as maintenance of an apartment complex in exchange for free rent, as long as the applicant receives no cash for the work, the arrangement does not constitute employment for purposes of SCSEP eligibility. If the applicant becomes a participant, he or she</li> </ul>

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		<p>may continue this arrangement while enrolled, assuming it does not interfere with the community service or job search activity. In addition, the in-kind payment received (the value of his rent) is not considered includable income under TEGl 12-06.</p> <ul style="list-style-type: none"> <li>• On the other hand, the receipt of a “stipend” from a non-profit organization for performing regular duties in a social services program is employment, and the “stipend” constitutes wages. Calling wages a stipend does not change their nature; nor does it matter that the work is performed for a non-profit or government organization. Regular employment by a social service program renders an applicant employed and thus ineligible. Active service in the Armed Forces, including the National Guard, is also employment (although the pay received is not includable in income for eligibility purposes.)</li> <li>• Whenever a participant has done any work within the last year or two of enrolling, whether it constitutes employment or not, there may be a question whether the applicant is job-ready. A recent work history creates a presumption that the applicant is job-ready and thus does not need community service. This presumption may not apply if the participant has had only very limited work experience or if the applicant’s personal circumstances render him or her no longer job-ready. Job-ready applicants should be determined ineligible and referred to an American Job Center.</li> <li>• All earnings from employment, both casual employment and regular, consistent employment, are counted unless excluded by TEGl 12-06. If the activity from casual employment, investment, or sideline activity is not disqualifying employment, then a self-attestation regarding the amount of net profit realized, supplemented with the participant's tax return and other official or business records when available, is adequate documentation for income eligibility or recertification determinations.</li> </ul>
Topic 102 (New)	National Guard as employment	<ul style="list-style-type: none"> <li>• Active service in the Armed Forces, including the National Guard, is considered employment. Although National Guard service is usually part-time, it meets the SCSEP definition of employment because it is more than occasional work and results in regular payment. Therefore, current active members of the Guard are not eligible for enrollment in SCSEP.</li> <li>• However, once a member of the Armed Forces, including the National Guard, is no longer active and has become a veteran, the income from active duty and the amounts received for educational assistance cannot be included in income when determining eligibility for federally-funded employment and training programs, including SCSEP. See TEGl 10-09, Attachment A, Section 1(a).</li> </ul>

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Topic103 (New)	Programs funded by Corporation for National and Community Service	<ul style="list-style-type: none"> <li>• Participation in the Foster Grandparent Program (FGP), the Senior Companion Program (SCP), the Senior Demonstration Programs (SDP), and the Retired and Senior Volunteer Program (RSVP) is not considered employment. These programs are all funded by the Senior Corps of the Corporation for National and Community Services. The authorizing legislation, the Domestic Volunteer Service Act, establishes these programs and VISTA as volunteer service, not employment, and further provides that the stipend paid to participants in these programs should not be considered income from employment. Therefore, you do not consider participants in these programs to be employed; and you do not include any stipend paid by these programs when determining income for purposes of SCSEP eligibility.</li> </ul>
Topic 104	Employment vs. investment income	<ul style="list-style-type: none"> <li>• In situations where the participant is receiving income from leasing commercial or residential property, the key is deciding whether there is employment at all before determining whether the income is constant. In many circumstances, the participant may be receiving payment for the use of his or her property, and any labor the participant performs would be incidental and part of a sideline activity.</li> <li>• It is often hard to distinguish between active self-employment and passive income from the lease of an asset. Usually, any leasing requires some degree of administrative and manual work. For example, if the participant had an apartment on her property that she leased out, she would have to clean it between rentals, maintain the books, pay the utilities, arrange for repairs, and maybe paint it occasionally. That occasional labor would not be considered self-employment, but the rent for an apartment would be quite regular and frequent.</li> <li>• However, it can often be a close call. Someone who regularly invested in real estate and managed her own buildings would be considered self-employed and not just a passive lessor. Sometimes the degree of activity involved is the deciding factor. These cases really turn on the particular facts, so it is important to understand the situation fully before you try to apply the general rule.</li> </ul>
Topic 105 (New)	Owning a farm	<ul style="list-style-type: none"> <li>• Applicants must not be employed at the time of enrollment, but they are allowed to manage their own property, including investments and productive real estate. The question is whether the payments received and deductions claimed, e.g., cooperative distributions (1009-PATR), agricultural program payouts, custom hire income, depreciation, supplies and taxes, establish that the applicant is actively engaged in the business of farming as a self-employed individual or whether the payments are also available to the applicant as the owner of farm that he or she manages as an investment.</li> </ul>

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		<ul style="list-style-type: none"> <li>• The applicant has the burden of establishing the nature of these payments and deductions, but the grantee has the responsibility for determining the ultimate question of whether the payments and deductions are compatible with the claim that the applicant is not engaged as a self-employed farmer. If the applicant furnishes the grantee with the relevant information, the grantee will have to do the research necessary to determine the answer to this question. In this case, that research will probably require the grantee to consult with government or academic experts in state or federal agricultural programs.</li> </ul>
Topic 106 (New)	Employment vs. volunteering and exploring self-employment	<ul style="list-style-type: none"> <li>• Nothing prohibits a participant from engaging in volunteer activities, investment activities, or efforts to explore self-employment. As long as the participant is not actively engaged in employment, for an employer or in self-employment, the participant remains eligible for SCSEP.</li> <li>• Self-employment generally becomes disqualifying when the participant holds himself or herself out as engaged in a business or earns money from the activity. Work for a 501(c)(3) organization might not be self-employment since the participant could be a member, officer, volunteer, contractor, or employee of the organization. Generally, efforts to organize and raise money for a non-profit organization would be volunteer activities until such time as the participant received payment of some kind for the work. The fact that the participant hopes the organization would one day be able to pay him or her would not make the current activities disqualifying. On the other hand, if there was evidence that the 501(c)(3) organization was a sham used for funneling money to the participant, the participant's efforts might be considered disqualifying self-employment.</li> <li>• A grantee should explore these issues in detail with the participant, including the obligation to inform the grantee if he or she receives any payment for the volunteer efforts. As always, you should document your discussion in case a question arises later.</li> </ul>
Topic 107 (New)	Work-study as employment	<ul style="list-style-type: none"> <li>• Unless the work-study program is part of an employment and training program, e.g., it is designed to teach the participant skills that will be needed for the new vocation that the participant is training for at the college, it would be considered employment. Unrelated work in the student union or campus book store would usually not meet this requirement and thus would be considered employment. See Topic 36 above.</li> </ul>
Topic 108 (Revised)	Exiting participants who	<ul style="list-style-type: none"> <li>• The rules regarding employment of participants are clear: No participant may begin a job while enrolled in SCSEP. A participant who does so must be exited for unsubsidized employment. Grantees' rules and procedures, including their termination policy, should explicitly spell out this eligibility</li> </ul>



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	start employment while enrolled	<p>requirement, and all participants should be informed in writing at the time of enrollment. Grantees should also ensure that all host agency agreements include a provision that requires the host agency to acknowledge this requirement and to inform the grantee of any violations.</p> <ul style="list-style-type: none"> <li>• When you are informed that a participant has commenced, or is about to commence, unsubsidized employment, you should follow your normal procedures to exit the participant. Normally, the last day in the program would be the day before unsubsidized employment commences. If you learn of the employment after it has commenced, you must immediately begin the process of exiting the participant. This entails issuing the 30-day notice of termination that is required for all involuntary exits and placing the participant on approved break for administrative reasons during the 30-day notice period.</li> <li>• You complete an unsubsidized employment form for the participant regardless of how or when you learned of the employment. The start work date (field 14 of the UE Form) must be after the date of exit from the program. (By definition, unsubsidized employment for purposes of SCSEP placement can only exist after the participant has left the program.) If you learn of the employment after it has begun, the start work date must be the day after exit, not the actual date on which the participant began the employment.</li> </ul>
Topic 109	Can participants work part-time hours while transitioning to employment?	<ul style="list-style-type: none"> <li>• Participants may not work any hours at all in unsubsidized employment (except for occasional and casual employment, such as babysitting a neighbor's child) while they are enrolled in the program. You may, however, use an OJE to structure a transition to unsubsidized employment. See Topic 61 of the Community Service Assignment Form.</li> </ul>
Topic 110	Effect of temporary or on-call work on SCSEP eligibility	<ul style="list-style-type: none"> <li>• There is a difference between applicants and participants with regard to temporary and on-call work. An applicant must be unemployed at the time of enrollment. An applicant who has been listed with a temp agency (or working on-call, e.g., as a substitute teacher) may establish that he or she is no longer actively seeking work with the agency or employer and thus is no longer employed. Assuming the applicant meets the other eligibility requirements, the applicant can be enrolled. However, the amount and type of temp work the applicant has done will be critical factors in determining whether the applicant is job-ready and thus eligible for enrollment. A recent work history creates a presumption that the applicant is job-ready and does not need community service. This presumption may not apply if the participant has had only very limited work experience or if the applicant's personal circumstances render him or her no longer job-</li> </ul>

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		<p>ready. Job-ready applicants should be determined ineligible and referred to an American Job Center. See Topic 101 above.</p> <ul style="list-style-type: none"> <li>• Once an applicant has been enrolled and is a participant, the individual cannot engage in any employment. (See Topics 108 and 109, above) Although occasional, irregular work does not render a participant employed (see Topic 101 registering with a temp agency or signing up with an employer for on-call work is not compatible with being unemployed and not job-ready. Therefore, it is not permitted while the participant is enrolled.</li> </ul>
Topic 111	Temporary employment as Census enumerator	<ul style="list-style-type: none"> <li>• Anyone who becomes employed, even in a temporary position, must be exited from the program. You cannot re-enroll these participants after their employment ends unless they still require community service training in order to become job-ready. If they have been employed more than 30 days, they would generally be presumed to be job-ready and would not be entitled to re-enrollment. If you determine that they are not job-ready, you should fully document the reason in their case files.</li> </ul>
35	If ineligible, reason	<ul style="list-style-type: none"> <li>• If the applicant is ineligible, you must check the appropriate box or boxes to indicate why. Do not update this field at the time of recertification.</li> <li>• If the applicant is employed at the time of the eligibility determination, check “other” and enter “employed.”</li> <li>• You may also use the comment section in field 41 to enter additional information.</li> </ul>
36	If ineligible, action taken	<ul style="list-style-type: none"> <li>• If the applicant is ineligible, you must check the appropriate box(es) to indicate what, if any, action was taken on behalf of the applicant. If “other” is checked, specify the action. If no action was taken, check “none.” Do not update this field at the time of recertification.</li> <li>• Sub-grantees may not conduct placement activity for ineligible applicants unless the placement is done as an American Job Center partner pursuant to an MOU. They may, however, refer ineligible applicants to an American Job Center or to other appropriate service providers without limitation. Such activity on behalf of ineligible applicants may be conducted by permanent sub-grantee staff or by participants assigned to the sub-grantee’s office.</li> </ul>

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37	Placed on waiting list?	<ul style="list-style-type: none"> <li>• If the applicant has been determined eligible but there are no authorized positions or suitable community assignments available, you must place the participant on the waiting list and check “yes.”</li> <li>• If a community service assignment is available but administrative processing causes a delay of 14 or fewer days, check “no.”</li> <li>• Once you have coded your answer to this question, do not change it. When you assign someone who is on the waiting list to community service, you create an assignment for the individual just as you would for any other eligible applicant. Do <b>not</b> change the answer to “no.” If you change the indicator, there will be no way to tell that a participant was previously placed on the waiting list.</li> <li>• Field B6 of the QPR will tell you how many applicants are currently on the waiting list. You can obtain a list of participants on the waiting list along with their characteristics from the Waiting List management report. It only displays those individuals who have not been assigned to community service as of the date the report is run.</li> <li>• If an applicant on the waiting list decides not to continue waiting for an assignment, you close your record by checking box 6a(i) on the Exit Form. Again, you do not change the waiting list indicator to “no” when the applicant withdraws.</li> </ul>
Topic 112	Responsibility to applicants placed on the waiting list	<ul style="list-style-type: none"> <li>• An applicant may remain on the waiting list as long as he or she is interested in an assignment and meets the eligibility requirements. However, it is not fair to the applicant or helpful to the program to let applicants languish on the waiting list for an excessive period. You should be in touch with waiting list applicants regularly to find out if they are still interested in the program and to give them an update on when they might be enrolled. If there is no real prospect of an opening, the participant might decide to withdraw or explore some other program. The choice remains the applicant’s; you should not force someone off the waiting list.</li> <li>• Confirming the eligibility of applicants on the waiting list should be done informally and for the benefit of the applicant. An eligibility determination is good for 12 months, barring a substantial change in circumstance. (See Topic 130.) An applicant who is over-income at some point while on the waiting list may not be over-income when an opening is available. However, if an applicant has become over-income and is approaching 12 months since the eligibility determination, an applicant is entitled to know</li> </ul>

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		<p>that any assignment would be short-lived and that the first recertification would result in termination from the program. Given that information, the applicant might decide to withdraw from the waiting list.</p> <ul style="list-style-type: none"> <li>• Although you are normally not required to redo or update the Participant Form for eligibility purposes, you should update the rest of the form, especially the barriers to employment because you will need that information for making an appropriate assignment and because the priorities of service must reflect the participant's situation at the time of enrollment.</li> <li>• If there has been a change in any of the characteristics that are subject to data validation, you will need appropriate documentation. Since the Participant Form is filled out by the case worker, you should not otherwise need the participant to initial or sign anything. If you do want the participant to update any forms you use, you can have the participant re-date and re-sign the forms and initial any changes from the original as long as a validator or monitor can easily tell what has occurred. If there is any ambiguity, it is better to complete a second form and keep both forms in the file.</li> </ul>
Topic 113 (New)	Removal of applicant who is working from waiting list	<ul style="list-style-type: none"> <li>• You cannot remove an applicant from the waiting list merely because the individual is working. The law requires only that an applicant be unemployed and not job ready at the time of enrollment. Enrollment does not occur until you assign the applicant to a host agency. At that time, if you find that the applicant is job ready, you can reverse the eligibility determination.</li> <li>• However, you should not wait until an opening occurs to find out the applicant's status and intentions. You should contact the applicant when you discover a potentially disqualifying issue, remind the applicant of the eligibility requirements, learn if the applicant intends to continue working, and determine if the new employment now renders the applicant job ready. If so, you can close the record by withdrawing the applicant from the waiting list. You would do this using field 6a(i) of the Exit Form. Any adverse action is subject to the grantee's grievance policy, and you should inform the applicant of that policy.</li> </ul>
Topic 114 (New)	Requiring SSNs for applicants on waiting list	<ul style="list-style-type: none"> <li>• The official waiting list in SPARQ is only used for those applicants who have been determined eligible but who have not received an assignment within two weeks of the eligibility determination date. SPARQ requires an SSN for all records, including applicants and those on the waiting list, because the SSN is used initially to determine that there is not already an existing record for the individual. As soon as the SSN is first entered into SPARQ, it is immediately masked and encrypted in the SPARQ database. The SSN then generates a Participant Identification Number (PID) that is used to uniquely identify the individual. The</li> </ul>

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		<p>SSN itself is never retransmitted or displayed in any way in SPARQ. This limited and totally protected use of SSNs is in accordance with DOL’s security policy. If the applicant does not have an SSN, you can obtain a proxy number from the national office. See Topic 3 above.</p> <ul style="list-style-type: none"> <li>• Grantees are free to keep informal waiting lists of their own with whatever information about applicants they find useful. However, if an applicant is entered into SPARQ, the SSN is required to begin the creation of the record.</li> <li>• The various reports in the Participant section of the management reports menu provide information about the status of applicants who have started the application process, as well as those who are on the waiting list.</li> </ul>
38	Community service assignment?	<ul style="list-style-type: none"> <li>• No applicant can receive SCSEP services or wages until assigned to community service. (The applicant need not actually begin the community service assignment before receiving services such as training or orientation, but must be assigned to a legitimate position.)</li> <li>• When the applicant is assigned to community service, you must complete a Community Service Assignment Form. At that time, the applicant becomes a participant.</li> <li>• In the WebDCS, it will be necessary to close the Participant Form and add a Community Service Assignment to start this process.</li> </ul>
Topic 115 (Revised)	Are participants employees of the sub-grantee?	<ul style="list-style-type: none"> <li>• Whether participants are considered employees at all and, if so, whether they are employees of the sub-grantee or the host agency, is a matter of state law. The Department considers participants to be trainees rather than employees, and the regulations provide that participants are not federal employee. However, the regulations do not take a position on whether participants might be considered employees of some other entity. Grantees must consult with the appropriate state authorities, such as the attorney general or the state Department of Labor.</li> </ul>
Topic 116	Are participants entitled to unemployment compensation benefits?	<ul style="list-style-type: none"> <li>• Section 641.565(b)(4) of the SCSEP regulations provides that grantees may not pay the cost of unemployment insurance for participants <u>unless required by law</u>. Federal law, Section 3309(b)(5) of FUTA, excludes from mandatory UI coverage any service “as part of an unemployment work-relief or work-training program assisted or financed in whole or in part by any Federal agency or an agency of a State or political subdivision thereof, by an individual receiving such work relief or work training.” SCSEP qualifies for this exemption. However, states are free to extend coverage to such programs, and a</li> </ul>

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		<p>few states do so. If your state is among them, the regulation permits you to use SCSEP funds to meet your UI tax obligation.</p> <ul style="list-style-type: none"> <li>• There are two separate issues regarding UI benefits for participants. Former participants who are collecting UI benefits may or may not be receiving benefits based upon their participation in SCSEP. Depending upon when they last worked in covered employment and when they were enrolled in SCSEP, their UI benefits may be based on their prior employment and not on their SCSEP participation. Current participants collecting UI are probably collecting on the basis of prior employment, not current SCSEP enrollment. Federal law provides that a UI claimant who is otherwise eligible for benefits cannot be denied benefits because he or she is currently enrolled in an approved job training program. UI benefits are also excluded from SCESP eligibility determinations.</li> <li>• You should contact your state UI agency to learn what the law is in your state and which wage credits were used to establish UI claims for SCSEP participants. If the wage credits came from prior employment, you have no tax liability. If the wage credits came from SCSEP participation, then you should discuss with the UI officials whether there is a basis under state law for exempting participants from coverage because they are trainees under a job training program and not employees. (You may also wish to confer with other state and national sub-grantees in your state. UI determinations are sometimes inconsistent, especially for issues that seldom occur. Another sub-grantee may have gotten a different result.) You have the right to appeal any adverse determination made by the UI agency. If you are unsuccessful, you should discuss with the UI officials the options you have to minimize your tax burden.</li> <li>• You can use this link to find the UI agency for your state: <a href="http://workforcesecurity.doleta.gov/map.asp">http://workforcesecurity.doleta.gov/map.asp</a>.</li> <li>• There is one final issue. If participants had recent work in an employment relationship prior to applying for SCSEP, they may well have been job-ready. Job-ready applicants are not eligible for SCSEP and should be referred to an American Job Center. If job-ready participants were enrolled, their IEPs should reflect the goal of unsubsidized employment as soon as possible.</li> </ul>
Topic 117	How do SCSEP wages affect unemployment	<ul style="list-style-type: none"> <li>• Many state unemployment laws permit an unemployment compensation recipient to work part-time and receive a reduced unemployment compensation benefit. Unemployment laws also permit a participant to be enrolled in an approved training program without jeopardizing his or her unemployment compensation benefits.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
	compensation benefits	<ul style="list-style-type: none"> <li>• UI recipients are required to report all earnings to the unemployment compensation department. Failure to do so may be considered fraud and will certainly result in an overpayment if state law requires a reduction in UI benefits based on SCSEP wages. All participants receiving UI benefits should be told to report their SCSEP participation and wages to the unemployment compensation department at the time of enrollment.</li> <li>• You need to check with the state unemployment department to see what rules they are applying and whether they understand that SCSEP participants are trainees and should not be considered employed.</li> </ul>
Topic 118 (Revised)	Are participants covered by the Family Medical Leave Act (FMLA?)	<ul style="list-style-type: none"> <li>• Whether participants are covered by the FMLA or any other state or federal worker-protection or labor law depends on whether they are considered employees of either the sub-grantee or host agency. The SCSEP statute and regulations state that participants are not federal employees; however, whether they are state employees depends on state law. See Topic 115. In most states, participants in an employment and training program are not considered employees, but in a few states participants are considered employees.</li> <li>• Grantees are required by the SCSEP regulations to check with the appropriate state authorities, such as the Attorney General or state Department of Labor, to determine how SCSEP participants are treated in their state. This is a matter that can have very serious consequences if the grantee does not comply with state law.</li> </ul>
Topic 119	Garnishment of SCSEP wages	<ul style="list-style-type: none"> <li>• Nothing in the Older Americans Act prevents the garnishment of SCSEP wages. Grantees will have to look at the law under which a judgment was obtained against the participant (or at state law generally) to determine the extent to which SCSEP wages can be garnished in a particular state.</li> </ul>
Topic 120 (Revised)	Effect of SCSEP wages on Supplemental Nutrition Assistance Program (SNAP), federal housing programs,	<ul style="list-style-type: none"> <li>• Section 509 of the Older Americans Act precludes SCSEP wages from affecting eligibility only for federal housing programs (See TEGL 17-13 and the HUD regulations at 24 CFR sections 960.225) and SNAP (formerly Food Stamps). How SCSEP wages are treated for all other state and federal programs depends upon the rules of the specific programs.</li> <li>• It does not appear that there is anything in the federal Medicaid rules that would specifically provide for the exemption of SCSEP wages. Medicaid is a federal-state partnership in which the states have a fair amount of discretion in setting income and asset limits for different classes of beneficiaries. To determine what income your state counts for Medicaid eligibility purposes, you should contact your state social services agency. There are very generous rules for the Medicaid beneficiaries with a disability who are</li> </ul>

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	Medicaid and other programs	working. There are also programs in many states under which an individual can earn an amount over the normal limits and “buy in” to Medicaid for a small amount to maintain their Medicaid benefits, including personal assistance services for the home and workplace. All SCSEP participants with a disability should be made aware of these Medicaid programs and informed of the assistance available in their state.
Topic 121	Permissible activities prior to assignment	<ul style="list-style-type: none"> <li>• At the point of assignment, the applicant becomes a participant; may receive services such as orientation, an IEP, and training; and may be paid wages. The date of participation for the Common Measures is the date of assignment. Note that the participant is not required to physically commence the assignment with the host agency prior to receiving SCSEP services. The Community Service Assignment Form has two dates, one for the date of initial assignment and one for the date on which the participant actually commences the assignment.</li> <li>• Sub-grantees <u>must</u> assess applicants’ work histories, aptitudes, abilities, and interests in order to make an effective assignment. This determination of suitability for assignment is part of the intake and eligibility process and does not conflict with the regulations. Moreover, in many situations, it may be necessary for the sub-grantee, as part of the intake process, to do a more complete assessment of certain characteristics (such as literacy, social isolation, or other barriers) that determine preferences for service before determining whether to provide service to an applicant. Sub-grantees are authorized and required to do as complete an assessment as necessary to determine preferences for service and make an appropriate assignment. However, the participant may not be paid for taking part in this assessment, and the process should stop short of the formal drafting of an IEP. The assessment of suitability and determination of characteristics form the foundation for the formal IEP that takes place after the assignment (and at which time the participant may be paid).</li> <li>• For many participants, the assessment and assignment process will straightforward. In such cases, nothing prohibits a sub-grantee from conducting an assessment, completing the formal IEP, and assigning a participant to a community service position in one sitting all on the same day. Since the date of the assignment in the data system and the date on the assessment instrument and IEP will be the same, there would be no violation of the regulation. The point of the regulation is that only those individuals who are in need of, and who actually receive, a community service position are entitled to other SCSEP services.</li> </ul>



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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• Host agencies should be recruited based on their ability to provide meaningful training opportunities that respond to the needs of the participant pool, and participants should only be assigned to host agencies that meet their needs as documented in their assessments. See Topic 14 of the CSA Form Guide.</li> <li>• It is not permissible to assign an applicant to the sub-grantees' project office as a placeholder in order to pay the applicant wages prior to assigning the applicant to his or her real community service position. Applicants can be assigned to the project office only when there is a legitimate community service position available at the project office and the applicant will be performing legitimate work at the project office. On the other hand, as long as the original assignment was made in good faith, nothing prohibits a sub-grantee from changing a participant's initial community service assignment if a subsequent assessment or the formal IEP reveals that the initial assignment was not optimal.</li> <li>• Although "orientation" is used in several different contexts, it has a specific definition for SCSEP. Orientation is defined in Section 641.535(a)(1) of the regulations as a mandatory service that must be provided to participants once they are enrolled. No SCSEP services can be provided to applicants prior to enrollment. Grantees should, of course, explain program requirements and policies to applicants. They do this as part of ascertaining applicants' need for SCSEP services and their ability and willingness to benefit from those services before deciding whether to enroll them. This screening and intake function is not a formal "orientation."</li> </ul>
Topic 122 (Revised)	Supportive services	<ul style="list-style-type: none"> <li>• SCSEP participants are entitled to supportive services as identified in their IEPs to assist them in successfully participating in the program. Supportive services may be provided while participants are in community service or in the first twelve months of unsubsidized employment.</li> <li>• Permissible supportive services during employment include help with transportation, uniforms or other work-related expenses, eyeglasses, and medical care. Paid training is not part of the follow-up services that may be provided to exited participants who are in unsubsidized employment.</li> <li>• Grantees cannot by policy limit their responsibility to help participants obtain needed supportive services. They are required by the regulations to assess all participants to determine their need for supportive services and to make every effort to assist participants in obtaining needed supportive services.</li> <li>• Because funding is so limited, grantees are not required to directly pay for supportive services and are encouraged to use partner resources for these services whenever possible. (See Topic 120 for services</li> </ul>

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		<p>specifically for Medicaid beneficiaries with a disability who are working. However, grantees must make every effort to assist participants in obtaining needed supportive services. These efforts must continue for 12 months after exit in the case of participants who have obtained unsubsidized employment.</p> <ul style="list-style-type: none"> <li>• There is no SCSEP rule dictating what percent of allowable costs the grantee or sub-grantee should pay. Although you are permitted to pay the entire cost, you should be careful not to establish a precedent that you may not be able to afford in the future, or that can give rise to claims of unequal treatment. As with all such matters, it is best if the grantee has a policy establishing exactly what supportive services it will pay for and the maximum amount it will pay.</li> <li>• New fields are being added to the Community Service Assignment (A20a.1-20a.3) and Unsubsidized Employment (U21a-U21c) forms to document the provision of supportive services to participants in accordance with their IEPs. These fields are not required until approved by OMB.</li> </ul>
39	Grantee name	<ul style="list-style-type: none"> <li>• Enter on the hard copy form the name and code of the grantee for the position to which this applicant is being assigned. This is required even if the sub-grantee only has authorized positions under one grant.</li> <li>• When you log into the WebDCS, your grantee/sub-grantee relationships will be indicated. If you have more than one, you will have to choose which relationship you are using to access a particular participant record. Field 39 will be system-generated based on the relationship you have chosen when you logged on.</li> <li>• If you are a sub-grantee for two grantees, you will have to choose which grantee to “credit” for an ineligible applicant. You can do this alternately or in proportion to the number of slots each grantee has.</li> </ul>
39a (Revised)	County of authorized position	<ul style="list-style-type: none"> <li>• This field is no longer being used.</li> <li>• With the publication of the PY 2012 ED, DOL announced that the county of residence of participants is used to determine compliance with ED. County of authorized position is a construct that was created for the 2006 national grantee competition and is not being used at this time.</li> <li>• An applicant need not reside in the county in which the applicant is applying, i.e., the county in which the sub-grantee is located; however, a sub-grantee may not enroll participants who reside in counties that the grantee is not authorized to serve.</li> </ul>
40	Co-enrollments?	<ul style="list-style-type: none"> <li>• Check the appropriate box(es) to indicate any co-enrollment of the participant. Co-enrollment applies to any individual who meets the requirements for SCSEP participation, as well as the requirements for any other relevant program identified in the Individual Employment Plan, and is enrolled in both SCSEP and</li> </ul>

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		<p>another relevant program. If “other” is checked, specify the name of the additional entity or entities with which the participant is enrolled. If there is no co-enrollment, check “none.”</p> <ul style="list-style-type: none"> <li>• Enrollment is as defined by the other program. Registration with an American Job Center does not always amount to enrollment with either WIOA or Wagner-Peyser. WIOA is fairly restrictive about when an individual is considered enrolled, while the Wagner-Peyser agencies generally treat everyone registered as being enrolled. You will have to contact the American Job Center to determine if enrollment has occurred.</li> <li>• This field should be updated whenever there is a change in enrollment status. Do not indicate a co-enrollment until it actually occurs. Do not delete any co-enrollment.</li> <li>• SCSEP co-enrollments, whether they are with WIOA (except for element 29), Wagner-Peyser, or any other entity, do not require documentation. You can accept the participant's self-report, or you can call the American Job Center. It is a good idea to use the comment field to record the source of the information.</li> </ul>
Topic 123	WIOA and SCSEP	<ul style="list-style-type: none"> <li>• Co-enrollment with WIOA is strongly encouraged. Registration in WIOA core or intensive services (now called “career services” under section 134 of WIOA) should in no way suggest by itself that an applicant is not suitable for SCSEP. Under the OAA, applicants who have already enrolled in WIOA and are unable to find employment are entitled to priority of service from SCSEP.</li> <li>• The SCSEP regulations facilitate co-enrollment in a number of ways. For example, Section 641.220 says that participants assigned to community service can receive wages while participating in WIOA intensive services or training (now called “career services” under section 134 of WIOA); Section 641.230 says that WIOA and SCSEP IEPs are entitled to reciprocity; and Section 641.240 provides that SCSEP participants may be deemed automatically eligible for WIOA intensive or training services. On the other hand, if an applicant is job-ready and does not need community service, then the applicant should be referred to WIOA for job search assistance and placement.</li> <li>• There are a number of resources regarding coordination with WIOA in addition to the regulations cited above. All are available on WorkforceGPS:  <i>Workforce Innovation and Opportunity Act Official Website for WIOA Information</i>  <a href="https://ion.workforcegps.org/resources/2016/02/29/17/49/workforce-board-composition-fiduciary-responsibilities">https://ion.workforcegps.org/resources/2016/02/29/17/49/workforce-board-composition-fiduciary-responsibilities</a> </li> </ul>

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Topic 124 (New)	Co-enrollment with Veterans Administration (VA) Work Therapy Program and other employment and training programs that pay wages or stipends	<ul style="list-style-type: none"> <li>• For eligibility purposes, SCSEP excludes from income all wages or stipends paid by other employment and training programs, including the VA's work therapy program. See Topic 30 above.</li> <li>• SCSEP rules do not prohibit co-enrolling individuals who are also receiving wages from another employment and training program, but DOL has discouraged the practice. SCSEP is designed to provide 20 hours per week of paid training to eligible seniors who need community service work experience in order to become job-ready. It generally does not make sense for SCSEP to co-enroll applicants who are already receiving paid training from another program. Since SCSEP does not have enough funds to serve even one percent of the eligible population, it is hard to justify the enrollment of VA participants who have full-time paid training from the VA in order to reduce the VA expenses and permit the VA to enroll more participants. The cost of doing so would be to deny needed SCSEP training to other seniors who do not have the VA option.</li> <li>• There may be individual cases where dual enrollment is justified by the special needs of the participant, but those cases should be rare.</li> </ul>
Topic 125 (New)	Co-enrollment in FEMA training course	<ul style="list-style-type: none"> <li>• A FEMA-sponsored training course should not have any impact on eligibility. If this is considered an employment and training course and is made part of the participant's IEP, it can be treated as partner-provided training, and the income received from FEMA would not be counted at recertification. If the training is full-time, the participant could remain enrolled at his or her community service assignment but would not receive SCSEP wages while receiving FEMA income. If the training is part-time, the combined total of paid CSA hours and FEMA hours should not exceed 40.</li> </ul>
Topic 126 (Revised)	SCSEP as mandatory American Job Center partner	<ul style="list-style-type: none"> <li>• The SCSEP regulations state that all grantees are mandatory partners and do not make distinctions between state and national grantees. Grantees are bound by all applicable WIOA regulations and must provide access to services through the American Job Centers. Failure to coordinate with the American Job Centers can be a violation of the grant agreement for a SCSEP grantee.</li> <li>• The MOU is the vehicle for negotiating the exact roles of the partners. Where there are multiple grantees in a jurisdiction, it is permissible to negotiate a single MOU that allows for a division of labor as long as the basic requirements of the regulations are met by all grantees. One way to do this is for the SCSEP grantees in an area to negotiate their own sub-agreement governing how they will jointly meet their American Job Center responsibilities and how they will manage the negotiation of the MOU with the</li> </ul>

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		<p>American Job Center. The key is that there must be a negotiation, not a unilateral decision by the American Job Center or the SCSEP grantee.</p> <ul style="list-style-type: none"> <li>• If the American Job Center refuses to negotiate with a grantee in good faith, the issue should be raised with the grantee’s FPO.</li> </ul>
40a	Date of orientation	<ul style="list-style-type: none"> <li>• Record the date on which the participant received his or her orientation to SCSEP.</li> </ul>
40b (Revised)	Date of last physical or waiver	<ul style="list-style-type: none"> <li>• Enter in this field the date of the last physical the participant received or the date on which the participant waived the physical.</li> <li>• If the participant has not yet had a physical, leave this field blank until the physical occurs.</li> <li>• The offer of a physical exam is a fringe benefit for the participant, it must be offered once every 12 months. That must be around the time of the anniversary date of the participant's enrollment. It does not have to be at the time the recertification is done; grantees are free to standardize the recertification date, and many grantees have chosen to do all recertifications at the same time each year regardless of when the participant first enrolled. Since the offer of the physical must be made every 12 months, the date can only be standardized for all participants if the second offer is made in 12 months or less. The acceleration of the date of the second offer of a physical could result in unnecessary expense and is not recommended.</li> <li>• See Topic 47 of the Community Service Assignment Form Guide for information about the cost of the physical exam.</li> </ul>
40c (Revised)	Date of last IEP	<ul style="list-style-type: none"> <li>• Enter in this field the date of the participant’s last IEP.</li> <li>• If the participant has not yet had an IEP, leave this field blank until the IEP occurs.</li> <li>• An assessment must be conducted and the IEP updated whenever circumstances warrant, but at least twice in each 12-month period. If there are no changes in the participant’s circumstances, grantees are free to determine when, within the 12-month period, the two assessments will be conducted and the IEP updated.</li> <li>• SPARQ has various edits to remind and require grantees to update this field. If a participant is on an extended leave of absence and the substantive updating of the IEP will be delayed until the participant’s return, the grantee update the IEP with something like, “Still on approved break; expected to return on X;</li> </ul>

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		<p>IEP to be revised then.” That would allow the grantee to enter a date of IEP update in SPARQ and avoid or clear a reject.</p> <ul style="list-style-type: none"> <li>Data validation is required for this element and the underlying participant assessment because they are essential program requirements.</li> </ul>
Topic 127 (New)	New IEP on reassignment of participant to new host agency	<ul style="list-style-type: none"> <li>The regulations require that a participant's assessment and the resulting IEP must be updated at least twice in each 12-month period. Both should be updated more frequently if needed.</li> <li>If the original IEP was accurate and the only reason you are moving the participant to a new host agency is because the original host agency could not provide the needed training, there would not be any need to revise the assessment or IEP (except, perhaps, to reflect the job at the new assignment). The IEP is not directly driven by the calendar; you have the flexibility to do a new IEP whenever it is appropriate as long as you do an update at least twice in every 12 months.</li> <li>On the other hand, if you discovered that the IEP does not really reflect the kinds of training or skills that the participant needs and are moving the participant to a new host agency that could better meet the participant's needs as you now understand them, you should update the assessment and IEP to reflect this new understanding. That would be true even if you had just recently done the assessment and IEP.</li> </ul>
Topic 128	Revision to IEP; failure of participant to cooperate	<ul style="list-style-type: none"> <li>The IEP is the responsibility of the sub-grantee. Section 641.535(a)(2) and (3) sets forth the requirement for conducting the assessment of the participant and updating the IEP. The participant should participate in the drafting of the IEP and agree to it but cannot be compelled to sign the document.</li> <li>If the participant fails to participate in the development or carrying out of the IEP or refuses to accept provisions that are required by the rules, you may terminate the participant for failure to cooperate with the IEP process in accordance with your termination policy.</li> </ul>
40d	Job interest codes	<ul style="list-style-type: none"> <li>You may use this optional field to record up to three of the pre-defined codes to indicate the types of jobs and careers the participant is interested in. These codes are also used to indicate the types of positions that host agencies offer and the specific assignment, training, and placement the participant has received.</li> </ul>
41	Enrollment comments	<ul style="list-style-type: none"> <li>Enter here any comments regarding the applicant’s status on the waiting list or assignment to community service. You may enter up to 1000 characters (about 160 words) into the database.</li> </ul>
42	Signature	<ul style="list-style-type: none"> <li>The authorized individual who made the eligibility determination must sign here, and the signature must be retained in the case file.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 129	Staff authorized to make eligibility determinations	<ul style="list-style-type: none"> <li>• Longstanding SCSEP policy requires that only an authorized sub-grantee representative can make a final eligibility determination. Well-trained participant staff can conduct the intake, do the data collection, and enter the data into SPARQ; however, their recommended decision on eligibility must be presented to the appropriate sub-grantee official for final action.</li> <li>• No trainee – whether SCSEP participant or other trainee – can make the determination. In addition, it is always good practice for a second person to review the application.</li> </ul>
43	Date of eligibility determination	<ul style="list-style-type: none"> <li>• Enter here the date on which the authorized individual made the eligibility determination.</li> <li>• Because there is a separate section of the Participant Form for recertification, you should never update this field. It should always reflect the date of the original eligibility determination for a given enrollment or re-enrollment.</li> <li>• Data validation is required for this element.</li> </ul>
Form Heading 4 (Revised)	Recertification	<ul style="list-style-type: none"> <li>• You must enter all information regarding a recertification in this section of the Participant Form. Do not write over fields 1-43 at the time of recertification.</li> <li>• You must write over the information in fields 44-50 in SPARQ each time you do a new recertification. SPARQ will only carry information about the latest recertification. You must retain all hard copies of the recertification section of the Participant Form and the relevant documentation for each year's recertification in the case file.</li> <li>• You may update the participant's contact information at any time. You do not update any participant characteristics at the time of a recertification. Elements that affect the Most-in-Need measure, such as disability, homelessness, and low employment prospects, remain fixed at the time of initial application. You do not update them upon recertification or at any other time.</li> <li>• If the participant has not yet had a recertification, leave the fields in this section blank.</li> <li>• SCSEP requires that participants be recertified at least every 12 months, not annually. Programs are free to recertify on the participants' anniversary dates or to recertify all participants at the same time each year. If your program requires that all participants be recertified at a specific time, you would have to recertify new participants as well. Otherwise, they would go more than 12 months between the time of enrollment and their first recertification.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 130	Recertification within 12 months; substantial change in circumstance	<ul style="list-style-type: none"> <li>• Grantees are required to recertify participants once every 12 months. They are not supposed to investigate or make inquiry about income changes between certifications. However, if a grantee learns of a substantial change in circumstances that is likely to have an effect on eligibility, such as a new source of income or a substantial increase in an existing source of income, the grantee must do a recertification as soon as it becomes aware of this information.</li> <li>• Recertification is required every 12 months, in part, to deal with expected increases in income due to cost of living increases in Social Security or pensions. COLA's reflect increases in the cost of living and are not really increases in spendable income. To a large extent, they are offset by increases in the federal poverty level, upon which eligibility is based. There is no official definition of "substantial," but an increase in income would have to be more than a COLA to trigger a recertification.</li> <li>• The marriage of a SCSEP participant is a substantial change of circumstances that requires a recertification. However, the part-time employment of a spouse four weeks before the participant completes a training program or two months before the scheduled recertification date would generally not constitute a substantial change.</li> <li>• When you become aware of a change that will make the participant over-income, you should do a recertification calculation as soon as possible so you can inform the participant when he or she will become ineligible. For example, if the participant is newly married, the participant's new spouse adds \$1000 per month to the family income starting on November 24, and the participant's own income remains stable, you would figure out how long it would take before the extra \$1000 per month made the participant over-income for a family of two. Assuming that the income limit for a family of two is \$5000 higher than it was for the participant alone, the participant would become ineligible in five months – around April 24. If there were no further changes when that date arrived, you would issue the participant the standard 30-day termination notice. If circumstances had changed in the interim, you would do a new recertification calculation.</li> </ul>
44 (Revised)	Number in family	<ul style="list-style-type: none"> <li>• Enter the number of individuals in the applicant's family. Use the same instructions as for field 11 above, including the new rules regarding same-sex marriages.</li> <li>• If the applicant is claimed as a dependent on someone else's tax return, you must use the broader CPS definition of family. See Topics 15-17 above. Count only current family members. Do not include</li> </ul>



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		<p>deceased or separated spouses. In addition, consistent with 20 CFR 641.500, a person with a disability may be treated as a “family of one” for income eligibility determination purposes.</p> <ul style="list-style-type: none"> <li>• Data validation is required for this element.</li> </ul>
45	Total includable family income (12-month or 6-month, annualized)	<ul style="list-style-type: none"> <li>• Enter the 12-month income or the six-month annualized family income, whichever is more favorable to the participant. Use the same instructions as for field 14.</li> <li>• Family income establishes eligibility. It includes the income of current family members identified in field 44 above. Sub-grantees may use any income worksheet they desire for capturing and calculating income. Although the worksheet is not part of the database, the worksheet must be retained in the file for all applicants. Documentation of all income is required.</li> <li>• Data validation is required for this element.</li> </ul>
Topic 131 (New)	Effect of retroactive SSDI payment on recertification	<ul style="list-style-type: none"> <li>• A retroactive payment represents the benefits the participant was entitled to from the date of eligibility or application for benefits until the date the participant began receiving SSDI. At recertification, the participant’s income should be calculated based on the new SSDI rate for the relevant 6- or 12-month look-back period, whichever is more favorable. This effectively prorates the retroactive payment and applies it only to the look-back period. A consequence of using the more favorable look-back period may be that some of the retroactive payment will not be included.</li> </ul>
46 (Revised)	Signature of participant on recertification	<ul style="list-style-type: none"> <li>• Make sure the applicant reads and understands the certification. Intentional falsification of eligibility information requires immediate removal from the program. The applicant’s signature appears on the hard copy form only. It must be retained in the file.</li> <li>• Data validation is required for this element.</li> <li>• The certification contained in this field does not satisfy any of the other documentation requirements for Data Validation.</li> </ul>
47	Eligibility determination	<ul style="list-style-type: none"> <li>• Check the appropriate box to indicate whether the participant remains eligible based upon the information obtained during the recertification process.</li> </ul>
48	If ineligible, reason	<ul style="list-style-type: none"> <li>• If the applicant is ineligible, check the appropriate box or boxes to indicate the reason(s). You must also complete an Exit Form and indicate the appropriate reason for exit in field 6.</li> <li>• If the participant has moved out of state since the last certification, you are expected to have a cross-state agreement in effect to permit continued eligibility.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
49	Signature of director or authorized representative on recertification	<ul style="list-style-type: none"> <li>• The authorized individual who made the eligibility determination must sign here, and the signature must be retained in the case file.</li> <li>• Data validation is required as part of the validation for element 50.</li> </ul>
50	Date of recertification determination	<ul style="list-style-type: none"> <li>• Enter here the date on which the authorized individual made the eligibility determination based upon the information obtained during the recertification process.</li> <li>• This is the only date that will be used to identify the recertification.</li> <li>• Data validation is required for this element.</li> </ul>
Form Heading 5	Waiver of durational limit determination	<ul style="list-style-type: none"> <li>• This section of the Participant Guide is for recording the factors that determine whether a participant is entitled to an extension of the 48-month lifetime durational limit. It also enables you to record these factors so they can be included in the Most-in-Need measure.</li> <li>• Priorities of service are recorded at the time of enrollment and are not updated. In contrast, the waiver factors should be recorded as soon as you become aware of them. Although they are not needed for extension purposes until a participant has been in the program for a total of 48 months beginning July 1, 2007, they can be counted at any time as part of the Most-in-Need measure. (See Topic 132.)</li> <li>• Data validation is required for all waiver factors.</li> </ul>
Topic 132 Revised	Updating waiver factors	<ul style="list-style-type: none"> <li>• Six of the 7 waiver factors have a field for entering the date on which the factor was last updated. (75 and over is system-generated and does not have a field for date.) Once a waiver factor has been entered into SPARQ, the grantee will receive credit for the Most-in-Need (MiN) measure for the entire program year. There will not be any credit in a subsequent program year, however, unless the existence of the waiver factor is re-documented and the date entered into SPARQ. A factor need only be updated once in a program year.</li> <li>• The primary purpose of the waiver factors is to support an extension of the individual participant durational limit. A waiver factor must be in existence and must be updated in SPARQ in the program year in which the participant reaches the durational limit (or in the three months prior to the start of that program year if the durational limit falls within the first quarter of a program year).</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• There is a reject in SPARQ that only applies to grantees whose durational limit policies permit extensions of the individual participant durational limit. This reject requires that all of the waiver factors be updated in time to know whether the participant qualifies for an extension or will have to be exited for durational limit. The reject triggers at 120 days before the participant’s durational limit date to allow sufficient time for transition planning if the participant must be exited. The reject only triggers for blank waiver factors; it does not trigger for “no” values. (Another reject will trigger if the waiver factor is marked “yes,” but there is no date of update or if the date of update is not within the associated program year.) This reject was designed solely to ensure that grantees are timely informed of participants’ eligibility for an extension; it has nothing to do with credit for the MiN measure or with DV.</li> <li>• There is also a level 1 warning in SPARQ that all grantees receive if they have not updated the waiver factors by May 1 of each year. This warning tells grantees that they may be missing credit for the MiN measure and, more important, may not be detecting all the barriers that their participants are facing.</li> <li>• Grantees may update waiver factors once each year when they do their annual recertifications. For participants who will reach their duration limit in Q1 of the next program year, you cannot request an extension unless at least one waiver factor has been updated during Q4 of this program year or Q1 of the next program year. If you delay your updating of the waiver factors until April, then you might not have to update them again for this subset of participants who will reach their limit in the following Q1.</li> <li>• Note that the annual updated listing of persistent unemployment areas is not available until mid-April. That might be another reason to delay updating the waiver factors until mid-April.</li> </ul>
51 (Revised)	Severe disability	<ul style="list-style-type: none"> <li>• Severe disability means a severe, chronic disability attributable to mental or physical impairment, or a combination of mental and physical impairments, that (A) is likely to continue indefinitely, and (B) results in substantial functional limitation in 3 or more of the following areas of major life activity: (i) self-care, (ii) receptive and expressive language, (iii) learning, (iv) mobility, (v) self-direction, (vi) capacity for independent living, (vii) economic self-sufficiency.</li> <li>• You may record severe disability in addition to disability. Each is counted separately for the Most-in-Need measure.</li> <li>• Severe disability must be documented by a physician. See Topic 84 for restrictions on the handling of disability-related information and medical documentation.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• The definition and documentation requirements for severe disability are more stringent than those for frail and encompass the first definition of frail. Therefore, documentation of severe disability also constitutes documentation of frail. This does not work in the opposite direction: Documentation of frail does not constitute documentation of severe disability.</li> <li>• Data validation is required for this element.</li> </ul>
51a	Date of last update	<ul style="list-style-type: none"> <li>• SPARQ requires you to the date on which the waiver factor is first entered. This field may be overwritten as necessary. For each program year thereafter, you must re-enter the date of updating the factor if you want to receive credit in the Most-in-Need measure or to use the factor to support an extension request for the participant.</li> </ul>
Topic 133	Documenting severe disability through records of other agencies	<ul style="list-style-type: none"> <li>• The Data Validation requirements allow the use of official records because an agency may already have gathered the documentation you need, and its business may require it to make determinations of this sort. As long as the agency is charged with making such determinations or otherwise has access to the underlying medical documentation and is competent to make such determinations, you can rely on the agency for documentation.</li> <li>• It is permissible to ask the agency to use your form for severe disability as long as the form fully states the regulatory standard for severe disability and the agency indicates the basis on which its determination was made; e.g., its own medical staff examined the participant or it has relied on medical documentation from other sources.</li> </ul>
Topic 134	Documenting severe disability through records of Social Security Administration	<ul style="list-style-type: none"> <li>• It is unlikely that the Social Security Administration would provide grantees with documentation of severe disability. The receipt of SSDI is sufficient to document a disability for SCSEP purposes; but to establish severe disability, you need a medical professional to document that the applicant's condition meets the definition set out in the SCSEP regulations. See element 51, above.</li> <li>• You could check the participant's SSA's medical records to see if they are sufficient to constitute this documentation. However, because the SSDI standard is different from that required by SCSEP for severe disability, you will probably need to request a statement from the applicant's doctor.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
52 (Revised)	Frail	<ul style="list-style-type: none"> <li>• Frail means that an individual 55 years of age or older is determined to be functionally impaired because the individual:               <ul style="list-style-type: none"> <li>(A)(i) is unable to perform at least two activities of daily living without substantial human assistance, including verbal reminding, physical cueing, or supervision; or (ii) at the option of the grantee, is unable to perform at least three such activities without such assistance; or</li> <li>(B) due to a cognitive or other mental impairment, requires substantial supervision because the individual behaves in a manner that poses a serious health or safety hazard to him- or herself or to another individual.</li> </ul> </li> <li>• Frailty must be documented by a qualified professional. (See Topic 84 for restrictions on the handling of disability-related information and medical documentation.)</li> <li>• The definition and documentation requirements for severe disability are more stringent than those for frail and encompass the first definition of frail. Therefore, documentation of severe disability also constitutes documentation of frail. This does not work in the opposite direction: Documentation of frail does not constitute documentation of severe disability.</li> <li>• Data validation is required for this element.</li> </ul>
52a	Date of last update	<ul style="list-style-type: none"> <li>• SPARQ will automatically enter the date on which the waiver factor was first entered. This field may be overwritten as necessary. For each program year thereafter, you must enter the date of updating the factor if you want to receive credit in the Most-in-Need measure or to use the factor to support an extension request for the participant.</li> </ul>
53 (Revised)	Old enough for but not receiving Social Security Title II	<ul style="list-style-type: none"> <li>• An individual may qualify for Social Security retirement benefits at age 62. If an individual is 62 or over but does not have sufficient wage credits to qualify for retirement benefits, check “yes.” This factor applies only if the participant is not monetarily eligible for Social Security. If the participant qualifies but chooses to delay receipt to increase the amount of benefits, check “no.”</li> <li>• The Social Security Administration provides a wealth of information about benefits at Social Security Online. The ages for retirement by year of birth can be found at: <a href="http://www.socialsecurity.gov/retire2/agereduction.htm">http://www.socialsecurity.gov/retire2/agereduction.htm</a></li> <li>• Data validation is required for this element.</li> </ul>

## Participant Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
53a	Date of last update	<ul style="list-style-type: none"> <li>• SPARQ will automatically enter the date on which the waiver factor was first entered. This field may be overwritten as necessary. For each program year thereafter, you must enter the date of updating the factor if you want to receive credit in the Most-in-Need measure or to use the factor to support an extension request for the participant.</li> </ul>
54 (Revised)	Severely limited employment prospects in area of persistent unemployment	<ul style="list-style-type: none"> <li>• This factor has two separate requirements: <u>severely</u> limited employment prospects plus residence in an area of persistent unemployment. Both must be met for a “yes” answer.</li> <li>• Severely limited employment prospects means a substantially higher likelihood that an individual will not obtain employment without the assistance of the SCSEP or another workforce development program. Persons with severely limited employment prospects have more than one significant barrier to employment; significant barriers to employment may include but are not limited to: lacking a substantial employment history, basic skills, and/or English-language proficiency; lacking a high school diploma or the equivalent; having a disability; being homeless; or residing in socially and economically isolated rural or urban areas where employment opportunities are limited.</li> <li>• The two or more significant barriers to employment must be documented in the case file and in the comments sections, field 58.</li> <li>• Persistent unemployment means that the annual average unemployment rate for a county or city is more than 20 percent higher than the national average for two out of the last three completed calendar years.</li> <li>• The link at this field in the WebDCS and in the Participant Search on the SPARQ Home page will bring you to a list of counties by state. This list, which is updated with the official unemployment rates in mid-April of each year, indicates whether the county meets the definition of persistent unemployment.</li> <li>• If the county in which the participant resides does not meet the definition of persistent unemployment, the grantee may then determine whether the city of residence meets the definition. You must use official sources, like your state’s Labor Market Information agency, for this determination and must use the regulatory formula. The data for the past three years and the source of the data must be documented. You must use data for the three most recently completed calendar years. The official definition requires that the rate be 20% higher than the nationwide average in two out of the last three completed calendar years. The time frame for comparing a city to the nationwide average must be the same.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• Areas of persistent unemployment for SCSEP are unrelated to Area of Substantial Unemployment under WIOA (as outlined in the updated TEGL 6-12).</li> <li>• Data validation is required for this element.</li> <li>• Self-attestation forms like those in the DV Handbook can only be used to satisfy the first part of the element: that the participant has severely limited employment prospects. The case worker must use the tables in SPARQ to determine if the participant also resides in an area with persistent unemployment as defined by the regulation. The tables can be accessed through the Participant Search on the SPARQ home page or through a link at element P54 in the WDCS.</li> <li>• The validator must determine that both parts of the element have been properly documented. This will require the validator to check the tables to ensure that the participant did live in an area of persistent unemployment.</li> </ul>
54a	Date of last update	<ul style="list-style-type: none"> <li>• SPARQ will automatically enter the date on which the waiver factor was first entered. This field may be overwritten as necessary. For each program year thereafter, you must enter the date of updating the factor if you want to receive credit in the Most-in-Need measure or to use the factor to support an extension request for the participant.</li> </ul>
Topic 135 (Revised)	Which list to use for persistent unemployment	<ul style="list-style-type: none"> <li>• An area of persistent unemployment is one with an unemployment rate 20% above the national average for any two of the last three calendar years. This requires a new three-year calculation each year. The data for the calculation at the county level for the latest year are not available until April of the following year. Because there are no data until then, there is a blackout period in SPARQ for this field from January 1 until approximately April 15 of each year when the new table is available.</li> <li>• SPARQ carries two tables for persistent unemployment. The more recent table becomes available in mid-April and is effective retroactive to January 1. Even though there is a necessary blackout period from January 1 until mid-April, once the new table is available, you must use it for any participant newly enrolled on or after January 1, and you may use it for any existing participant who was enrolled prior to January 1. A participant enrolled prior to January 1 may qualify under either the old or the new table. For participants newly enrolled after January 1, grantees should not populate this field until the new table is released in April.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• Prior lists remain available in SPARQ so they can be used for Data Validation for those participants who were coded "Yes" under those earlier lists. Field 54 of the Participant Form is one of the factors used for an extension of the durational limit. This means that you can enter data into this field whenever you determine that the participant meets both requirements: has severely limited employment prospects and lives in an area of persistent unemployment. You use the list that is in effect at the time you make your determination.</li> <li>• If you are using persistent unemployment to support an extension for a participant who is scheduled to reach his or her durational limit during the first quarter of the next program year, you must use only the new table to update the waiver factor during the fourth quarter of the current program year or the first quarter of the next program year.</li> </ul>
55 (Revised)	Limited English Proficiency (LEP)	<ul style="list-style-type: none"> <li>• Only one count is given in the Most-in-Need measure for LEP although it is used as both a priority of service and a waiver factor.</li> <li>• Participants who are LEP may not also be coded as having low literacy. See elements 24 and 56.</li> <li>• If the participant is LEP and you failed to check “yes” for field 22, you may obtain Most-in-Need credit by updating field 55. If you do so, you will need to continue updating this field for each program year in which you seek credit.</li> <li>• Data validation is required for this field and for field 22.</li> </ul>
55a (Revised)	Date of last update	<ul style="list-style-type: none"> <li>• This field may be overwritten as necessary. For each program year, you must enter the date of updating the factor if you want to receive credit in the Most-in-Need measure or to use the factor to support an extension request for the participant.</li> </ul>
56 (Revised)	Low literacy skills	<ul style="list-style-type: none"> <li>• Only one count is given in the Most-in-Need measure for Low Literacy Skills although it is used as both a priority of service and a waiver factor.</li> <li>• Participants who are low literacy may not also be coded as LEP. See elements 22 and 55.</li> <li>• If the participant is low literacy and you failed to check “yes” for field 24, you may obtain Most-in-Need credit by updating field 56. If you do so, you will need to continue updating this field for each program year in which you seek credit.</li> <li>• Data validation is required for this field and for field 24.</li> </ul>



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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
56a (Revised)	Date of last update	<ul style="list-style-type: none"> <li>• This field may be overwritten as necessary. For each program year, you must enter the date of updating the factor if you want to receive credit in the Most-in-Need measure or to use the factor to support an extension request for the participant.</li> </ul>
Topic 137 (New)	LEP and Low Literacy as both priorities of service and waiver factors	<ul style="list-style-type: none"> <li>• LEP and low literacy are priorities of service that can be entered only at enrollment; they also waiver factors that can be entered whenever you become aware of them. If they are entered as priorities of service at the time of enrollment, the QPR will count them in the MiN measure for as long as the participant is enrolled regardless of whether they are updated. However, if they are being used to support an extension request, then they must be updated like any of the other waiver factors.</li> </ul>
57 (Revised)	75 or over	<ul style="list-style-type: none"> <li>• This field is system-generated in SPARQ based on the participant's date of birth. It is calculated each time the screen is viewed and is not frozen at the date of enrollment.</li> <li>• SPARQ will populate the field for this factor when the participant reaches 75. From that point forward, you will get credit in the Most-in-Need measure for 75 and over and it can be used to support an extension of the 48-month individual participant durational limit. Data validation is required for field 10, date of birth.</li> </ul>
58	Recertification/ waiver comments	<ul style="list-style-type: none"> <li>• You may use this field for any comments or case notes regarding the recertification or the waiver factors.</li> </ul>

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# **Community Service Assignment Form Guide**

## Community Service Assignment Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 1	Community Service Assignment Form	<ul style="list-style-type: none"> <li>• An applicant does not become a participant and is not eligible to receive any SCSEP services, including orientation, training or placement activity, until the applicant has been assigned to community service and this form has been filled out.</li> <li>• A new form must be filled out for each community service assignment of a participant.</li> <li>• A participant can have only one community service assignment at a time.</li> </ul>
Topic 1	Maintenance of effort; assigning participants to host agencies that have had layoffs	<ul style="list-style-type: none"> <li>• SCSEP participants cannot be used to replace workers who are on layoff. Section 502(b)(1)(G) of the Older Americans Act specifically provides that each project funded under the act “will not employ or continue to employ any eligible individual to perform work the same or substantially the same as that performed by any other person who is on layoff.” The same requirement is contained in the SCSEP regulations. The statute also provides that SCSEP funds may “not impair existing contracts or result in the substitution of Federal funds for other funds in connection with work that would otherwise be performed.” Therefore, you cannot assign SCSEP participants to a host agency if they will be doing work substantially similar to that performed by regular employees who have been laid off.</li> </ul>
Topic 2	Entering a new assignment into WebDCS	<ul style="list-style-type: none"> <li>• To enter a new community service assignment, you must first enter the end date for any old assignment into field 15 of the Community Service Assignment Form and complete a new CSA Form for the new assignment.</li> <li>• You do not delete anything associated with the prior host agency assignment. You do have to enter the end date for the first assignment into SPARQ. Remember, too, that you will have to fill in the total paid hours (field 19) and hours of paid training (field 21) at the end of the quarter even if the first assignment ended before the end of the quarter. You will also have to enter this information for the new assignment.</li> </ul>
3	Grantee	<ul style="list-style-type: none"> <li>• Enter here the name of the grantee that owns the slot the participant is occupying.</li> <li>• For WebDCS users, the name of the grantee is determined at the time of log on. If the user works for more than one grantee, the user will have to select the grantee for which it wishes to access records.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 2	Host Agency Information	<ul style="list-style-type: none"> <li>• In the WebDCS, elements 4-7b, 8a, and 8b are entered from the Add Host Agency button in the Organizations function on the main page. You may also add a new host agency from the first assignment screen.</li> </ul>
4 (Revised)	Name of host agency	<ul style="list-style-type: none"> <li>• Enter the name of the parent organization at which the participant is assigned. Do not enter the name of a satellite office or branch unless one of the exceptions in Topic 7 below applies. The location at which the participant is assigned will be listed in field 8. The contact person's name and address will be entered in fields 9 and 10.</li> <li>• This field will be used to draw the sample for the host agency customer satisfaction survey, which will be mailed to the contact person identified in fields 9 and 10.</li> <li>• There are exceptions to this rule if using the name of the parent organization makes it difficult to identify the entity to which the participant is assigned. See Topics 6 and 7 below.</li> <li>• You should standardize the names of host agencies so that an agency is not entered multiple times under different names.</li> <li>• In the WebDCS, there is a drop-down menu on the first assignment screen from which you may select a previously entered host agency. If the host agency you want is listed, you should select it. If it is not listed, you may add a new host agency from the first assignment screen without having to open the Organizations function on the main page.</li> <li>• You cannot save an assignment in SPARQ without at least a host agency name, a state, an assignment date, and Community Service Assignment Code. This means you must, at a minimum, select a host agency on the first assignment screen and fill out fields 13 and 17 on the third assignment screen before you can save an assignment.</li> </ul>
Topic 3 (Revised)	Rule against entering duplicate organizations into SPARQ database	<ul style="list-style-type: none"> <li>• SPARQ will not let you enter an organization into the database if that identical organization already exists. Organizations are considered identical if they have the same name and their mailing addresses are in the same state. There are circumstances where using the name of the parent organization will not be feasible. See Topics 6 and 7. In those cases, you may enter multiple organizations with similar but not identical names in the same state. For example, Goodwill LA North, Goodwill LA Central, and Goodwill LA East are considered unique organizations even though they are all in the state of California. In the WebDCS, if a user attempts to enter an organization that already exists in the database, the user will be asked whether he or she wants to use the existing organization. If not, the user will be required to add a new record with an organization name that is unique.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• The sub-grantee which has the oldest active assignment, or if there are no active assignments, the entity which has the most recent closed assignment is the “owner” of that host agency record and is the only user allowed to change the basic organization information in fields 4-7 and 8a. A non-owner that wishes to change any of this information must contact the owner to do so. The name of the owner is displayed as part of the organization search function in SPARQ.</li> <li>• Fields 7a, 7b, and 8b are not unique to the organization and may differ for each sub-grantee that uses that organization. Field 8 belongs to a particular assignment and can differ for each assignment.</li> </ul>
Topic 4	Can two projects use the same host agency?	<ul style="list-style-type: none"> <li>• Although the regulations do not prohibit two grantees from using the same host agency, the national office discourages the practice. The national office prefers that grantees coordinate the use of host agencies and avoid duplication wherever feasible. Of course, there will be situations where such duplication may be unavoidable or may be in the best interest of the participants.</li> <li>• Coordination among the grantees in the same area will at least ensure that duplication is not done inadvertently.</li> </ul>
Topic 5 (Revised)	Using an existing host agency in SPARQ	<ul style="list-style-type: none"> <li>• See Element 4 and Topics 3-8 for a full discussion of identifying the parent host agency, when you may use a host agency name other than the parent name, and how to enter the host agency information into SPARQ.</li> <li>• SPARQ is designed to prevent the entry of duplicate organizations (host agencies, training providers, and employers). If a user attempts to enter an organization with the identical name as an existing organization in the same state, SPARQ will block the duplicate entry and tell the user that the organization already exists. The user will then have the option of linking to the existing organization or creating a new organization by changing the organization name. Generally, the user should accept the existing organization and not take the option of creating a different organization unless one of the exceptions discussed in the Handbook applies.</li> </ul>
5	Host agency mailing address	<ul style="list-style-type: none"> <li>• Be sure to enter the information as you want it to appear on a mailing envelope. Do not enter any extraneous information.</li> <li>• The mailing address fields will be used to generate letters and mailing labels for the customer satisfaction survey.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
5a	Number, street, suite number; or PO Box	<ul style="list-style-type: none"> <li>• If the address has a Post Office box rather than a street, use field 5a to record that information. If there are both a street and a post office box, record both in field 5a.</li> </ul>
6	FEIN	<ul style="list-style-type: none"> <li>• You should make every effort to obtain the host agency's Federal Employer Identification Number (FEIN).</li> <li>• The FEIN plus state can be used as a unique identifier for host agencies. The FEIN can be used to search for duplicate host agencies in the database and to ensure that host agencies are only surveyed once each year.</li> <li>• If you are unable to obtain the FEIN, leave this field blank. Document your effort to obtain it in the comments field. Do not put N/A or a dummy value into this or any other field.</li> </ul>
Topic 6 (Revised)	Using FEIN to identify host agencies (and employers) for the customer satisfaction surveys	<ul style="list-style-type: none"> <li>• There are three separate pieces of identifying information about the host agency and the employer: organization name and mailing address; name of site where participant works; and name (and address) of contact person. The customer satisfaction survey will be mailed to the contact person at the contact person's address if one is listed. The form has a field for the contact person's address if it is different from the mailing address of the organization. If no contact person address is listed, the survey will be mailed to the contact person at the organization's mailing address.</li> <li>• Determining the identity of the host agency or employer is difficult if the entity has multiple branches or divisions. When possible, you should use the FEIN to determine the main entity. The host agency and employer names are used to draw the samples for the surveys (and to determine an unduplicated count of host agencies and employers), but the survey is mailed to the contact person at the contact person's address. Note that the contact person may or may not be at the site where the participant is working. The site is not required for the data application. It may be of use for case management purposes, but it is not used in the selection of respondents or in the mailing of surveys. The form and the data application only capture the name and location of the site. There are no fields for the address.</li> <li>• The instructions ensure that the proper person will receive the survey. The only risk is that the survey will under-sample some government agencies or large organizations. However, since there are a large number of host agencies, including government agencies, the validity of the survey results is not threatened.</li> </ul>

## Community Service Assignment Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 7	Exception to the rule about using FEINs	<ul style="list-style-type: none"> <li>• Using the FEIN to identify the parent organization may be arbitrary, but it is a clean and simple rule to follow in many cases. However, the rule does not work well for government agencies and large organizations that conduct a variety of functions from different locations. The rule can have an especially unfortunate effect in communities where there are few host agencies beyond government agencies. DOL has recognized an exception for territorial grantees where the territorial government is the only host agency and all the government departments to which participants are assigned are under the FEIN of the territorial government. A similar exception should apply to all grantees and sub-grantees facing a similar situation.</li> <li>• While the rule about following the FEIN is still the norm, sub-grantees may depart from the norm, especially where following the rule will result in a small number of host agencies to be surveyed. Sub-grantees may treat the local office, department, or division of the parent organization that owns the FEIN as the host agency for purposes of field 4 of the Community Service Assignment Form when either of the following conditions applies:             <ol style="list-style-type: none"> <li>1. The parent organization that owns the FEIN is a national governmental or non-profit agency, and the participant is assigned to a local office of the parent. Examples include the Social Security Administration and or a national charitable organization like Goodwill. OR</li> <li>2. The parent organization that owns the FEIN is a state, county, or local governmental agency or large non-profit organization and:                 <ol style="list-style-type: none"> <li>a. The participant is assigned to a local department or division, not the main office; and</li> <li>b. The local department or division has a separate administrative structure from the main office; and</li> <li>c. The contact person for the participant is located at the local department or division rather than at the main office.</li> </ol> <p>Although it is not always essential that the local department or division be in a separate physical location from the main office, the case for treating the local department or division as a separate host agency will be much stronger if the local department or division is in a separate location. By main office, we mean the central location or mailing address of the parent organization that owns the FEIN, e.g., the Broome County Executive or Comptroller. An example of this</p> </li> </ol> </li> </ul>



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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>exception would be a county government that runs all services in the county, such as welfare, health, education, recreation, and public works, and each service is in a separate department with a separate administrative structure.</p> <ul style="list-style-type: none"> <li>• When applying either of the two exceptions described above, the critical concern is that the same contact person not receive more than one host agency survey in a program year. The fact that the same person would receive the survey is a strong indicator that you should not apply the exception. If you are uncertain whether multiple surveys would be sent to the parent organization under either of these two exceptions, then you should follow the rule and identify the host agency by the FEIN.</li> <li>• NOTE: If you apply either exception and list as the host agency (in field 4) a local department or division that does not have its own FEIN, leave the field for FEIN (#6 on the Community Service Assignment Form) blank. The FEIN should only be listed for the parent organization. You may still enter the local site name and location of this local department or division in field 8 even if this duplicates what you have put in field 4. The data application does not require that field 8 be filled in.</li> </ul>
Topic 8 (Revised)	Warnings in SPARQ for duplicate organizations	<ul style="list-style-type: none"> <li>• You will get a warning if there is more than one record with the same combination of name and state. (See Topics 6 and 7.) You can use the Organization search function on the SPARQ home page to determine which sub-grantee "owns" this organization. If it is another sub-grantee and you wish to use the same organization, you can link to it and then substitute it for the organization in your database that is causing the error message. If you are the owner, the message may be due to your using multiple entries of the same organization as both an employer and a host agency or to your having entered the same organization multiple times as a host agency. In that case, you need to pick whichever version of the organization you want to keep, use that organization for any placement or assignment, and delete the other versions of the organization.</li> <li>• If, for some reason, you do not want to use the organization that SPARQ views as the same as your organization, you can either ignore the warning or change the name in your record. As long as the organization name you use is unique within your state, you will not get any other warnings. Eliminating duplicate organizations can be a tricky and time consuming process. SCSEP Help provides technical assistance to SPARQ users and is helping many grantees with this problem. Users should contact SCSEP Help if they have questions about how to eliminate duplicates or need assistance.</li> </ul>

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		<ul style="list-style-type: none"> <li>The SPARQ database has many old duplicate organizations that make it nearly impossible to get an accurate count of host agencies and employers, and that make it very difficult to produce good sample lists for the host agency surveys. Because these warnings are alerting users to a serious problem in SPARQ, there is no way to turn them off for active host agencies other than by eliminating the duplicate organizations. The warnings will stop appearing for host agencies that have not been active since before the start of the current program year.</li> </ul>
Topic 9 (New)	Public source of FEIN's	<ul style="list-style-type: none"> <li>There are numerous online search services for FEINs, but they all appear to charge a fee. (Try searching for "FEIN" with your favorite search engine.) Since many companies consider their FEIN to be proprietary, you may not be able to obtain the FEIN. This is more likely to be true of employers. Host agencies, on the other hand, should give you their FEIN as a matter of course because of your ongoing relationship with them.</li> <li>For more information, see <a href="http://www.irs.gov/businesses/small/article/0,,id=98350,00.html">http://www.irs.gov/businesses/small/article/0,,id=98350,00.html</a></li> </ul>
7	Host agency type	<ul style="list-style-type: none"> <li>Select only one box. Host agencies must be either Section 501(c)(3) non-profit organizations or government agencies.</li> <li>If the participant is assigned to the grantee or sub-grantee's project office, select non-profit in this field and also select value E1, Project Administration, as the community service assignment code in field 17.</li> </ul>
Topic 10 Revised	Host agency must be Section 501(c)(3) organizations or public agencies; churches; U.S. Postal Service	<ul style="list-style-type: none"> <li>The regulations require that the host agency itself be a government agency or Section 501(c)(3) organization.</li> <li>Section 508 of the Internal Revenue Code states that churches are deemed to be tax-exempt and do not need to apply for 501(c)(3) status. Therefore, churches are permissible host agencies even if they have not obtained a Section 501(c)(3) certificate from IRS. However, grantees can only assign participants to religious organizations if the assignment does not involve religious activities. (See TEGL 29-07.)</li> <li>Although the Postal Service is independent, it is a public agency. The statute governing the Postal Service provides, "The United States Postal Service shall be operated as a basic and fundamental service provided to the people by the Government of the United States, authorized by the Constitution, created by Act of Congress, and supported by the people." The statute goes on to define the Postal Service: "There is established, as an independent establishment of the executive branch of the Government of the United States, the United States Postal Service."</li> </ul>

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Topic 11 (Revised)	Documentation of Section 501(c)(3) status	<ul style="list-style-type: none"> <li>• Documentation of tax exempt status is a SCSEP program requirement. This item is not currently subject to Data Validation but is expected to be added to the sample. Grantees are required to continue to retain documentation as they have always done.</li> <li>• Acceptable documentation includes the IRS determination letter or the results of a search on the official IRS Web site for exempt organizations: <a href="http://apps.irs.gov/app/pub78">http://apps.irs.gov/app/pub78</a>. The 990 tax form and MelissaData.com are not acceptable. Host agencies must document their exemption. If there is any doubt, they must obtain updated information from the IRS.</li> </ul>
Topic 12	Can a host agency satisfy 501(c)(3) status through a fiscal agent?	<ul style="list-style-type: none"> <li>• Small nonprofits sometimes use larger organizations as their fiscal agents because it makes the funders more secure, but that has no impact on our statute. The statutory requirement is not satisfied by using a Section 501(c)(3) organization as the fiscal agent of the host agency unless the host agency itself is also a Section 501(c)(3) organization.</li> </ul>
Topic 13	Subordinate entities of Section 501(c)(3) organizations	<ul style="list-style-type: none"> <li>• An IRS Section 501(c)(3) certificate may state that any subordinate entities listed in the organization's "directory" are also exempt. The critical issue is whether an organization is itself a separate legal entity or just an activity of a subordinate entity listed in the directory. If the latter, there is no problem. If the former and it is not listed in the directory itself, then it cannot be a host agency.</li> <li>• If there is doubt, the potential host agency must get clarification from the IRS. Grantees are not qualified to determine tax exemption or to guess about how the IRS would handle complex legal relationships; grantees must act on what the IRS has actually determined.</li> </ul>
Topic 14 (New)	Role of host agencies	<ul style="list-style-type: none"> <li>• The CSA is the core of the SCSEP program design. Every participant receives soft skills and basic skills training at a host agency training site during the community service assignment. The assignment to a host agency and the specific job the participant performs there should be based on the participant's IEP. It should list the participant's goals for self-sufficiency and should detail what barriers will be removed and what skills will be obtained at the host agency, as established in the participant's assessment. Participants may obtain additional training and education outside of the host agencies, but for the substantial majority of participants, preparation for employment and for self-sufficiency occurs at the host agency.</li> <li>• Because of their central role in SCSEP, host agencies should be selected with great care and should receive orientation, training, and ongoing support. Grantees should be regularly assessing the needs of their participant pool and recruiting new host agencies that can respond effectively to those needs. A participant should only be placed with a host agency that can provide the training and skills identified in the participant's assessment and IEP. If no current</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>host agency meets those needs, the participant should be placed with the most appropriate available host agency while the grantee seeks a better match for the participant. See Topic 121 of the Participant Form Guide.</p> <ul style="list-style-type: none"> <li>• Grantees are required to conduct their activities using safeguards to prevent discrimination and promote employment and training opportunities for ex-offenders. This applies to decisions to assign participants to host agencies and the information grantees convey about a participant’s background. See TEGL 31-11 and Topic 121 of the Participant Form Guide.</li> <li>• Participants should be rotated into new jobs within their current host agencies as needed to obtain additional skills or should be rotated to new host agencies if their current host agencies do not have positions that can provide those skills.</li> </ul>
7a	Date of host agency agreement	<ul style="list-style-type: none"> <li>• Indicate the date on which the last host agency agreement was signed. You may use this date as a tickler for the renewal of the host agency agreement.</li> <li>• This field may be entered by each sub-grantee that uses the organization record and will display specifically for the sub-grantee that enters the information.</li> </ul>
7b	Date of host agency monitoring visit	<ul style="list-style-type: none"> <li>• Indicate the date on which the last host agency monitoring visit was conducted.</li> <li>• This field may be entered by each sub-grantee that uses the organization record and will display specifically for the sub-grantee that enters the information.</li> </ul>
8	Host agency site name and location	<ul style="list-style-type: none"> <li>• Enter here the site at which the participant is assigned. This field is not required by SPARQ and is solely for case management purposes.</li> <li>• Do not enter a full address, just enough information to locate the participant.</li> </ul>
Topic 15 (New)	Location of host agency; county of residence	<ul style="list-style-type: none"> <li>• Grantees may only enroll participants whose county of residence is a county where the grantee has authorized positions. However, there is no requirement that the host agency assignment must be located in the participant’s county of residence.</li> <li>• The participant must be assigned to a host agency that can meet the needs identified in the participant's IEP and that is geographically convenient to the participant given the means of transportation available. Grantees must recruit host agencies that offer the kinds of training and jobs required by the participants enrolled in their program and that are convenient to where participants are located. The number and range of host agencies vary greatly by county, especially in rural areas, and the most suitable assignment for a participant’s IEP goals may sometimes be in another county. However, before assigning a participant to a host agency that is not geographically convenient, grantees must make every effort to find an appropriate host agency that is convenient.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
8a	Host agency job codes	<ul style="list-style-type: none"> <li>• You may record up to three of the pre-defined codes to indicate the types of jobs this host agency provides. These codes are also used to indicate the types of jobs that the participant is interested in and the specific assignment, training, and placement the participant has received.</li> <li>• This field may be entered by the sub-grantee that creates and owns the organization record and will display for any sub-grantee that uses this organization.</li> </ul>
8b	Host agency continued availability	<ul style="list-style-type: none"> <li>• This field is for administrative use by the sub-grantee. You may indicate if the organization no longer wishes to serve as a host agency or if the sub-grantee no longer wishes to continue working with this host agency.</li> <li>• This field may be entered by each sub-grantee that uses the organization record and will display specifically for the sub-grantee that enters the information.</li> </ul>
Form Heading 3	Contact/ Supervisor Information	<ul style="list-style-type: none"> <li>• This section is used to record information about the host agency contact person. This is the individual who will receive the customer satisfaction survey. The contact information is also designed to facilitate your contacting this person.</li> <li>• Additional fields have been added to permit the entry of information about the supervisor if that person is different from the contact person.</li> </ul>
9	Name of contact person	<ul style="list-style-type: none"> <li>• The contact person is the individual who will receive the customer satisfaction survey for the host agency. There are separate fields for the supervisor if that person is different from the contact person.</li> <li>• The contact person is the individual with whom the sub-grantee has had the most contact regarding the assignment of the participant. It is not necessarily the participant's supervisor, nor is it necessarily the same as the main contact person whom you use for administrative purposes. This is the individual who will receive the customer satisfaction survey in the mail.</li> <li>• Enter the contact person's name as you want it to appear on the cover letter and mailing envelope for the customer satisfaction survey. Be sure to include the first name unless the contact person only uses one name. Do not enter any extraneous information into this field.</li> </ul>
10	Contact person's mailing address if different from number 5	<ul style="list-style-type: none"> <li>• Enter a business address for the contact person <u>only</u> if it is different from the host agency's main mailing address (field 5). If the contact person's address is the same as the mailing address for the host agency in field 5, do not enter anything into field 10.</li> <li>• This field will be used to generate customized letters and mailing labels for the customer satisfaction surveys. <u>If you use this field, you must enter a complete mailing address.</u></li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
10a	Organization or address field 1	<ul style="list-style-type: none"> <li>• If the contact person has a separate address, enter here the name of the organization at which the contact person receives mail. Surveys addressed to host agency contact persons without the name of the organization in the address may be returned as undeliverable.</li> <li>• You should enter this information for all host agency contact persons with a separate address in your database.</li> </ul>
10b	Address field 2	<ul style="list-style-type: none"> <li>• If the contact person has a separate address, enter here the street address of the organization at which the contact person will receive mail.</li> <li>• You should enter this information for all host agency contact persons with a separate address in your database.</li> </ul>
11	Contact person's title	<ul style="list-style-type: none"> <li>• Enter the title by which the contact person is known at the host agency. This may facilitate your contacting the individual.</li> </ul>
11a	Contact person's salutation	<ul style="list-style-type: none"> <li>• Select either Mr., Ms., or Dr. as the salutation for the contact person. The salutation will be used for the customer satisfaction survey cover letters.</li> <li>• You should enter this information for <u>all</u> host agency contact persons in your database.</li> </ul>
12	Contact person's phone number	<ul style="list-style-type: none"> <li>• This field may be used to help you reach the contact person.</li> </ul>
12a	Contact person's fax number	<ul style="list-style-type: none"> <li>• This field may be used to help you reach the contact person.</li> </ul>
12a1 (New)	Contact person's cell phone number	<ul style="list-style-type: none"> <li>• This field may be used to help you reach the contact person.</li> </ul>
12b	Contact person's e-mail address	<ul style="list-style-type: none"> <li>• This field may be used to help you reach the contact person.</li> </ul>
Form Heading 4	Complete fields 12c-12j if supervisor is different from contact person (number 9). If supervisor is the same as contact	<ul style="list-style-type: none"> <li>• Fields 12c-12i are optional. They permit you to record the name and contact information for the participant's host agency supervisor if the supervisor is different from the contact person. The fields for the contact person are not optional since they are used to mail the host agency survey.</li> <li>• In SPARQ, contacts are entered into the Organization Contacts utility on the main page without identifying whether the contact will be used as a contact person or a supervisor. In the assignment and placement screens, there are two different drop-down menus and displays, one for the contact person/supervisor and a second for the supervisor if that person is different</li> </ul>

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	person, skip to field 12j.	from the contact/person supervisor. If the contact person and supervisor are the same person (or if there is no supervisor), you only select a name from the first drop-down. If you wish to indicate a different person as the supervisor, you can also select a name from the second drop-down. There is a single drop-down menu in the Training Information section to allow you to select the contact person.
12c	Name of supervisor	<ul style="list-style-type: none"> <li>• This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second assignment screen.</li> </ul>
12d	Supervisor's mailing address if different from number 5	<ul style="list-style-type: none"> <li>• This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second assignment screen.</li> </ul>
12e	Supervisor's title	<ul style="list-style-type: none"> <li>• This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second assignment screen.</li> </ul>
12f	Supervisor's salutation	<ul style="list-style-type: none"> <li>• This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second assignment screen.</li> </ul>
12g	Supervisor's phone number	<ul style="list-style-type: none"> <li>• This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second assignment screen.</li> </ul>
12h	Supervisor's fax number	<ul style="list-style-type: none"> <li>• This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second assignment screen.</li> </ul>
12h1	Supervisor's cell phone number	<ul style="list-style-type: none"> <li>• This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second placement screen.</li> </ul>
12i	Supervisor's e-mail address	<ul style="list-style-type: none"> <li>• This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second assignment screen.</li> </ul>
12j (Revised)	Funding source of supervisor or contact person/supervisor	<ul style="list-style-type: none"> <li>• This optional field allows you to indicate whether the supervisor (or contact person/supervisor if one individual has both positions) is federally funded or not federally funded. This information may help you determine the amount of in-kind contribution made by the host agency to your project. For non-federally funded supervisors, you can also indicate the average number of hours per week spent on supervision of all SCSEP participants and the supervisor's average hourly wage. Grantees can use this information to document non-federal match for SCSEP.</li> </ul>

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		<ul style="list-style-type: none"> <li>• Because of technical issues, this field is being greyed out in SPARQ and should not be used. Until the technical issues are resolved, grantees may capture this information on the hard copy data collection form.</li> <li>• SCSEP does not have any specific requirements for the 10% match other than those contained in the regulations. Section 641.809 specifically incorporates the cost sharing rules of 29 CFR 97.24 and 29 CFR 95.23. All non-federal match must be documented. For in-kind labor provided by a third party, you must apply procedures for documenting and valuing time comparable to those you use for your own employees.</li> </ul>
Topic 16 (New)	OJE supervisor's time as non-federal match	<ul style="list-style-type: none"> <li>• If the OJE supervisor is paid with non-federal funds and you can determine what portion of the supervisor's time is spent supervising a participant on OJE, you can count the value of the supervisor's time as part of your non-federal match just as you count the value of a host agency supervisor's time.</li> </ul>
13	Assignment date	<ul style="list-style-type: none"> <li>• Enter the date on which the participant was first assigned to the community service assignment with <u>this</u> host agency regardless of when the participant first started work at the host agency. For new applicants, it is the date the applicant can first receive services and thus the point at which an eligible applicant becomes a participant. It will be the date on which the payment of wages can begin. For reassigned participants, the date will be the first day of assignment to the new host agency regardless of whether the participant actually starts work on that day.</li> <li>• Field 13 is the date the assignment was made regardless of when the participant reported to the host agency or when the participant first received wages. You may pay wages once the assignment has been made, but only if the participant is engaging in some SCSEP activities, e.g., orientation, assessment, IEP, training, prior to reporting to the host agency. Field 14 is the date on which the participant first reported to the host agency.</li> <li>• A participant can only have one assignment at a time and must remain assigned to a host agency throughout the period of enrollment unless the participant is on an approved break in participation. The assignment date (field 13) is the date on which the host agency and the participant agree that the participant will perform community service at that host agency. For first assignments, this date is straightforward. For subsequent assignments, the participant cannot be assigned to a new host agency until the assignment at the old host agency has ended.</li> <li>• The date of assignment to the first community service position will be the date of participation for the Common Measures.</li> </ul>



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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 17	What date determines enrollment for the service level measure?	<ul style="list-style-type: none"> <li>• When an eligible applicant is assigned to community service (CSA field 13), the applicant becomes a participant. The numerator for the service level measure is all participants active (assigned to community service) at any time during the reporting period. A participant with a community service assignment date of 6/30/2017 will be counted in the service level measure for PY 2016 regardless of when the participant actually started work at the host agency.</li> </ul>
Topic 18	Permissible activities prior to assignment	<ul style="list-style-type: none"> <li>• Only eligible applicants who have been assigned to an authorized community service position may receive any SCSEP services. At the point of assignment, the applicant becomes a participant; may receive services such as orientation, an IEP, and training; and may be paid wages. The date of participation for the Common Measures is the date of assignment. The participant is not required to physically commence the assignment with the host agency prior to receiving SCSEP services. The Community Service Assignment Form has two dates: the date of assignment and the date on which the participant actually starts work.</li> <li>• Sub-grantees <u>must</u> assess applicants' work histories, aptitudes, abilities, and interests in order to make an effective assignment. This determination of suitability for assignment is part of the intake and eligibility process and does not conflict with the regulations. Moreover, in many situations, it may be necessary for the sub-grantee, as part of the intake process, to do a more complete assessment of certain characteristics – such as illiteracy, social isolation, or other social barriers – that determine preferences for service before determining whether to provide service to an applicant. Sub-grantees are authorized and required to do a complete assessment to determine priorities for service and make an appropriate assignment.</li> <li>• Host agencies should be recruited based on their ability to provide meaningful training opportunities that respond to the needs of the participant pool, and participants should only be assigned to host agencies that meet their needs as documented in their assessments. See Topic 14 above. However, the applicant may not be paid for taking part in this assessment, and the process should stop short of the formal drafting of an IEP. The assessment of suitability and determination of characteristics may form the foundation for the formal IEP that takes place after assignment (and at which time the participant may be paid).</li> <li>• For many participants, the assessment and assignment process will not be extended or complicated. In such cases, nothing prohibits a sub-grantee from conducting an assessment, completing the formal IEP, and assigning a participant to a community service position in one sitting all on the same day. Since the date of the assignment in the data system and the date on the assessment instrument and IEP will be the same, there would be no violation of the</li> </ul>

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		<p>regulation. The point of the regulation is that only those individuals who are in need of – and who actually receive – a community service position are entitled to other SCSEP services.</p> <ul style="list-style-type: none"> <li>• Except in rare circumstances described in Topic 19, it is not permissible to assign an applicant to the sub-grantee’s project office as a placeholder in order to pay the applicant wages and conduct a formal assessment prior to assigning the applicant to his or her real community service position. Applicants can be assigned to the project office only when there is a legitimate community service position available and the applicant will be performing legitimate work at the project office. On the other hand, as long as the original assignment was made in good faith, nothing prohibits a sub-grantee from changing a participant’s initial community service assignment if a more complete assessment or the formal IEP reveals that the initial assignment was not optimal.</li> </ul>
Topic 19	Assignment to project office	<ul style="list-style-type: none"> <li>• An eligible applicant can be assigned to a grantee’s or sub-grantee’s project office as long as the office meets the requirements for being a host agency, there is a position available, the assignment is legitimate, and the assignment is consistent with the participant’s IEP.</li> <li>• If there is no suitable host agency assignment available, you are required to place an eligible applicant on the waiting list and may not assign the applicant to the project office solely to have a way to pay the applicant wages. However, in extraordinary circumstances where a regular host agency assignment is not available and placing an applicant on the waiting list for an extended period would create hardship or be contrary to the intent of the regulations, the applicant may be assigned temporarily to the grantee’s or sub-grantee’s project office while a more suitable assignment is being developed.</li> <li>• For example, a veteran over the age of 60 with multiple barriers to employment, perhaps including physical or mental disabilities, requires extensive assessment and observation in a host agency environment before it is possible to determine what kind of host agency assignment is appropriate. In this case, the sub-grantee may assign the participant to a position at the sub-grantee’s project office and may conduct the assessment while having the participant provide various services to the sub-grantee. At the end of three weeks of assessment and observation, the sub-grantee identifies a host agency that is willing and able to work with the participant and reassigns the participant to this host agency.</li> <li>• This procedure is a very narrow exception to the general rule that an applicant cannot be paid and cannot receive SCSEP services until the applicant has been assigned to a legitimate</li> </ul>

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		<p>community service position. The general rule does not permit you to pay an applicant while you are conducting an assessment prior to assignment.</p> <ul style="list-style-type: none"> <li>• If a participant is assigned to the project office, you must select value E1, Project Administration, as the community service assignment code in field 17.</li> <li>• Any use of this exception must be fully documented and is likely to be audited. For that reason, you should check with your federal project officer before using this exception.</li> </ul>
Topic 20	Assignment of participant to temporary host agency for assessment and other services	<ul style="list-style-type: none"> <li>• Although it is permissible to use temporary assignments in some circumstances, you should not be assigning participants to temporary host agencies in order to provide additional services to participants before they commence their real host agency assignment.</li> <li>• Only participants can receive SCSEP services. A participant is an eligible applicant who has been assigned in good faith to a host agency with the expectation that he or she will commence work there. Once assigned, the participant may receive additional services before reporting to the assignment; however, you should not routinely make temporary assignments in order to provide services before you make the real host agency assignment. You can do as much assessment as is necessary to make an appropriate host agency assignment, but no more than that, before assigning an applicant. There are limited exceptions where a participant with serious barriers to employment may need a trial assignment to community service. As a rare exception, you may assign the participant to the project office or to a temporary host agency for purpose of completing the assessment or trial. (See Topics 18 and 19)</li> </ul>
Topic 21 (New)	Closure of host agency due to natural disaster	<ul style="list-style-type: none"> <li>• DOL has stated that during natural disasters you may assign participants to temporary host agencies, including disaster assistance agencies such as the Red Cross. However, you may not pay participants wages unless they are actually working at a community service assignment or are in paid training. If temporary assignments are not feasible, you may allow participants to make up lost time when their host agency reopens. The opportunity to make up time does not have to be limited to the next payroll period.</li> </ul>
Topic 22	Assignment of two family members to same host agency	<ul style="list-style-type: none"> <li>• You may enroll two members of the same family; however, you should usually assign them to different host agencies in order avoid family dynamics in the workplace.</li> <li>• If there are compelling reasons to assign two family members to the same host agency, e.g., one participant has a disability and the other participant is essential for getting the first to the work site, you should try to find them jobs that minimize their contact.</li> </ul>

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		<p>You must ensure that one relative does not supervise the other and must avoid any issues of nepotism.</p> <ul style="list-style-type: none"> <li>• SCSEP wages received by an existing participant are not included in family income when determining the eligibility of the other family member.</li> </ul>
Topic 23	Participant as board member	<ul style="list-style-type: none"> <li>• It is a conflict of interest for a participant to serve as a board member or in any decision-making capacity for a host agency or sub-grantee. Section 641.841(a) of the SCSEP regulations, the anti-nepotism provision, prohibits assigning a participant to a host agency if a member of the participant's family (and the definition of family is quite extensive) serves in a decision-making capacity (whether or not compensated) for the host agency. Since it is a conflict to have a relative who is on the board of a host agency, it is also a conflict for a participant himself or herself to be on the board of a host agency. The intent of the regulations is to prevent a conflict that results in the participant's getting more favorable treatment than other participants. For the participant to be on the board invites exactly that kind of favoritism or at least the appearance of it.</li> </ul>
Topic 24	Advocacy work at host agency	<ul style="list-style-type: none"> <li>• The regulations prohibit enrollees from lobbying or engaging in partisan political activities (Hatch Act prohibitions). Moreover, host agencies, which must be non-profits under Section 501(c)(3) of the IRS code, are not permitted to engage in lobbying. It is often difficult to tell when advocacy and outreach to members of Congress cross the line into lobbying. Therefore, the participant may be assigned to a host agency engaged in such actions only if you have taken adequate steps to ensure that the participant does not engage in activities that could be considered improper under the regulations.</li> <li>• The best way to ensure that there are no problems or misunderstandings is to write into the host agency agreement a provision that the participant may not engage in certain defined activities, including making phone calls or sending letters to Congress or assisting others in these activities. You need to make sure that both the host agency and the participant understand fully the nature of the restriction and the consequences of violating it. You must also monitor the assignment to make sure that the restrictions are being enforced.</li> </ul>
Topic 25 (Revised)	Participants volunteering at a host agency	<ul style="list-style-type: none"> <li>• Volunteer work may not occur in the host agency where the participant is assigned or has any ongoing connection while enrolled, including while the participant is on approved break. In an assignment, it is often very difficult to determine whether volunteer work is truly voluntary. Wage and hour laws would require payment of such labor for an employee (that is, an employer cannot pay an employee for certain hours of work and accept additional hours of</li> </ul>

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		work as volunteered), and the SCSEP regulations require that participants be paid for all community service work. For these reasons, the participant should be told to volunteer at an organization other than his or her own host agency if the participant has extra time and energy.
Topic 26 (Revised)	Participant discovered to be working at a host agency to which assigned	<ul style="list-style-type: none"> <li>• When a participant is found to be working as an employee at the host agency to which the participant has been assigned, the only practical remedy is to terminate both the host agency and the participant for failure to comply with program rules.</li> <li>• Grantees must inform all host agencies of the no-employment rule in their host agency agreements. If the host agency was informed of the rule, you should end your relationship with the host agency and not place any other participants there. Grantees are also required to inform all participants in writing of the no-employment rule and of the importance of immediately reporting any employment. If you have properly informed the participant, you must terminate the participant in accordance with your termination policy. (See Topic 108 of the Participant Form Guide.)</li> </ul>
Topic 27 (New)	Participant assignment to religious day care center	<ul style="list-style-type: none"> <li>• The regulations prohibit use of DOL funds to support inherently religious activities. The applicability of the statutory and regulatory restrictions to SCSEP is governed by TEGl 29-07 and an opinion of the DOL Solicitor dated March 11, 2009, about a participant's being assigned as a secretary in a church. That opinion states:  <p style="margin-left: 40px;">For SCSEP grantees, this means, among other things, that participants may not be employed to carry out inherently religious activities or required to participate in any inherently religious activities. Whether a participant may be placed in a church depends, then, on the type of job the participant will be assuming. Participants may not be employed to further the religious function of the organization, to conduct religious activities, or to engage in activities that include religious content. Whether a participant may be employed as a secretary would depend on the nature of his/her job duties. If the participant would be supporting activities that include religious content, such as typing up the weekly sermon or monthly newsletter, then employment as a secretary would be impermissible.</p> <p>The opinion goes on to state that there is no hard and fast rule and that the answer must depend on the facts of each case.</p> </li> <li>• Although the mission of a day care center could suggest that the participant would be involved in inherently religious activities, you will need to confer directly with the potential</li> </ul>

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		<p>host agency to determine the specific duties required of the participant. The job description is one important document you should examine, but it may not be sufficient to determine whether the participant's duties would be restricted to secular activities.</p> <ul style="list-style-type: none"> <li>• You should also make the prohibition on religious activities clear to both the participant and the organization.</li> </ul>
Topic 28 (New)	Assignment of ex-offenders to host agencies	<ul style="list-style-type: none"> <li>• SCSEP policy has long prohibited discrimination against ex-offenders. See Topic 99 of the Participant Form Guide. In addition, TEGL 31-11 requires grantees to conduct their activities using safeguards to prevent discrimination and promote employment and training opportunities for ex-offenders. This applies to decisions to assign participants to host agencies and the information grantees convey about a participant’s background. The TEGL relies upon and requires grantees to follow the EEOC’s guidance on arrest and conviction: <a href="https://www.eeoc.gov/laws/guidance/upload/arrest_conviction.pdf">https://www.eeoc.gov/laws/guidance/upload/arrest_conviction.pdf</a></li> <li>• In general, grantees should not employ, or permit host agencies or employers to apply, practices that can have a disparate impact on participants unless they are job-related for the position in question and consistent with business necessity. For convictions, the EEOC states that this standard requires a determination of: <ul style="list-style-type: none"> <li>○ the nature and gravity of the offense or conduct</li> <li>○ the time that has passed since the offense or conduct and/or completion of the sentence</li> <li>○ the nature of the job held or sought</li> </ul> </li> <li>• For arrests, the EEOC has said that “although an arrest record standing alone may not be used to deny an employment opportunity, an employer [or host agency, in the case of SCSEP] may make an employment decision based on the conduct underlying the arrest if the conduct makes the individual unfit for the position in question. The conduct, not the arrest, is relevant for employment purposes.”</li> <li>• Grantees must find suitable host agency assignments for participants based on their assessment and IEP; doing so requires a sensitive consideration of the participant’s criminal background. Grantees should only ask such questions after participants have been determined eligible and only if the questions are necessary for the types of assignments being considered. If a host agency is justified in requiring information about a participant’s criminal background,</li> </ul>

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		the grantee may disclose it with the participant's permission. If the participant does not consent to the disclosure or the host agency refuses to accept the participant, the grantee is required to find another community service position for which the participant's criminal record will not be an issue.
14	Start assignment date	<ul style="list-style-type: none"> <li>• Enter the date on which the participant actually commenced work with the host agency.</li> <li>• This date may be different from the assignment date if, for example, the participant attended orientation or training before reporting to the assignment with the host agency.</li> </ul>
15	End date	<ul style="list-style-type: none"> <li>• Enter the date on which the participant ended the community service assignment with this host agency. This will usually be either the date of exit or the day before reassignment to a new host agency.</li> <li>• An individual must be assigned to community service in order to be a participant. The data system assumes that a participant without an open community service assignment should have been exited. <u>Therefore, do not enter an end date for a participant unless: 1) You are assigning that participant to a new host agency; 2) You are exiting the participant; or 3) You are placing the participant on an approved leave of absence and the participant is not returning to the current host agency.</u> (See element 15a below.)</li> <li>• If the participant exits for unsubsidized employment and exercises the right of return (see Topic 1 of the Exit Form Guide), when you erase the exit, you must also immediately make a new community service assignment for the participant even if the participant is returning to the host agency he or she left to enter unsubsidized employment. You must also add an approved break in participation that lasts at least as long as the gap between assignments.</li> <li>• The three host agency dates in fields 13-15 are critically important, and great care should be taken to enter them accurately. The end date will be used to determine which host agencies are eligible for participation in the customer satisfaction survey each year and to calculate average duration of assignments.</li> </ul>
Topic 29	Assignment data for participants who do not start work at a host agency before exiting	<ul style="list-style-type: none"> <li>• There are circumstances where you have made someone a participant – taken an application, determined the applicant eligible, and assigned the applicant to a community service position – but the individual changes his or her mind and withdraws from the program before actually starting the community service assignment. In these cases, you enter the assignment date in field 13 of the CSA Form; you leave the start date (field 14) and the end date (field 15) blank. You also complete the Exit Form and identify the reason for the exit in</li> </ul>

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		<p>field 5 or 6. (Do not use field 6a of the Exit Form. Since this individual is a participant, you use the true exit reasons in fields 5 and 6.)</p> <ul style="list-style-type: none"> <li>• You are not permitted to place an applicant directly into unsubsidized employment without first assigning the individual to community service. In rare cases, a participant may find unsubsidized employment on his or her own before actually starting work at the host agency. If this occurs with any regularity, it will suggest that you are circumventing the regulation. This is likely to trigger a monitoring inquiry.</li> </ul>
15a	Approved break in participation	<ul style="list-style-type: none"> <li>• Enter here the start and end dates of any approved break in participation, such as a leave of absence without pay.</li> <li>• You should use this field to record a leave of absence when the participant is returning to his or her current host agency. In that case, you do not enter an end date for the assignment while the participant is on leave.</li> <li>• You should also use this field to record any delay of <u>more than three days</u> in reassignment when a participant has ended one host agency assignment but has not yet begun another.</li> <li>• Leaves of absence of four days or more that are properly entered into SPARQ will not be included in calculating the durational limits for projects or participants. Failure to enter a leave of absence will work to the disadvantage of the grantee and of the participant.</li> <li>• SPARQ permits you to enter multiple breaks in participation for a single assignment.</li> <li>• Because leaves of absence affect eligibility and performance, the various fields that establish a valid break in participation are subject to data validation.</li> </ul>
15b	Reason for approved break in service	<ul style="list-style-type: none"> <li>• Indicate the reason for the leave of absence or other approved break in participation.</li> <li>• You may select only one reason for an approved break in participation. Data validation is required for this element.</li> </ul>
Topic 30 (Revised)	Leave of absence/approved break in participation	<ul style="list-style-type: none"> <li>• Grantees are required to have a policy governing approved breaks in participation, including breaks for necessary sick leave. Most sick leave policies include time for medical appointments, but it is up to each grantee to define its own policy. Compensation may be in wages or in the form of made up work time. The policy must be in writing and should clearly describe the consequences if a participant violates the policy. The policy should also be referenced in the grant. Violation of the policy would be grounds for termination and should be subject to the grantee's grievance procedure. See Section 641.580(d) of the regulations. Participants should acknowledge in writing their receipt of the policy.</li> </ul>



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		<ul style="list-style-type: none"> <li>• Grantees must provide necessary sick leave to participants. Grantees must decide what constitutes necessary sick leave and if it is paid or in the form of rescheduled work time.</li> <li>• Participants are not federal employees and are not subject to the protections afforded to federal employees. However, before you conclude that participants are not employees under state law and thus are not covered by federal or state policies providing for leaves of absence that apply to employees in your state, you should check with the relevant state authorities such as the Labor Department or the Attorney General.</li> <li>• A participant on an approved break is still a participant. If the participant is returning to the host agency where last assigned, do not end the current assignment, but use field 15a to record the dates of a leave of absence. If the participant is not returning to the current host agency and you have ended the assignment, this field establishes that the participant is still enrolled in the program while he or she is between host agency assignments.</li> <li>• If you do not have a suitable host agency assignment for a participant and you do not expect to have one within a reasonable period, you must place the participant on a leave of absence. You cannot terminate an applicant except as allowed by law and your grantee termination policy.</li> </ul>
Topic 31 (New)	When should participants be put on approved break	<ul style="list-style-type: none"> <li>• The regulations provide that an approved break that is taken under the grantee’s policy and that is properly entered into SPARQ will not count toward either the individual participant durational limit of 48 months or the average project duration of 27 months. Grantees should have a policy governing approved breaks in participation, including breaks for necessary sick leave and breaks for administrative reasons. The policy should be in writing and should clearly describe the consequences for a participant who violates the policy. The policy should also be referenced in the grant. Violation of the policy would be grounds for termination (if the grantee’s termination policy so provides) and should be subject to the grantee's grievance procedure. See Section 641.580(d) of the regulations. Participants should acknowledge in writing their receipt of the policy.</li> <li>• In general, participants should be placed on approved break when: 1) they are still enrolled but not assigned to any host agency; or 2) are assigned to a host agency but are not going to be compensated (either in pay or made-up time). The action leading to an approved break may be initiated by the participant or the grantee. Here are some examples of when participants should and should not be placed on an approved break:</li> </ul>

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		<ol style="list-style-type: none"> <li>1. A current participant must either be assigned to a host agency or be on approved break. The rule requires you to make the new assignment or enter an approved break within four days of ending the last assignment. If an assignment has ended and you do not assign the participant to another host agency or exit the participant, SPARQ will reject the record unless you place the participant on an approved break.</li> <li>2. If a participant is still assigned to a host agency but is going to be uncompensated for a break in his or her standard work week that lasts longer than three days, you should place the participant on an approved break. If the participant is uncompensated for an entire quarter, i.e., has no CSA or training hours recorded for that quarter, SPARQ will reject the record unless the participant is put on an approved break.</li> <li>3. Participants who will be compensated (either by pay or by being allowed to make up the lost time) for lost work time (including time lost due to a federal holiday or necessary sick leave) should not be placed on approved break since they are still assigned to a host agency and will receive compensation. Any participant who works what the grantee defines as the standard work week or will ultimately be compensated for the standard work week does not experience a break in participation at all.</li> <li>4. Participants can and should be placed on approved break for administrative reasons if the grantee puts them on non-pay status. For example, if a participant fails to show up at the host agency in violation of the grantee’s attendance policy and fails to respond to the grantee’s efforts to determine the participant’s status, the grantee may close the host agency assignment as of the last day of work, put the participant on administrative leave, and begin the termination process under the grantee’s termination policy. Similarly, if the grantee is compelled to remove the participant from the host agency for misconduct and does not assign the participant to another host agency, the participant should be put on break for administrative reasons pending final action.</li> </ol>
Topic 32 (New)	Participant on worker’s compensation	<ul style="list-style-type: none"> <li>• As with all issues regarding employees' rights, grantees must check state law to determine what, if any, right a participant on worker’s compensation may have to job retention or to reinstatement. Assuming no state law issues, SCSEP policy requires grantees to make every effort to return an injured participant who has been released by his or her doctor to the prior host agency assignment if it is still available and appropriate to the participant’s needs, or to another appropriate assignment with the same host agency or with a different host agency if the original assignment is no longer available or appropriate. The IEP should be updated to</li> </ul>

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		<p>reflect the participants’ status, capacity, and employment goals at the time the participant is able to return to work.</p> <ul style="list-style-type: none"> <li>• Grantees should have a written policy governing breaks in participation that is approved as part of their grant application. The policy should cover leaves for personal reasons and sick leave. The policy should also spell out participants’ entitlement to reinstatement following a worker’s compensation injury or illness. Grantees may not include in their policies any provisions that would deny injured participants the right to appropriate reinstatement.</li> <li>• Since SPARQ allows grantees to record multiple breaks in participation, the best way to handle a participant on long-term worker’s compensation leave is to put the participant on an approved break in participation. This will not have adverse consequences for the grantee or the participant because the time spent on approved break does not count against the average project duration or the individual participant durational limit. If, after a reasonable period as set forth in the grantee’s policy (for example, 90 days for a worker’s compensation leave), there is no indication of when the participant will be released to work, the grantee could fill the position with a new enrollee, leaving the participant on approved break. When the participant is released, he or she would be reassigned to a host agency immediately or as soon as there are sufficient funds available. Since the participant would not lose his or her status as a participant, there would be no need to put the participant on the waiting list and go through a re-enrollment process. This approach is consistent with SCSEP policy and fully protects the rights of participants without tying the hands of the grantee.</li> <li>• Of course, a participant on indefinite leave can always choose to voluntarily terminate, especially if the grantee policy provides for re-enrollment if the participant is ultimately released by his or her doctor and is otherwise eligible.</li> </ul>
Topic 33 (Revised)	Reinstatement of participants after workers’ compensation leave	<ul style="list-style-type: none"> <li>• Grantees are required by Section 504 of Title V and Section 641.565(b)(1)(iii) of the SCSEP regulations to provide workers’ compensation coverage for all participants. Legally, whether the participant is entitled to be restored to his or her host agency position is a matter of state workers’ compensation law. Under state law, a worker may be entitled to reinstatement to his or her original job if it is still available. If it is not available, the worker may be entitled to another suitable and available position. Grantees should check with the relevant state officials or their own attorney to determine their obligations under state law.</li> <li>• As a matter of SCSEP policy, grantees should make every effort to return an injured participant who has been released by his or her doctor to the prior host agency assignment if it</li> </ul>

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		<p>is still available and appropriate to the participant’s needs or to another appropriate assignment with the same host agency or with a different host agency if the original assignment is no longer available or appropriate. If the grantee is over-enrolled and cannot accommodate the participant at the time of the doctor’s return-to-work release, the participant should remain on an approved break until the participant can be given a new assignment.</p> <ul style="list-style-type: none"> <li>• Grantees should have a written policy governing breaks in participation that is approved as part of their grant application. See Topic 31 above. The policy should cover leaves for personal reasons and sick leave. The policy should also spell out participants’ entitlement to reinstatement following a workers’ compensation injury. Grantees may not include in their policies any provisions that would deny injured participants the right to reinstatement.</li> </ul>
Topic 34 (New)	Participants for whom no host agency assignment is suitable	<ul style="list-style-type: none"> <li>• Since SPARQ allows grantees to record multiple breaks in participation, termination where the grantee cannot find a suitable host agency is not necessary or appropriate. If the participant is at fault and thus cannot remain at the host agency due to his or her actions or behavior, the participant can be terminated for cause under an approved grantee policy. This would include disruptive, insubordinate, abusive, or similar behavior.</li> <li>• On the other hand, if the participant is not at fault but has difficult personal circumstances to accommodate, the participant can be placed on an approved break while the grantee attempts to identify an appropriate host agency assignment. After a reasonable effort, the grantee may fill the participant’s position while leaving the participant on approved break and continuing to look for an appropriate assignment. Once an appropriate assignment is located, the participant can be reassigned. This will not have adverse consequences for the grantee or the participant because the time spent on approved break does not count against the average project duration or the individual participant durational limit.</li> <li>• Of course, if it appears that no appropriate host agency will be forthcoming, the participant can always choose to exit for personal reasons. These are rare situations so having the participant on approved break should not prove burdensome to the grantee.</li> </ul>
15c (New)	Comments on approved break in participation	<ul style="list-style-type: none"> <li>• You may use this field to record any additional information about the approved break in participation. You may enter up to 1000 characters (about 160 words).</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 35	Federal holidays	<ul style="list-style-type: none"> <li>• The 2006 amendments to the OAA provide that grant funds can only be used for specified fringe benefits, including compensation for scheduled work hours during which a host agency’s business is closed for a federal holiday.</li> <li>• Grantees may choose to pay wages for the federal holiday or allow the participant to reschedule the lost hours to a day when the host agency is open.</li> </ul>
Topic 36 (New)	Uniform application of benefits; compensation as pay or rescheduled time	<ul style="list-style-type: none"> <li>• Regardless of the structure they use for delivering services at the local level, grantees are responsible for meeting the terms of their grant and for ensuring compliance with all SCSEP program rules, policies, and procedures. Grantees are specifically responsible for ensuring that rules regarding benefits are applied uniformly to all participants.</li> <li>• To provide grantees maximum flexibility in designing benefit programs, the regulations permit each grantee to determine whether "compensation" for federal holiday leave (and for necessary sick leave) will be paid or in the form of rescheduled work time. DOL has determined that the grantee may establish a uniform policy throughout the grant or it may allow each of its sub-recipients to determine the nature of the compensation. The decision about whether to allow local choice rests solely with the grantee, subject to these conditions:               <ol style="list-style-type: none"> <li>1. At both the grantee and sub-recipient level, the options are limited by the regulation to pay or making up lost time. No other options are permissible. Whatever the form of the “compensation,” it is only required under the regulation if the host agency is closed for a federal holiday and the participant cannot work for that reason.</li> <li>2. Regardless of whether the grantee or the sub-recipient decides the form of the compensation, sub-recipients must apply the policy uniformly to all participants in their project.</li> <li>3. Grantees must ensure that sub-recipients follow the approved policy and apply it uniformly. That includes proper notice to participants in orientation and handbook materials.</li> </ol> </li> </ul>
Topic 37	End date when re-assigning a participant to a new host agency	<ul style="list-style-type: none"> <li>• The movement of a participant from one host agency to another is a reassignment. In SPARQ, you have three days after closing a host agency assignment to start a new assignment for that grantee.</li> <li>• If you do not think that you can assign the participant to the new host agency within three days, you have only one effective choice: You should place the participant on an approved break in participation (see Element 15a and Topic 31 above).</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 38 (Revised)	Durational limits	<ul style="list-style-type: none"> <li>• The 2006 amendments to the OAA imposed two distinct durational limits: average project duration (APD) for grantees; and individual durational limits (IDL) for participants.</li> <li>• Grantees are limited to an average project duration of 27 months for all participants in the aggregate. Each spring, as part of the grant application, grantees may seek an extension of the 27-month average duration to 36 months for the coming program year. <u>This 27-month average project duration does not apply to any individual participant. See Topic 73 of the Participant Form Guide for managing APD.</u></li> <li>• Regardless of durational limits, a grantee may not enroll job-ready participants. If a participant has been in another grantee's project for a considerable time, the participant may be job-ready. In that case, the participant may not be enrolled by the new grantee but must be referred to the American Job Center.</li> <li>• Separate and apart from the average grantee durational limit, individual participants have a lifetime durational limit of 48 months with any and all projects and any and all grants, including ARRA, regular SCSEP grants, and additional grant funds. Grantees may seek an extension of the 48-month duration for individual participants.</li> <li>• The Waiver of Durational Limit (WDL) management report in SPARQ is designed to help grantees manage individual durational limits, and the QPR displays the average project duration for each grantee and sub-grantee.</li> <li>• Grantees are required to have an individual durational limit (IDL) policy that adopts one of three possible durational limits for individual participants: 48 months with no possibility of an extension; 48 months with the possibility of an extension for participants who have any one of the 7 waiver factors; and 48 months with the possibility of an extension under certain conditions, e.g., the participant must have certain specified waiver factors or the participant may only receive one 12-month extension. See Form Heading 5 and Topic 131 of the Participant Form Guide.</li> <li>• Participants must be informed of the durational policy (including the possibility of an extension, if applicable under the grantee's policy) at the time of enrollment and annually thereafter. (It is always good practice to obtain a signed acknowledgement from all participants that they have received notice of the policy.) Participants who are approaching their durational limit and are unlikely to find unsubsidized employment prior to exit must be provided with transition services. The transition plan must be reflected in the participant's IEP.</li> </ul>

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		<ul style="list-style-type: none"> <li>• Both limits are calculated from July 1, 2007, or the date of enrollment, whichever is later. They include any and all enrollments in any SCSEP grant and with any grantee. The calculation excludes time on an approved break in participation. The individual durational limit date (DLD) for someone who has no approved breaks in participation or other complications, including prior enrollments, will be the day before the date of initial assignment plus four years. So, if the initial assignment date were June 1, 2013, the DLD would be May 31, 2017. Guidance on the durational limits is available on the Community of Practice.</li> </ul>
Topic 39 (New)	Extensions of individual participant duration	<ul style="list-style-type: none"> <li>• A grantee must determine through its durational limit policy whether participants are entitled to an extension and, if so, under what conditions. Grantees are required to include their durational limit policies in their annual grant applications; they are also permitted to request a modification of their policies during the program year. Any change in policy can only be effective at least 120 days after DOL has approved it, and the grantee must inform all affected participants of the change. A grantee can adopt a policy of allowing no extensions, only one extension or a limited number of 12-month extensions, or infinite extensions. A grantee can permit an extension for any one of the statutory waiver factors or may allow only certain waiver factors to be considered.</li> <li>• There is no particular approach required for notifying participants of the possibility of an extension of your durational policy. However, it is good practice to state the nature of any extension in your durational policy – that it is good for only 12 months (but may be renewed if the policy so provides and the participant qualifies), that participants must continue to meet all the other eligibility requirements, and that the grantee is not obligated to offer an extension the following year – which you must give to each participant. You can have participants sign an acknowledgement of the policy when you give it to them. It is also helpful to reiterate these caveats in the letter informing an individual participant that the extension has been granted.</li> <li>• DOL has issued numerous administrative guidances and training resources on durational limits and the extension process, including in the TEGs for the annual grant application.</li> </ul>
Topic 40 (New)	Paying participants who work beyond their durational limit date	<ul style="list-style-type: none"> <li>• The SCSEP statute and regulations require that grantees/sub-grantees pay participants for all work performed at the host agency. Grantees are required to have systems in place to ensure that all participants who are approaching their durational limit are identified in a timely manner and are properly granted an extension, if eligible, or are properly exited. SPARQ has tools that were designed specifically for this purpose. If the grantee/sub-grantee, through its</li> </ul>

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		<p>own negligence, failed to exit the participant on time, or, through miscommunication with the host agency, allowed the participant to work at her community service assignment after she was exited, you are required to pay wages for the time actually worked. If the host agency was negligent or acted in violation of its agreement with you, you may have recourse against the host agency, but that is a matter between you and the host agency.</p> <ul style="list-style-type: none"> <li>Although the payment of participant wages is an allowable cost, grantees are not supposed to incur costs for serving individuals who are no longer eligible. Therefore, depending on the circumstances, the additional wages that you pay to participants who have exceeded their durational limit may constitute disallowed costs.</li> </ul>
Topic 41 (New)	OJE or other paid training after durational limit date	<ul style="list-style-type: none"> <li>Older Worker Bulletin 04-04, which governs training provided to participants, states that only eligible SCSEP participants may receive an OJE. Participants must remain assigned to a host agency while the training takes place. An OJE may not extend beyond, or be initiated after, the actual exit or the durational limit date, whichever is sooner. The same is true for other forms of paid training. An exception is allowed where the participant has qualified for an extension of the durational limit under the grantee's policy and the extension is entered into SPARQ on or before the durational limit date.</li> </ul>
Topic 42	Re-enrollment	<ul style="list-style-type: none"> <li>Grantees should make sure that their policies address the issue of re-enrollment, specifically under what circumstances a participant may be re-enrolled and what is the effect of re-enrollment on durational limits for program participation.</li> <li>The participant does not have a right to re-enrollment. Re-enrollment is discretionary. If the participant was terminated for cause, or became job-ready during the prior enrollment, you should not re-enroll him or her. (See Topic 69 of the Participant Form Guide.)</li> </ul>
Topic 43 (Revised)	Host agency rotations	<ul style="list-style-type: none"> <li>Although grantees are permitted to have host agency rotation policies, rotation must be based on an individualized assessment of the needs of each participant and must be consistent with the participant's IEPs. The IEP should determine when a participant should be reassigned to another host agency. Although the IEP is a joint effort and participant preferences are entitled to consideration, the critical factor in assigning or reassigning a participant to a host agency is the sub-grantee's determination of where the participant can best acquire the needed skills to become self-sufficient.</li> <li>In the case of a re-enrollment, the grantee should review the prior IEPs carefully. If the last IEP indicated that the participant acquired the expected skills at the prior host agency, it is time to assign the participant to a new host agency. If, for some reason, the ex-participant is</li> </ul>



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		<p>being re-enrolled because he or she is not job-ready and needs additional community service, it is hard to see how reassignment to the original host agency would contribute to a meaningful IEP. If the participant has already spent significant time with the prior host agency and that was not sufficient to prepare the participant for unsubsidized employment, then the participant will probably benefit from the experience of a different host agency to develop the missing skills. You must assess what skills were obtained and document in the new IEP the skills that remain to be addressed and how the new assignment will provide them.</p>
16 (New)	Participant assigned to:	<ul style="list-style-type: none"> <li>• Complete this field for the last assignment that the participant had with this host agency.               <ul style="list-style-type: none"> <li>○ Enter (i) if the participant is assigned to the grantee or to a sub-recipient/local project of the grantee.</li> <li>○ Enter (ii) if the participant is assigned to a workforce partner, such as an America’s Job Center.</li> <li>○ Enter (iii) if the participant is assigned to a host agency that is other than (i) or (ii).</li> </ul> </li> <li>• If you select (i), you must also select value E1 in element 17.</li> <li>• Once OMB has approved the addition of this new field, it will be mandatory for all participants. If the participant is assigned to (i) or (ii), you must also complete fields 16a.1 (CSA wages per hour) and 16a.2 (average hours per week in CSA).</li> </ul>
16a.1 (Revised)	CSA wage (per hour)	<ul style="list-style-type: none"> <li>• This field captures the current wage at the community service assignment. Effective 8/10/2016, this field is required only for staff assigned to a SCSEP project office or to a workforce partner. (See element 16 above.) If you wish, you may also use this field for participants assigned to regular host agencies.</li> <li>• Grantees are required to increase wages whenever the minimum wage increases. For participant staff identified in element 16 above, this field must be updated each time the wage changes to reflect the latest wage paid to the participant at this host agency.</li> </ul>
Topic 44	Payment of minimum wage or higher	<ul style="list-style-type: none"> <li>• Section 641.565(a) of the SCSEP regulations requires that you pay at least the minimum wage applicable under the Fair Labor Standards Act of 1938; the state or local minimum wage for the most nearly comparable covered employment; or the prevailing rate of pay for persons employed in similar public occupations by the same employer, whichever is higher. Grantees must implement wage changes whenever the applicable minimum wage increases; they cannot wait until the start of the new quarter or new program year. These wages are floors and apply to orientation, required training, and community service work.</li> </ul>

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		<ul style="list-style-type: none"> <li>• You are permitted to pay a wage above any of these rates. However, the national office discourages projects from paying more than the minimum wage to any participants, including participant staff, because doing so reduces the number of participants you can serve.</li> </ul>
Topic 45	Payment of higher wages to participants assigned to project office	<ul style="list-style-type: none"> <li>• There is no rule governing the wages of participants assigned to the project office. The regulation requires you to pay all participants the higher of the applicable minimum wage or the prevailing wage. You may pay applicants more than this required amount, but you are strongly discouraged from doing so. The more you pay participants above the minimum, the fewer participants you can serve. If you do pay more than the minimum, you should do so pursuant to a policy so you are not accused of acting arbitrarily or discriminatorily.</li> <li>• DOL also strongly discourages paying higher wages to participants assigned to the project office. Grantees and sub-grantees often pay participants more than they would receive at other host agencies in order to keep the participants working for them. This practice may create a disincentive for the participants to seek unsubsidized employment and thus may be doing the participants a disservice. It also deprives other eligible seniors of the opportunity to participate in SCSEP.</li> <li>• There are other problems as well. This practice is often seen as unfairly rewarding a small class of participants and may create morale issues for other participants. In addition, participants assigned to the project office must be rotated to other jobs within the project office or to other host agencies as required by their IEP, like all other participants. When they are rotated, they lose their employment premium. This can have a negative effect on the participants' morale.</li> <li>• It is not permissible to put participants directly on the project payroll for a few additional hours each week as a way to supplement their pay. That constitutes part-time employment, which is not permitted for participants while they are in community service.</li> </ul>
Topic 46	Can SCSEP wages be garnished?	<ul style="list-style-type: none"> <li>• Nothing in federal law precludes garnishment of Title V wages. It is solely a matter of state law whether, and to what extent, SCSEP wages can be garnished in a state legal action.</li> <li>• The IRS has garnished SCSEP wages with DOL's knowledge, and DOL has not raised legal objections. The amount of the garnishment may vary depending on state law.</li> </ul>

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Topic 47	Provision of fringe benefits	<ul style="list-style-type: none"> <li>• Section 502(c)(6)(A)(i) of the 2006 amendments sets forth the required and allowable fringe benefits. These benefits include workers’ compensation, unemployment compensation if required by state law, physical exams, certain federal holidays, and necessary sick leave.</li> <li>• Grantees may not use grant funds to provide pension benefits, annual leave, accumulated sick leave, or bonuses.</li> </ul>
Topic 48	Physical exam	<ul style="list-style-type: none"> <li>• Grantees are required to offer all participants an annual physical at the grantee’s expense. This physical, as a fringe benefit, is solely for the benefit of the participant; it may not be used for the grantee’s own purposes. If a participant declines the offer of a physical, grantees must obtain a signed waiver.</li> <li>• In limited circumstances where grantees are entitled to require a physical exam, e.g., where one is required of all participants assigned to a particular host agency position, the grantee must arrange for a separate examination at the grantee’s or host agency’s expense. Grantees may not request a copy of the annual physical exam provided to the participant as required by the OAA.</li> <li>• A grantee may impose a cost cap on physical exams as long as the grantee ensures that the participant can access the physical exam within the constraints of the cost cap. The grantee should also offer the participant the opportunity to receive the physical exam through the participant's choice of health providers and be reimbursed up to the amount of the cost cap. In addition, the grantee must provide for a waiver of the cap if required by extraordinary circumstances, e.g., the nature of the participant's host agency assignment.</li> <li>• The cost of physical exams may be charged to either the participant wages and fringe benefits (PWFB) line or the other participant costs (OPC) line. However, it generally makes sense to use the PWFB line because there is more money there. Because OPC funds can be used for training, supportive services, etc. while PWFB funds cannot be used for these purposes, OPC funds should usually be reserved for these more restrictive uses.</li> </ul>
Topic 49	Are participants entitled to unemployment compensation benefits?	<ul style="list-style-type: none"> <li>• Section 641.565(b)(4) of the SCSEP regulations provides that grantees may not pay the cost of unemployment insurance for participants <u>unless required by law</u>. Federal law, Section 3309(b)(5) of FUTA, excludes from mandatory UI coverage any service “as part of an unemployment work-relief or work-training program assisted or financed in whole or in part by any Federal agency or an agency of a State or political subdivision thereof, by an individual receiving such work relief or work training.” SCSEP qualifies for this exemption. However,</li> </ul>

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		<p>states are free to extend coverage to such programs, and a few states do so. If your state is among them, the regulation permits you to use SCSEP funds to meet your UI tax obligation.</p> <ul style="list-style-type: none"> <li>• There are two separate issues regarding UI benefits for participants. Former participants who are collecting UI benefits may or may not be receiving benefits based upon their participation in SCSEP. Depending upon when they last worked in covered employment and when they were enrolled in SCSEP, their UI benefits may be based on their prior employment and not on their SCSEP participation. Current participants collecting UI are probably collecting on the basis of prior employment, not current SCSEP enrollment. Federal law provides that a UI claimant who is otherwise eligible for benefits cannot be denied benefits because he or she is currently enrolled in a job training program. UI benefits are also excluded income for purposes of SCSEP eligibility determinations.</li> <li>• Contact your state UI agency to learn what the law is in your state and which wage credits were used to establish UI claims for SCSEP participants. If the wage credits came from prior employment, you have no tax liability. If the wage credits came from SCSEP participation, then you should discuss with the UI officials whether there is a basis under state law for exempting participants from coverage because they are trainees under a job training program and not employees. (You might also confer with other state and national sub-grantees in your state. UI determinations are sometimes inconsistent, especially for issues that seldom occur. Another sub-grantee may have gotten a different result.) You have the right to appeal any adverse determination. If you are ultimately unsuccessful, you should discuss with the UI officials the options you have as a non-profit organization to minimize your tax burden.</li> <li>• You can use this link to find the UI agency for your state: <a href="http://workforcesecurity.doleta.gov/map.asp">http://workforcesecurity.doleta.gov/map.asp</a></li> <li>• NOTE: If participants had recent, ongoing work (as opposed to sporadic, short-term, or seasonal work) in an employment relationship prior to applying for SCSEP, they may well have been job-ready. Job-ready applicants are not eligible for SCSEP and should be referred to the American Job Center. If job-ready participants were inadvertently enrolled, their IEPs should reflect the goal of unsubsidized employment as soon as possible.</li> </ul>
Topic 50 (New)	Employer mandate under the Affordable Care Act	<ul style="list-style-type: none"> <li>• The employer mandate in the Affordable Care Act applies only to employers that have 50 or more full-time employees in the preceding year. The implementation of the penalties under the employer mandate was delayed until January 1, 2015, for employers with over 100 employees and until January 1, 2016, for employers with 50-99 employees.</li> </ul>

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		<ul style="list-style-type: none"> <li>• A full-time employee is defined as “an employee who is employed on average at least 30 hours of service per week.” The Internal Revenue Service determines whether individuals are employees for purposes of the ACA. Grantees should contact IRS directly if they need more information about their status under the employer mandate.</li> <li>• HHS has an excellent web site for people seeking healthcare and for the organizations helping them at <a href="http://healthcare.gov">healthcare.gov</a>. You might also want to view the Webinar “Helping Job Seekers &amp; Workers Access New Affordable Health Insurance Options” at <a href="https://www.workforce3one.org/command/view.aspx?look=5001323130411806022&amp;mode=info&amp;pparams=">https://www.workforce3one.org/command/view.aspx?look=5001323130411806022&amp;mode=info&amp;pparams=</a>. In addition, TEN 2-13, “Preparing for the New Health Insurance Marketplace Coverage Options” may be helpful.</li> </ul>
Topic 51	Effect of SCSEP wages on unemployment compensation benefits	<ul style="list-style-type: none"> <li>• Many state unemployment laws permit an unemployment compensation recipient to work part-time and receive a reduced unemployment compensation benefit. Unemployment laws also permit a participant to be enrolled in an approved training program without jeopardizing their unemployment compensation benefits.</li> <li>• UI recipients are required to report all earnings to the unemployment compensation department. Failure to do so may be considered fraud and will certainly result in an overpayment if state law requires a reduction in UI benefits based on SCSEP wages. All participants receiving UI benefits should be told to report their SCSEP participation and wages to the unemployment compensation department at the time of enrollment.</li> <li>• Check with the state unemployment department to see whether it considers SCSEP participants to be trainees who should not be treated as employees.</li> </ul>
Topic 52	Effect of SCSEP wages on Supplemental Nutrition Assistance Program (SNAP), federal housing programs, Medicaid, and other programs	<ul style="list-style-type: none"> <li>• Section 509 of the Older Americans Act precludes SCSEP wages from affecting eligibility only for federal housing programs (See TEGL 17-13 and the HUD regulations at 24 CFR sections 960.225) and Food Stamps, now known as Supplemental Nutritional Assistance Program (SNAP) benefits. How SCSEP wages are treated for all other state and federal programs depends upon the rules of the specific programs.</li> <li>• It does not appear that there is anything in the federal Medicaid rules that would specifically provide for the exemption of SCSEP wages. Medicaid is a federal-state partnership in which the states have a fair amount of discretion in setting income and asset limits for different classes of beneficiaries. To determine what income your state counts for Medicaid eligibility purposes, you should contact your state social services agency.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• There are very generous rules for individuals with a disability who are working. There are also programs in many states under which an individual can earn an amount over the normal limits and “buy-in” to Medicaid for a small amount to maintain their Medicaid benefits, including personal assistance services for the home and workplace. All SCSEP participants with a disability should be made aware of these Medicaid programs and informed of what assistance is available in their state.</li> </ul>
16a.2 (Revised)	Number of hours per week assigned	<ul style="list-style-type: none"> <li>• This field captures the average number of hours per week at the community service assignment. This field is now required only for staff assigned to a SCSEP project office or to a workforce partner. (See element 16 above.) If you wish, you may also use this field for participants assigned to regular host agencies.</li> <li>• Enter the average number of hours per week that the participant is assigned to this host agency. You do not have to update this field with the actual number of hours worked each week unless the average hours assigned changes. For participant staff identified in element 16 above, if the average number of hours assigned does change, you must enter the new average, over-writing the existing number.</li> </ul>
16b	Participant’s schedule	<ul style="list-style-type: none"> <li>• This text field permits you to enter the days of the week and hours of the day when the participant is expected to be working at the host agency. The field is for your convenience.</li> <li>• The participant’s schedule is displayed in management reports. For this reason, you may wish to use simple abbreviations that will be consistent in the report displays, e.g., M-F, 9-12.</li> </ul>
Topic 53 (New)	Host agency work schedule	<ul style="list-style-type: none"> <li>• There is no requirement for the number of hours or days per week that a participant must work at a host agency as long as the hours are part-time. See Topic 58 below for a discussion of hours per week and per year. Although four or five days per week are probably the norm, it is up to grantees to establish working conditions at the host agency that are appropriate for the participants and reasonable for the host agencies. Those working conditions, including the number of hours per day and days per week, should be spelled out in the host agency agreement or the participants' job descriptions.</li> <li>• For many participants, three days per week might be perfectly reasonable. However, given the age and physical condition of some of our participants, nearly 7 hours per day on average might be too demanding for some. If so, you would have an obligation to find new assignments for those participants.</li> </ul>

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16c	Date of safety consultation with the participant	<ul style="list-style-type: none"> <li>• Unlike the date of host agency monitoring visit, which relates to the entire host agency, this field is specific to the participant. It records the date of the last safety consultation with this participant on-site at this host agency.</li> <li>• The safety consultation should be performed on an annual basis to ensure that the participant has a safe working environment, as required by the OAA. See the Programmatic Assurances incorporated into all grants, Attachment C-2 of the PY 2016 Grant Plan Instructions and Allotments, Community Service Assignment (CSA).</li> </ul>
16d	Does participant engage in volunteer work (in addition to the community service assignment) during enrollment? If yes, total number of volunteer activities	<ul style="list-style-type: none"> <li>• This field is used solely for informational reporting. It is not used for calculating the additional measure on volunteerism. In addition to the measure, DOL will report on all exiters who volunteered before, during, or after their SCSEP enrollment. See Form Heading 3 below.</li> <li>• Select “yes” if the participant engaged in formal volunteer work at any time while enrolled and in any host agency assignment. Formal volunteer work is defined as:  <div style="margin-left: 20px;">Activities or work that former participants perform for a public agency of a State, local government or intergovernmental agency, or for a charity or not-for-profit organization, including faith-based or community-based organizations, for civic, charitable, or for humanitarian reasons, and without promise, expectation, or receipt of compensation.</div> </li> <li>• It does not include informal volunteer work that an individual performs on his or her own and not through an organization.</li> <li>• If the participant engaged in volunteer work outside of the participant’s own host agency at any time during the community service assignment, enter the total number of organizations for which the participant volunteered. Count separate organizations, not jobs within each organization.</li> <li>• Answer this question for each host agency with which the participant is assigned.</li> <li>• The total number of volunteer activities is cumulative across all host agency assignments. Only the number listed in the last host agency assignment will be used in the report. Therefore, if the participant has a second host agency assignment (or any number of additional assignments), grantees must determine if the participant is now volunteering at another organization and, if so, must increase the count listed for the prior host agency assignment. The count is increased even if the participant has discontinued one of the volunteer activities listed for the prior assignment. If the participant is not engaging in any new volunteer work</li> </ul>

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		<p>while in the new host agency assignment, then enter the same number of volunteer activities listed for the prior host agency assignment.</p> <ul style="list-style-type: none"> <li>• Grantees must collect this information at the time of first assignment and must update it at each new assignment, each recertification, and the time of exit.</li> <li>• A “yes” answer should never be updated to a “no” (or the cumulative number of volunteer activities decreased) unless you are correcting an error. The total number of volunteer activities should be updated as it increases.</li> </ul>
Topic 54	Volunteering at the host agency after exit	<ul style="list-style-type: none"> <li>• Topic 25 above states that a participant may not volunteer at his or her own host agency while enrolled. This applies even if the volunteer work involves different duties or a different division of the host agency from the one at which the participant is assigned. However, once the participant has completely left the host agency, either for another assignment or to exit the program, the participant can volunteer at a host agency at which he or she has previously been assigned.</li> </ul>
Topic 55	What does compensation mean? Does it include a stipend?	<ul style="list-style-type: none"> <li>• The regulation says that the work must be performed “without promise, expectation, or receipt of compensation.” Compensation is money received for performing the volunteer work. Compensation includes a stipend even if such a stipend would not be considered income for purposes of SCSEP eligibility. Compensation does not include reimbursement of or an allowance for expenses incurred in the course of volunteering.</li> </ul>
17	Community service assignment code	<ul style="list-style-type: none"> <li>• Enter only one code for the type of community service to which the participant is assigned.</li> <li>• The codes are divided into two main categories: service to the general community and service to the elderly community. If the type of assignment you need is not listed, enter the appropriate code for “other,” either G14 or E14, depending on whether the service is to the general community or the elderly community.</li> <li>• The codes reflect the nature of the work the host agency does rather than the participant’s specific occupation or title. For example, a receptionist working for a visiting nurse association would be coded G2, while a bus driver for a senior center would be coded E5.</li> <li>• If the participant is assigned to the grantee’s or sub-grantee’s project office, you must select value E1, Project Administration, as the community service assignment code.</li> </ul>



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18	Community service assignment title	<ul style="list-style-type: none"> <li>• Enter the title of the community service position to which the participant was assigned as determined by the host agency. This should be a descriptive title, such as receptionist, nutrition aide, or bus driver. No occupational code is required.</li> <li>• You do not create a new community service assignment when the participant remains at the same host agency but the participant's job duties and title change. You can update fields 18 and 19 to reflect the new job title. Field 17, the Community Service Assignment Code, should not change. The code defines the host agency, not the participant's particular job with the host agency.</li> </ul>
18a	Participant's job code	<ul style="list-style-type: none"> <li>• You may enter only one of the pre-defined codes to indicate the particular job assignment that the participant has at this host agency. If the job changes, you may select a new job code.</li> </ul>
18b	Participant's workers' comp. code	<ul style="list-style-type: none"> <li>• Grantees may designate state-based workers' compensation codes for use by their sub-grantees. There is no nationwide list of codes.</li> </ul>
Topic 56	Cash handling assignments for participants	<ul style="list-style-type: none"> <li>• There is no SCSEP rule that prohibits the assignment of participants to community service positions involving the handling of cash. It is possible that some grantees have had an unofficial policy to this effect. If so, they have done so without the approval of the national office. Such a policy has the appearance of discrimination and would have to be supported by clear, non-discriminatory justification. A grantee should obtain approval from the national office before imposing any such restriction.</li> </ul>
19	Total hours paid in quarter	<ul style="list-style-type: none"> <li>• If your payroll system tracks hours actually spent in community service, you should use these hours directly without deriving them from the paychecks. You are permitted to use the paycheck method described in the next bullet if it is easier for you. However, there are circumstances where the paycheck method may result in your not receiving full credit for hours worked in the community service measure.</li> <li>• For each quarter, enter the total number of hours for which the participant was paid wages as determined from the sub-grantee's wage records. To determine hours worked in the quarter, you may use all paychecks <b>issued</b> in the quarter even if the pay period extends into a different quarter. Any inaccuracy in reporting that this method causes will be balanced out during the course of the year. To accommodate the possibility that a pay period may extend into another quarter, the data system will permit you to enter hours in the quarter after the quarter in which the participant ended the community service assignment. However, if the participant's last day in an assignment is near the end of a quarter and the final paycheck is</li> </ul>

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		<p>issued in the subsequent quarter, QPR field B12 (percent of participants working 18-22 hours per week) may not give you credit for the final hours represented by that last paycheck.</p> <ul style="list-style-type: none"> <li>• Do not make any deduction for fringe benefits paid.</li> <li>• There is no place on the CSA Form to record paid leave, e.g., sick leave or paid holidays. Grantees have been allowed to use their payroll records to determine total paid hours in field 19 even if this time includes some paid time off. However, if you have the time sheets and can determine which hours were spent in community service, then you may include only those hours in field 19. <u>Do not put any paid time into field 21 except that spent in additional, paid training provided by the grantee or sub-grantee rather than by the host agency.</u></li> <li>• Enter this information only at the end of each quarter. WebDCS users may use the administrative function, CSA Hours, to view or enter all hours for all participants active during the current and previous program year from a single screen; they may view or enter hours for an individual participant directly into field 19 only for the current program year.</li> <li>• The total hours paid in the quarter must equal the sum of total paid hours in community service and total paid training hours (field 21). Training hours are a subset of total paid hours.</li> <li>• You may enter time in whole hour increments. Use normal rounding rules: Anything .5 or higher is rounded up; anything less than .5 is rounded down.</li> <li>• This information will be used to derive the total hours of community service and the community service measure.</li> <li>• Data validation is required for this element.</li> <li>• The DV eligibility sample is designed to validate only one assignment (the one with the earliest assignment date) per record in order to minimize the burden on grantees. See the instructions on the first page of Section IV and the Notes for Form Number A19 in Section IV of the Data Validation Handbook. The header for the worksheet lists the assignment date for the record. You should only validate the total hours paid (and any other fields selected for DV for that record) for that specific assignment. As long as the case file has documentation of the hours for the selected assignment, the element should pass data validation.</li> </ul>
Topic 57	Entering total paid hours when participant has two different	<ul style="list-style-type: none"> <li>• Each host agency assignment requires a separate Community Service Assignment Form. In SPARQ, that means a separate assignment record for each host agency. Data on the CSA Form is specific to that host agency assignment only. It does not include data from any other assignment. Therefore, you list in field 19 of the CSA Form the hours worked solely at that host agency during a given quarter. If the participant worked at a second host agency during</li> </ul>

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	assignments in the same quarter	<p>the same quarter, you enter the hours worked at the second host agency on the CSA Form for the second host agency. You do not combine hours and enter them on a single form.</p> <ul style="list-style-type: none"> <li>If a WebDCS user enters hours through the CSA Hours utility, all host agencies at which a participant worked during a specific quarter will be listed.</li> </ul>
Topic 58	Required number of hours in community service each week	<ul style="list-style-type: none"> <li>There is no rule governing how many hours a participant must work in community service each week. However, the cost per position is based on 21 hours of community service per week, and the national office expects that you provide everyone 20 hours per week. The community service measure uses 21 hours per week in the calculation of the denominator; and field B12 of the QPR reports the percentage of participants who work 18-22 hours per week in community service (20 hours per week, with a margin of 10% in either direction).</li> <li>There is no limit on the number of hours a participant can work in community service in a year. However, the national office considers 1300 hours per year (calculated from the date of enrollment) to be a good benchmark and encourages grantees to stay within it. Since positions are allocated to grantees based on 21 hours per week per participant, you cannot exceed the 1300-hour limit without over-spending your grant, leaving some positions unfilled, or providing some participants fewer than 20 hours per week.</li> <li>If you provide more than 20 hours per week, you will not be able to serve the number of participants required because you will not have enough money. If you provide fewer hours, participants may not get the training they need or enough wages to support themselves.</li> <li>Field B12 of the QPR lists the percent of active participants who have worked between 18 and 22 hours per week. At this time, this field is for informational purposes only; it will be revised in a subsequent release of SPARQ.</li> </ul>
Topic 59 (Revised)	Limit on number of hours for community service and paid training	<ul style="list-style-type: none"> <li>The amount of paid community service and training that a participant can receive each week is limited. Because the statute defines community service as part-time employment, paid time must be less than 40 hours each week. (SPARQ permits the entry of up to 560 hours per quarter but provides a Warning 1 when more than 553 hours per quarter are entered.)</li> <li>DOL strongly discourages providing participants additional hours of community service beyond the norm of 20 hours per week because doing so deprives other eligible seniors of the opportunity to participate in the program.</li> <li>The national office intends that the limits on OJE training contained in OWB 04-04 apply to all paid training. Paid training may not exceed 40 hours a week. If the participant is in both</li> </ul>

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		<p>community service and paid training, the total hours paid per week for both may not exceed 40. The SPARQ edits reflect these limits.</p> <ul style="list-style-type: none"> <li>All training must be described and approved in the grant agreement. The details are listed in the OWB. As a practical matter, because funds for training are so limited, you will need to set reasonable limits so that your resources are not exhausted by just a few participants.</li> </ul>
Topic 60 (New)	Reduction in hours or “layoff” of participants due to insufficient funds	<ul style="list-style-type: none"> <li>The general rule is that all participants must be treated equally. Any reduction of hours must be uniform within a sub-grantee, but there may be differences among sub-grantees for the same grantee based on funding and enrollment levels. Any reduction in hours within a sub-grantee must apply proportionately to participant staff as well as regular participants.</li> <li>If a lack of funds necessitates a substantial reduction in CSA hours, grantees should notify their FPO and the national office. In no case, may participants be “laid off” without consultation with the FPO and the national office at the earliest time there is a concern about sufficient funding.</li> </ul>
Topic 61 (New)	Can a host agency pay for additional hours?	<ul style="list-style-type: none"> <li>Wages for CSA work are the sole responsibility of the grantee/sub-grantee, not the host agency. The host agency cannot supplement the wages that participants receive from the sub-grantee. That would be improper employment of participants. Nor can participants “volunteer” to work additional hours at the host agency beyond those hours compensated by the sub-grantee even if the participants work in a different capacity.</li> <li>The host agency may directly cover additional training or related costs for its participants, including supportive services, as long as it does so uniformly and consistent with the grantee’s/sub-grantee’s policies. The host agency can also make a truly voluntary contribution of non-federal funds to the grantee that could be used by the sub-grantee to increase hours or to reduce a cut in hours for all participants within the sub-grantee. That means that the participants of the host agency would benefit to some extent from the contribution but no more than everyone else in the sub-grantee. In other words, the host agency cannot buy an increase in hours for its own participants only. Any such voluntary contribution should be reflected in the grantee’s budget and counted toward the non-federal match.</li> <li>Maintenance of effort and related issues are always lurking in these situations. It could look as though the host agency is trying to buy a number of slots for work that is essential to its operation. Host agencies are not permitted to do that.</li> </ul>

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20	Types of training received	<ul style="list-style-type: none"> <li>• Field 20 records all types of training, including OJEs, that the participant receives <u>while assigned to this host agency</u>. A participant can only receive training while assigned to community service, even if the participant is on a leave of absence from the host agency at the time of training.</li> <li>• Check as many types of training as apply and update this field as appropriate throughout the participant’s assignment with this host agency. The data in field 20 are cumulative. You never delete the information, and you add new training types when they occur.</li> <li>• If you use the optional Training Information section of the CSA Form and complete field 33, SPARQ will automatically update field 20 with the training type indicated in field 33. However, you can always update field 20 manually even if you have completed field 33.</li> <li>• Check the appropriate box(es) to indicate the type(s) of training the participant has received. If “other” is checked, specify the type(s) of training. If training was not provided, enter “none.” In this field, include only training that has been designed and provided (directly or through a training provider) <u>by the sub-grantee</u>, not routine training that is provided by the host agency as a normal part of the community service assignment. <u>Do not record any host agency training in field 20.</u></li> <li>• The definitions for the types of training listed in field 20 come from OWB 04-04. General training is defined as that which enhances a participant's basic skills. It is in contrast to specialized training, which is designed to prepare a participant for a particular job or occupation. Group meetings, e.g., workshops, could be general training, depending on the content. If you are doing solely job search or job club without any basic skills component, you should use field 20d, "Other," and list job search in the text field.</li> <li>• Data Validation is required when OJE, value c, is selected. You will also be required to fill out field 23, name of OJE employer.</li> </ul>
Topic 62	Using OJEs to transition participants to unsubsidized employment	<ul style="list-style-type: none"> <li>• Many participants are unsure of their job skills and are reluctant to leave the program for unsubsidized employment without some sort of safety net. The regulations do not permit participants to work part-time while enrolled, even if the job is designed to transition them to complete unsubsidized employment. Participants must be unemployed while they are enrolled in the program. However, the transition to unsubsidized employment can be addressed through an OJE. OJEs are designed to give both the participant and the employer a trial and to provide additional training to ensure the success of the unsubsidized employment.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• Under OWB 04-04, the participant may have a combined total of 40 hours per week in community service and OJE employment for up to 12 weeks. The participant may be enrolled in the program and receiving wages for community service while working part-time for the employer. You can also reduce the community service hours as the hours of employment increase. You must obtain approval for OJEs in your grant before you can create them.</li> <li>• The transition to unsubsidized employment can also be facilitated by the right of return. See Topic 1 of the Exit Form Guide. The right of return is designed to encourage participants to try unsubsidized employment when they may have doubts about their ability to succeed. If a participant exits the program for unsubsidized employment and does not work for a total of 30 days, you may bring the participant back into the program within 90 days of exit as though he or she had never left. If the job does not work out, the participant can come back into the program and obtain the skills and self-confidence needed to be successful in a new placement.</li> </ul>
Topic 63	OJEs are not placements	<ul style="list-style-type: none"> <li>• An OJE is a type of training, paid for with program funds, with unsubsidized employment expected at the end of the training. The OJE itself is not a placement. A participant remains enrolled in the program during an OJE, and does not exit. The performance measures are not implemented until the OJE ends, the employer has hired the participant, and the participant has exited. The start work date on the Unsubsidized Employment Form should be the first day on the employer's payroll after the OJE has ended and the participant has exited.</li> <li>• SPARQ has screens for capturing the details of any paid training provided to a participant, including an OJE. (See Elements 23-43 below.)</li> </ul>
Topic 64 (New)	OJE supervisor's time as non-federal match	<ul style="list-style-type: none"> <li>• If the supervisor is paid with non-federal funds and you can determine what portion of the supervisor's time is spent supervising a participant on OJE, you can count the value of the supervisor's time as part of your non-federal match just as you count the value of a host agency supervisor's time. All such in-kind contributions should be reflected in the grantee's budget.</li> </ul>
Topic 65	OJE with different department of existing host agency	<ul style="list-style-type: none"> <li>• The plain language of the OWB precludes your entering into an OJE contract with an existing host agency regardless of what department the OJE would be in. The SPARQ rule for creating multiple host agencies out of a single "parent" host agency was created for a different purpose and has nothing to do with OJE's. The OWB rule is designed to ensure that there is no confusion about the role of host agencies and their obligations to participants.</li> <li>• You should be able to fashion a flexible assignment with the host agency so that the purpose it wanted to serve through the OJE can be achieved through the assignment.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 66	How long a participant must be in community service before receiving specialized training	<ul style="list-style-type: none"> <li>• OWB 04-04 requires that participants be assigned to community service before they receive any training. The bulletin requires a participant to work at a host agency for at least two weeks before beginning an OJE but does not provide a specific time in community service before receiving specialized training. To be safe, you should wait at least two weeks.</li> <li>• The key is that the participant be properly enrolled in the program, which means that he or she needs and can benefit from community service in order to become job-ready. To enroll individuals, put them directly into training, and then place them violates the requirements of the program. Note also that you must have approval for specialized training in your grant agreement or a modification to the agreement. General training, such as an introduction to computers, can be provided immediately after a participant is assigned to community service.</li> </ul>
Topic 67	Participant's community service status when assigned to training only or working reduced hours in community service	<ul style="list-style-type: none"> <li>• A participant must remain assigned to a host agency in order to receive any SCSEP services, including training. If the sub-grantee wishes to provide training to a participant between host agency assignments, it should reassign the participant to a new host agency before sending the participant to training. If it is unable to make an appropriate assignment before the training begins, then it must leave the participant assigned to the first host agency and reassign the participant to a new host agency upon the completion of training.</li> <li>• The participant does not have to be actually working at the host agency at the time of the training. You may leave the participant assigned to her original host agency while the participant is in training even if the host agency is not willing to let the participant work reduced hours or to hold the position open until the training is concluded. If you do so, you would end the original host agency assignment on the date the training ends. You would then need to assign the participant to a new host agency. Alternatively, you can assign the participant to a new host agency now (ideally one that will let the participant work reduced hours while in training) and close the original host agency assignment.</li> <li>• You cannot put the participant in training if the participant is not assigned to a host agency.</li> </ul>
Topic 68	Paid training and community service hours	<ul style="list-style-type: none"> <li>• You may pay participants wages while they are in training regardless of whether WIOA provides the training or the sub-grantee uses its funds for the training. If the training is considered to be required, e.g., is in the IEP, you or a workforce partner <u>must</u> pay wages.</li> <li>• To receive training, a participant must be assigned to community service; however, there is no requirement that the participant be working at the host agency for any minimum number of hours during the training. Under the current guidance, OWB 04-04, the maximum number</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		of hours for which the participant can be paid for training, or for a combination of training and community service, is 40 hours per week. (See Topics 58 and 59). This limit may change when DOL issues the new TEGs on OJEs and additional training.
20a.1 (New)	Type of supportive service provided:	<ul style="list-style-type: none"> <li>• This new field is effective as of 8/10/2016. When OMB approves the addition of this data element, grantees must document each instance of supportive service provided to a participant during a community service assignment. The same information is collected for supportive services provided during unsubsidized employment in fields U21a-U21c.</li> <li>• You may select only one type of supportive service for each instance of supportive services provided. You may create as many instances of this element as needed to record all instances of supportive services provided at a community service assignment.</li> <li>• If the type of supportive service provided is not listed in values (i)-(vii), select (viii) (Other) and enter the type of supportive service provided.</li> <li>• If this element is valued, you must also value elements 20a.2 and 20a.3.</li> </ul>
20a.2 (New)	Date supportive service provided	<ul style="list-style-type: none"> <li>• Enter the date on which this instance of supportive service was provided. Use the standard SPARQ date format.</li> </ul>
20a.3 (New)	Supportive service provided by:	<ul style="list-style-type: none"> <li>• Indicate the entity or entities that provided this instance of supportive service:               <ul style="list-style-type: none"> <li>○ Enter (i) if the supportive service was provided by the grantee or a sub-recipient/local project of the grantee</li> <li>○ Enter (ii) if the supportive service was provided by a workforce partner, such as an America’s Job Center</li> <li>○ Enter (iii) if the supportive service was provided by both (i) and (ii)</li> <li>○ If the supportive service was provided by an entity other than (i), (ii), or (iii), select (iv) and enter the identity (not the name) of the provider; e.g., social service agency, religious organization, rather than St Joseph’s Church.</li> </ul> </li> </ul>
21	Total hours of paid training received in quarter	<ul style="list-style-type: none"> <li>• At the end of each quarter, enter the total number of hours of <b>paid</b> training that the sub-grantee provided, directly or through a training provider, to the participant. <u>Do not include any training provided by the host agency.</u> Do not include as paid training routine grantee or sub-grantee meetings; paid training should be identified in the participant’s IEP. See Topics 69 and 70.</li> <li>• WebDCS users may use the administrative function, CSA Hours, to enter all hours for all participants from a single screen. Alternatively, they may enter hours for an individual participant directly into field 21.</li> </ul>



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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• The hours in this field will be subtracted from the total number of hours paid in field 19 to derive the number of hours in community service for the QPR. You do not make this calculation. The calculation will be done for you at the time the QPR is generated.</li> <li>• The number of hours of paid training in a quarter can never be more than the total hours paid in the quarter (field 19).</li> <li>• You may enter time in whole hour increments. Use normal rounding rules: Anything .5 or higher is rounded up; anything less than .5 is rounded down.</li> <li>• Hours for all participants active during the current and previous program year can be entered and viewed via the administrative function on the WDCS main page; the record for an individual participant only shows the hours for the current program year.</li> <li>• Data validation is required for this element.</li> </ul>
Topic 69	Payment of wages for training and job search activity	<ul style="list-style-type: none"> <li>• The regulations provide that you must pay participants the minimum wage for orientation, training, and community service work. Job search activity alone, however, is not considered training. You may pay participants for engaging in job search activity, such as participation in a job club, but you are not required to do so unless the job search activity is provided in conjunction with required training. Of course, you may only provide SCSEP services, such as training or job search assistance, to participants assigned to host agencies.</li> <li>• If you do pay wages for job search activities, you must record these hours in field 21 so the hours can be deducted from total paid hours to derive the hours of community service. In field 20, you should select "d. Other" and indicate job search assistance.</li> </ul>
Topic 70	When training is considered grantee-required	<ul style="list-style-type: none"> <li>• If you specify in the IEP training that the participant will definitely take, it is considered grantee-required. (You can always list training that you discussed with the participant and that the participant may take at some point.) If you do not want to pay for training because you do not believe that it is essential, you should not list it in the IEP. If the participant nonetheless decides to take this training on his or her own, you may modify the IEP after the fact to reflect that, in addition to the required training, the participant also completed other training.</li> <li>• If job search training is provided as part of other required training, such as general job readiness, you must pay wages for the training. That does not mean that you have to pay for the actual job search component. For example, if the grantee requires that participants attend a training course for 3 hours each week and also spend 3 hours each week seeking employment with the new skills they are learning or that they contact a minimum of 3</li> </ul>

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		<p>prospective employers each week, the 3 hours spent in the class would be paid, but the time spent looking for work would not have to be paid. Note, however, that you may pay for pure job search activity even though you are not required to.</p> <ul style="list-style-type: none"> <li>You cannot avoid paying wages for required activities by paying the participant for required training but allowing or compelling the participant to work without pay at the community service assignment. However, in the negotiation of the IEP, you could agree that the participant would be on an unpaid leave of absence from the host agency while the participant attended classes. As long as the participant remains assigned to community service, even if on an approved break in participation, you can pay for the training.</li> </ul>
Topic 71	Effect of paid training on performance measures	<ul style="list-style-type: none"> <li>Although paid training is subtracted from total paid hours to determine hours in community service, grantees will not be penalized in the performance measures for providing paid training. Since the national office is encouraging the appropriate use of training, the community service measure does not include paid training in the denominator, thus holding grantees harmless for any training provided.</li> </ul>
Topic 72	Recording paid OJE hours	<ul style="list-style-type: none"> <li>OJE wages may be paid by either the sub-grantee or the employer. If paid by the sub-grantee using the regular payroll, they must be listed in field 21 so they can be subtracted from total hours paid. If paid by the employer, they should not be entered in field 21 because they are not included in field 19 and thus there is no reason to subtract them. When the sub-grantee reimburses the employer for OJE wages, the sub-grantee must use a form of payment, e.g., purchase order, that is outside of the participant payroll system. In that situation as well, the OJE hours are not included in the total hours paid in field 19. Since the hours in OJE do not need to be subtracted from the total hours paid, they should not be listed in field 21.</li> <li>Note: Pursuant to OWB 04-04, you will need to track the number of weeks in OJE to make sure that they are within the limit allowed for the method of payment you have selected.</li> </ul>
Topic 73	Hours of community service, how calculated	<ul style="list-style-type: none"> <li>Grantees do not calculate hours of community service. The program that generates the QPR will do the calculation using the information you provide in fields 19 and 21 of this form.</li> <li>If you use the payroll method to determine hours, you do not need to make any adjustment for fringe benefits received, such as vacation pay. Such benefits may be included in the total hours paid in the quarter, field 19, in order to simplify your reporting of the data.</li> </ul>
22	CSA comments	<ul style="list-style-type: none"> <li>Use this field to record any additional information about the community service assignment. You may enter up to 1000 characters (about 160 words).</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 5 (Revised)	Sub-Grantee Provided Training Information	<ul style="list-style-type: none"> <li>• This optional section of the CSA Form is for recording a single training event that occurs while the participant is assigned to this host agency. In SPARQ, a training event must always be associated with a specific host agency assignment even if the participant is on an approved break in participation during the training.</li> <li>• Complete a new Training Information section for each training event. A participant can have multiple training events for a single host agency assignment.</li> <li>• Although the rest of the CSA Form is option, for all OJEs, you must fill out the name of the OJE employer. See element 23 below.</li> </ul>
Form Heading 6	Training Provider Information	<ul style="list-style-type: none"> <li>• Fields 23-25 are entered in the Organizations utility in SPARQ. An organization can be a host agency, a training provider, or an employer, or any combination of these three types.</li> <li>• You select the training provider from the drop-down menu. If the training provider you are using is not on the drop-down menu, you can enter a new one from field 23.</li> </ul>
23	Name of training provider or OJE employer	<ul style="list-style-type: none"> <li>• Enter here the name of the organization that provided the training to the participant. If the training is OJE, enter the name of the employer providing the OJE even if the participant continues to receive wages directly from the sub-grantee.</li> <li>• Note that a host agency may not be listed as an OJE employer.</li> <li>• If you select OJE in field 20 and do not enter the employer's name in field 23, you will receive this reject in SPARQ: "On-the-job-experience (OJE)" under "Types of training received" has been checked; "Name of training provider or OJE employer" must be entered in field A23.</li> </ul>
24	Training provider or OJE employer mailing address	<ul style="list-style-type: none"> <li>• Enter the address as you want it to appear on an envelope or mailing label.</li> </ul>
25	Training provider continued availability	<ul style="list-style-type: none"> <li>• You may indicate that the organization no longer wishes to serve as a training provider or that the sub-grantee has decided it no longer wishes to continue working with this organization. There are similar fields for host agencies and unsubsidized employers.</li> </ul>
Form Heading 7	Contact Person Information	<ul style="list-style-type: none"> <li>• Fields 26-32 are entered in the Contacts utility in SPARQ.</li> <li>• The information captured by these fields is the same as that for the host agency and employer contact person. There is no field for training provider supervisor.</li> <li>• You select the contact person from the drop-down menu. If the contact person is not on the drop-down menu, you can enter a new one from field 26.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
26	Name of training provider or OJE employer contact person	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the training information screen.</li> </ul>
27	Contact person's mailing address if different from number 24	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the training information screen.</li> </ul>
28	Contact person's title	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the training information screen.</li> </ul>
29	Contact person's salutation	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the training information screen.</li> </ul>
30	Contact person's phone number	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the training information screen.</li> </ul>
31	Contact person's fax number	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the training information screen.</li> </ul>
32	Contact person's e-mail	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the training information screen.</li> </ul>
33	Types of training received	<ul style="list-style-type: none"> <li>For each training event, you can only select one value for this field. Unlike field 20 of the CSA Form, which is cumulative and reflects all training that the participant received while assigned to this host agency, field 33 captures only the specific training type provided at a single training event. You must fill out additional Training Information sections of the CSA Form if you wish to record additional training events.</li> <li>SPARQ will automatically add to field 20 any training types indicated in field 33. SPARQ will not remove training types from field 20. Therefore, if you delete a training type from field 33, you must remember to also delete it from field 20.</li> </ul>
34	Job code for which training is provided, if relevant	<ul style="list-style-type: none"> <li>You may use this field to select one of the pre-defined job codes if the training event provides training for a specific job or occupation. This field is applicable to specialized training or OJE, but not to general training.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
35	Participant's workers' compensation code in training	<ul style="list-style-type: none"> <li>Grantees may designate state-based workers' compensation codes for use by their sub-grantees. There is no nationwide list of codes.</li> </ul>
36	Start training date	<ul style="list-style-type: none"> <li>Indicate the date on which the training event began. The participant must remain assigned to the host agency to which the Training Information section is attached while in training.</li> </ul>
37	End training date	<ul style="list-style-type: none"> <li>Indicate the date on which the training event ended. This date must be no later than the end date for the host agency assignment to which the Training Information section is attached.</li> </ul>
38	Average number of hours per week of training	<ul style="list-style-type: none"> <li>Enter the average number of hours per week for which the participant is scheduled to receive training. You do not have to update this field with the actual number of hours in training each week. However, you do have to update this field if the number of hours of training scheduled each week changes.</li> </ul>
39	Average number of hours of community service per week during training	<ul style="list-style-type: none"> <li>Enter the average number of hours per week that the participant is scheduled to work at the host agency while attending paid training. You do not have to update this field with the actual hours of work performed each week. However, you do have to update this field if the number of hours of community service assigned each week changes.</li> <li>For OJEs, the total of paid training hours (field 38) plus community service hours (field 39) may not exceed 40 hours per week.</li> </ul>
40	If OJE, wages paid by	<ul style="list-style-type: none"> <li>Indicate whether OJE training wages are paid by the sub-grantee or the employer. If the wages are paid by the employer, indicate the percent reimbursed by the sub-grantee.</li> </ul>
41	Training wage (per hour)	<ul style="list-style-type: none"> <li>Indicate the hourly wage paid to the participant while in training. This field may be updated whenever the wage changes.</li> </ul>
42	Total wages paid to participant or reimbursed to employer	<ul style="list-style-type: none"> <li>Indicate the total amount of wages paid to the participant during the training event, whether paid by the sub-grantee, the employer, or both. This amount is not limited to a single quarter.</li> <li>You must continue to fill out field 21 of the CSA Form, which records the total number of paid hours of training in a single quarter. Field 21, which is mandatory, is cumulative across all training events for a participant at a host agency during a specific quarter. Field 42, which is optional, records the total dollars paid at a single training event regardless of the quarters involved.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
43	Total amount paid to training provider for provision of training (other than reimbursement to employer)	<ul style="list-style-type: none"> <li>• Indicate the total amount paid to the training provider for the provision of training for this training event for this participant. Do not include any amount paid to the participant as wages.</li> </ul>
44	Training Comments	<ul style="list-style-type: none"> <li>• Enter any comments regarding this training event. You may enter up to 1000 characters (about 160 words).</li> </ul>

# **Exit Form Guide**

## Exit Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 1	Exit Form	<ul style="list-style-type: none"> <li>• This form is used to record when a participant ends his or her last community service assignment and is no longer being paid wages.</li> <li>• “Exit” has several different meanings for the data collection and reporting system. For the performance measures, a recorded exit may not be considered final until a certain amount of time has passed. For example, if a participant has exited the program to enter unsubsidized employment, you should code the exit as due to unsubsidized employment, field 5, at the time it occurs. However, if the unsubsidized employment lasts for fewer than 30 days in the first 90 days after exit, the participant is entitled to a new host agency assignment <u>without having to re-enroll, i.e., without completing a new Participant Form</u>. See Right of Return, Topic 1, below. If the participant elects to return to the program, the “exit” will be reversed and will not be counted in the performance measures. (See field 5 below.)</li> <li>• For the <i>Common Measures</i>, an exit does not occur (and the individual is not included in the performance measures) until the participant has gone 90 days without a service from the program. Therefore, an individual who exits but receives a SCSEP service (which requires a new host agency assignment) within 90 days <u>through re-enrollment, i.e., with a new Participant Form</u>, will be excluded from the Common Measures. In this case, however, the original SCSEP “exit” will remain and a new record will be created to reflect the re-enrollment. The exercise of the right of return also means that there has not been an exit for Common Measures purposes.</li> <li>• Similarly, a participant who exits from one project but is transferred to another project has not officially exited the program and is not included in the performance measures until the participant has truly exited the project to which he or she was transferred. The movement of a participant from one sub-grantee to another sub-grantee within the same grantee is not an exit but is also recorded on the Exit Form. (See Topic 14 below and field 6a below.)</li> <li>• Normally, once an individual exits, he or she cannot become a participant again without re-enrolling. Re-enrollment requires the completion of a new Participant Form and a new Community Service Assignment Form. (See field 5 and Topic 1 below for an exception.)</li> <li>• Do not use the Exit Form to record that a participant is on an approved break in participation, field 15a of the Community Service Assignment Form. Such an individual is still a participant. If the participant decides not to return from the leave and to cease participation in the program, you will record the exit at that point. The date of exit will be the date on which the participant decides not to return, not the date of the original leave.</li> </ul>



## Exit Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
3	Participant mailing address (if changed)	<ul style="list-style-type: none"> <li>• At the time of exit, it is essential to verify and update the participant’s mailing address and telephone number. If there has been no change, leave this field blank.</li> <li>• If the applicant does not have a residence, try to obtain an address at which the applicant can receive mail. The mailing address fields will be used to generate letters and mailing labels for the customer satisfaction survey. Be sure to enter the information as you want it to appear on the envelope. “County” will not be used for mailing.</li> <li>• You can update the mailing address in this field of the hard copy form. However, in the WebDCS, updating of participant information (other than name and Social Security number) must be done on the Participant Information screen, which you access from the Enrollment section on the main page of the Participant Form.</li> </ul>
4	Phone number of participant (if changed)	<ul style="list-style-type: none"> <li>• If there has been no change, leave this field blank.</li> <li>• If no home phone, try to obtain a number where a message can be left with a friend, neighbor or family member. If none, leave blank. Do not enter N/A or dummy data into this field.</li> </ul>
5	Exit due to unsubsidized placement?	<ul style="list-style-type: none"> <li>• Check “Yes, regular employment” if the participant exited into a full- or part-time job with an unsubsidized employer and the participant’s salary is not paid with program funds. There is no minimum number of hours per week required.               <ul style="list-style-type: none"> <li>○ An OJE is not considered unsubsidized employment. A placement does not occur until the OJE has ended, the participant has exited the program, and the employer has officially hired the participant.</li> </ul> </li> <li>• Check “Yes, self-employment” if the participant exited the program to engage in self-employment. A self-employed individual includes someone who operates a business or profession as a sole proprietor, partner in a partnership, independent contractor, or consultant. An activity qualifies as a business if the primary purpose for engaging in the activity is income or profit, and the participant is involved in the activity with continuity and regularity. A sporadic activity or a hobby does not qualify as a business. Self-employment may be verified by any proof that the individual has started a business, such as tax registration, business cards or invoices, or a state license. The individual does not have to prove income from the business, but the receipt of income would suffice to establish self-employment.</li> <li>• Check “No” if the participant exited for some reason other than unsubsidized employment (field 6) or if you are closing the participant’s record for one of the non-exit reasons in field 6a. You must check “no” in field 5 before you will be allowed to enter a value in either field 6 or field 6a. SPARQ will not accept an exit unless field 5 is completed.</li> </ul>

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		<ul style="list-style-type: none"> <li>• A placement does not result in entered employment and is not included in the performance measures unless the participant is employed during the first quarter after the quarter of exit. However, you should record the exit as due to unsubsidized employment at the time it occurs.</li> <li>• A participant whose employment does not last for 30 days is entitled to re-enter the program. If the participant elects to return to the program, you must delete the exit (and any entered employment information you may have entered into field 28 of the Unsubsidized Employment Form) and create a new community service assignment. If you delete the exit, enter a note in the comments field (field 10). If the participant does not elect to return to the program, the exit remains as originally coded and no comment is required. (See Topic 1 below.)</li> </ul>
Topic 1 (Revised)	Right of return and re-enrollment: priorities/ preferences	<ul style="list-style-type: none"> <li>• The right of return is designed to afford participants a 30-day trial period in unsubsidized employment. It is limited to those participants who exit for unsubsidized employment but do not work for 30 calendar 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 as 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. You will need to create an approved break in participation (field 15a of the Community Service Assignment Form) that is at least as long as the gap between assignments. 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 that lasts until the participant is given the next available assignment.</li> <li>• The right of return is meant to give participants a reasonable trial period. If the participant was only working part-time, you should count the days actually worked to determine if the participant worked a total of 30 calendar days within the first 90 days of exit.</li> <li>• Use field 27 of the Unsubsidized Employment Form to record whether a participant who worked less than 30 days is electing to return to the program. You delete the exit reason (field 5) and the exit date (field 7) from the Exit Form, and you must delete the “yes” in field 28 of the Unsubsidized Employment Form if you have already recorded entered employment. You also fill out a new Community Service Assignment Form to document the host agency assignment, and enter an approved break in participation to covert the rime between assignments. Use the comment field on the Exit Form to explain what you have done. The participant will not be included in the outcome measures until the participant again exits the program.</li> </ul>

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		<ul style="list-style-type: none"> <li>• You can choose to re-enroll a participant who exited for any reason provided the participant is not job-ready and meets the other eligibility requirements. Re-enrollment is not limited to 90 days of exit. It does require a new application and a new Participant Form. A participant seeking to re-enroll is subject to the priorities of service in effect at the time. If there are no available slots or the re-enrolling participant is lower in priority than other applicants, you can place the re-enrolling participant on the waiting list. Re-enrollments within 90 days of exit must be recorded in field 27a of the UE Form.</li> </ul>
Topic 2	Entered employment discovered after exit	<ul style="list-style-type: none"> <li>• The performance system will count any entered employment – i.e., any employment within the first quarter after the exit quarter – regardless of whether the placement occurred at the time of exit or subsequent to exit. If you discover the placement after the participant exited, you should complete an Unsubsidized Employment Form and conduct the follow-ups as appropriate.</li> <li>• You do not change the original exit date and exit reason as entered on the Exit Form. The system will detect the placement from the Unsubsidized Employment Form.</li> <li>• It may be worthwhile to stay in touch with some participants (especially those who are most job-ready) who exit the program for personal reasons to determine whether their circumstances have changed. They may have obtained employment on their own, or they may be interested in your assistance in finding employment. If no employment has begun by the last day of the first quarter after the exit quarter, there is no reason to continue following these participants for performance measurement purposes. They count as not having achieved entered employment and will not be subject to any other Common Measures outcome.</li> </ul>
6 (Revised)	If exit is not due to unsubsidized employment, other reason for exit	<ul style="list-style-type: none"> <li>• Enter the appropriate code. Only one code may be entered for a participant. Select the reason that applies <u>at the time of exit</u>. If the participant has truly exited the program, you must select one of the nine specified exit reasons in this field. If you feel that none of the nine reasons applies perfectly, pick the reason that is closest and explain the circumstances in the comments field.</li> <li>• Non-exit reasons for closing the record are recorded in field 6a.</li> <li>• The first five selections in field 6 are negative outcomes that count against the performance measures:               <ul style="list-style-type: none"> <li>i) Moved from area</li> <li>ii) For cause, as provided in the grantee’s approved termination policy                   <ul style="list-style-type: none"> <li>○ Cause may include, but is not limited to the following:                       <ul style="list-style-type: none"> <li>○ Refusal to cooperate in recertifying eligibility;</li> </ul> </li> </ul> </li> </ul> </li> </ul>

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		<ul style="list-style-type: none"> <li>○ Inability and/or unwillingness to perform assigned duties;</li> <li>○ Unreasonable refusal to accept a different community service assignment;</li> <li>○ Unreasonable refusal to accept job referrals or cooperate with the IEP;</li> <li>○ Frequent tardiness;</li> <li>○ Falsification by the participant of time sheets or other official records;</li> <li>○ Insubordination;</li> <li>○ Obscene/abusive language or behavior;</li> <li>○ Non-compliance with substance abuse policy; and</li> <li>○ Failure to cooperate with grantee and/or host agency staff.</li> </ul> <p>iii) Voluntary Voluntary exit can occur for numerous reasons, including retirement.</p> <p>iv) Not income-eligible</p> <p>v) Durational limit Use this field to indicate an exit due to the participant’s having reached the durational limit for your project. Policies regarding durational limits must be approved by the national office.</p> <ul style="list-style-type: none"> <li>● The following four reasons for exit cause the participant to be excluded from the performance measures. The exclusion applies if these reasons exist either at the time of exit or during the four quarters following the exit quarter. If you discover the exclusion while you are doing follow-up with an unsubsidized employer, you will record the exclusion in the appropriate field of the follow-up section of the Unsubsidized Employment Form. You will not change the original reason for exit that you entered in fields 5 or 6 of the Exit Form.</li> </ul> <p>vii) Deceased</p> <p>viii) Health/medical The participant is receiving medical treatment that precludes entry into unsubsidized employment or continued participation in the program. This does not include temporary conditions or situations expected to last for less than 90 days.</p> <p>ix) Family care The participant is providing care for a family member that precludes entry into unsubsidized employment or continued participation in the program. This does not include temporary conditions or situations expected to last for less than 90 days.</p> <p>x) Institutionalized The participant is residing in an institution or facility providing 24-hour support, such as</p>

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		<p>a prison or hospital, and is expected to remain in that institution for at least 90 days. For purposes of exclusion from the Common Measures, individuals with disabilities (as defined in 29 CFR 37.4) residing in institutions, nursing homes, or other residential environments are <u>not</u> considered to be institutionalized.</p> <ul style="list-style-type: none"> <li>• An exit for health reasons that does not meet the criteria for an exclusion must be coded as voluntary, field 6(iii).</li> <li>• Note that there is no value for “other” in element 6. You will have to choose whichever specified value most closely matches the exit reason. If you believe the exit requires further explanation, you can enter a comment in field 10.</li> <li>• Data validation is required for the exclusions, fields 6(vii-x). The exclusions have specific technical standards imposed by the TEGL that establishes the rules for the Common Measures. If direct medical documentation is not provided, self-attestation or third-party attestation is permitted. For fields 6(viii) and (ix), the attestation for an exclusion from the Common Measures definition of exit based on a medical condition requires the participant or third party to attest that the participant or family member is under the care of a specific physician and has been informed by that physician that the medical condition is expected to last at least 90 days and that the medical condition prevents the participant from continuing to participate in SCSEP.</li> </ul>
Topic 3 (New)	Exit for durational limit	<ul style="list-style-type: none"> <li>• A participant who has reached the individual durational limit must be exited on the exact date on which the limit is reached. This is the date that is listed on the Waiver of Durational Limit (WDL) report. You may not allow the participant to remain enrolled beyond the durational limit date. You must give the participant 30 days’ written notice before exit and must inform the participant of his or her rights under the grantee's grievance policy. It is always good practice to have the participant sign an acknowledgment of the notice and of the right to file a grievance.</li> <li>• The records will be locked for participants who have exceeded their durational limit date (DLD) but have not gotten an extension or have not been exited within 7 days of the DLD. Grantees must request that DOL unlock the record by sending a completed form to SCSEP Help. If the record is unlocked and an exit is entered, the grantee will then be able to enter any additional information into the record, including a subsequent unsubsidized employment.</li> <li>• Durational exits are not exclusions from the Common Measures. They are involuntary exits for other reasons and are listed in field 6(v). As with any exit, the Unsubsidized Employment Form, not the Exit Form, determines whether the participant will be credited with entered employment. Participants who exit for durational reasons, like participants who exit for personal</li> </ul>

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		<p>reasons, will be counted as positive for entered employment if there is an Unsubsidized Employment Form in SPARQ where UE field 28c (employment in the quarter after the exit quarter) is marked “yes.”</p> <ul style="list-style-type: none"> <li>It is possible to enter an exclusion into SPARQ <u>after</u> a durational limit exit for both those who started a placement and those who did not, just as you would for any exit.</li> </ul>
Topic 4 (New)	Correcting errors in exit for durational limit	<ul style="list-style-type: none"> <li>DOL has consistently said that if a grantee improperly exits a participant for any reason, not just durational limit, it must offer the participant reinstatement. DOL has not set a time limit on how long after the exit the reinstatement can occur. The grantee error could be as simple as a mistake in data entry or the failure to enter a waiver factor; or the error could be due to a misapplication of the grantee's own policy or of SCSEP program rules. However, if the reason for the exit was the participant's failure to document the existence of a waiver factor after proper notice, that is not a basis for reinstating the participant after the durational limit has passed.</li> <li>The reinstatement of a wrongfully exited participant involves the removal of the original exit reason and exit date and usually requires the creation of an approved break in participation for the time during which the participant was wrongfully out of the program. Such action requires notice to the FPO and the national office and documentation in a case note.</li> <li>Note that grantees are required to give participants adequate notice of an approaching durational limit and are expected to assist participants in obtaining documentation as needed. A grantee may also grant the participant an approved break in participation if the durational limit is close and there is a reasonable likelihood that documentation will be forthcoming. The approved break stops the durational limit clock.</li> </ul>
6a	Non-exit reasons for closing the record	<ul style="list-style-type: none"> <li>This field is used to close the record when the applicant or participant has left your project but has not truly exited SCSEP, or when you are resolving a dual enrollment.</li> <li>Use field 6a(i) for applicants who withdraw from the waiting list <u>or</u> who otherwise withdraw their applications after being determined eligible but before being assigned to community service. Once the participant has been assigned to community service, you must use field 6 to exit the participant. If an applicant withdraws prior to the eligibility determination, use field 35(d) of the Participant Form to determine the applicant ineligible, not the Exit Form.</li> <li>Field 6a(ii) is generated by the batch change of entity function when a participant is transferred to another grantee. Grantees cannot enter any data into this field; however, you will still want to record the name and code of the recipient grantee on the hard copy form so that your case records are complete.</li> </ul>

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		<ul style="list-style-type: none"> <li>• Use field 6a(iii) to record the sub-grantee to which the participant has moved when there has been a change of sub-grantee within the grantee. Because the batch change of entity function causes the participant’s record to be reassigned to the recipient sub-grantee, this field is not active in SPARQ. However, you will still want to record the name and code of the recipient sub-grantee on the hard copy form so that your case records are complete.</li> <li>• Use field 6a(iv) to record a termination by the secondary grantee when a dual enrollment has been detected.</li> </ul>
6b (New)	Date of termination letter	<ul style="list-style-type: none"> <li>• Enter the date on which you provided the 30-day notice of termination to the participant. This notice is required for all involuntary terminations, i.e., the exit reasons in elements 6(i), (ii), (iv), and (v). An edit in SPARQ will not allow you to enter an exit date that is less than 30 days after the date of termination if the exit is due to one of these reasons.</li> <li>• The regulations require that you must always provide written notice of the reason for any involuntary termination. You must give the participant 30 days’ notice and an opportunity to respond before you terminate. All terminations are subject to the grantee's grievance procedure.</li> <li>• Data validation is required for this element.</li> </ul>
Topic 5 (Revised)	Notice of termination for misconduct; removal from host agency	<ul style="list-style-type: none"> <li>• The regulations require that you must always provide written notice of the reason for termination. You must give the participant 30 days’ notice and an opportunity to respond before you terminate. All terminations are subject to the grantee's grievance procedure.</li> <li>• Although a termination for misconduct cannot be effective for 30 days after you provide the termination notice, in some cases, grantees may need to remove a participant from a host agency immediately upon becoming aware of an alleged violation. However, there is a difference between an alleged violation and an established violation. Grantees may be justified in temporarily removing a participant from a host agency pending their investigation and the determination of whether misconduct has, in fact, occurred. Depending on the circumstances, grantees might assign the participant to the project office or have the participant stay home pending the determination. In any case, a participant is entitled to notice and an opportunity to be heard before the participant is deprived of the benefits of the program. Therefore, no participant may be terminated from SCSEP (as opposed to being removed from a host agency) until after the 30 days’ notice has expired.</li> </ul>

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Topic 6 (New)	Termination for falsification of application; eligibility information vs. other material information	<ul style="list-style-type: none"> <li>• The consequences of falsifying an application depend on the information that was falsified. If the falsification relates to information required for the eligibility determination, the grantee must terminate the participant (after a 30-day notice) if the information was knowingly falsified. The “knowing” requirements means both that the participant knew the information was false and knew that the information was relevant to the eligibility determination. It essentially means that the applicant intentionally gave you false information in order to be determined eligible.</li> <li>• Note that this regulatory requirement pertains only to information required for the eligibility determination. Ex-offender status is not a permitted factor for eligibility, and grantees may not deny eligibility on that basis. If a grantee wants to terminate a participant for having falsified non-eligibility information, like ex-offender status, on the application, it may only do so pursuant to an approved grantee termination policy that makes intentional falsification of material information a terminable offense. Grantees are permitted to have their own termination policies that are: 1) in compliance with the regulations, 2) approved by DOL, and 3) reasonable.</li> <li>• Since ex-offender status is often a barrier to employment that may affect the IEP and the ability to assign the participant, it can be a material factor that grantees are entitled to inquire about. Whether termination appropriate for falsification of this information depends on the particular facts of the case, including the language of the termination policy, how the policy was communicated to the participant, and whether the participant understood the consequences. The grantee must make that determination. Like all terminations, a 30-day notice must be given prior to termination, and any adverse actions must be subject to the grantee's grievance policy. Remember, however, that discrimination based on ex-offender status is not permitted; grantees should carefully determine the materiality of the information before deciding to terminate.</li> </ul>
Topic 7 (New)	Exit for durational limit; effect of approved break	<ul style="list-style-type: none"> <li>• All involuntary exits, including those for durational limit, must have a 30-day termination letter. If the durational limit date is extended by an approved break after the termination letter has been issued, you should send a revised notice of termination extending the termination date to the new DLD. Because of their effect on duration, approved breaks during the 30-day notice period should be extremely rare.</li> </ul>
Topic 8	Exiting participants who have gone missing or fail to return from a leave of absence	<ul style="list-style-type: none"> <li>• For AWOL participants, you should use exit reason 6(ii), for cause. Participants have an obligation to keep in touch with you. Their failure to do so justifies your terminating them in accordance with your termination policy. Depending on the reason for the participant's failure to return and whether the participant complied with your notification requirement, you may also use 6(ii), for cause, to record the participant's exceeding the maximum duration of a leave of absence or otherwise violating your leave policy.</li> </ul>



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Topic 9	Removing applicants from the waiting list for administrative reasons	<ul style="list-style-type: none"> <li>• Applicants on the waiting list are not participants and thus cannot have true exits. However, there is a field on the Exit Form, 6a(i), that will allow you to close your record when someone withdraws an application or withdraws from the waiting list. This is the only field you can use in these circumstances. You should enter into field 7 of the Exit Form the date on which you formally removed the applicant from the waiting list. That will generally be the date of data entry unless you have documented an earlier date on the hard copy Exit Form or elsewhere.</li> <li>• Unless you have a written policy governing removal from the waiting list, removing someone for administrative reasons may be problematic. An applicant has an absolute right to apply to the program. The rules require you to place on the waiting list any eligible applicant who is not assigned to a host agency within two weeks of being determined eligible. Therefore, an applicant you remove from the list would presumably be able to insist on filing a new application and being put back on the waiting list. (See Topic 10 below, Responsibility to Applicants on Waiting List.) You should enter a case note in the comments field of the Exit Form explaining the reason for removing the applicant from the waiting list, especially if the administrative reason involves fault on the part of the applicant, e.g., falsifying the eligibility information.</li> <li>• You should generally provide 30 days' written notice before removing someone from the waiting list on your own initiative. Obviously, no notice is required when the applicant informs you that he or she is no longer interested in the program.</li> </ul>
Topic 10	Responsibility to applicants on waiting list	<ul style="list-style-type: none"> <li>• An applicant is entitled to remain on the waiting list as long as he or she is still interested in an assignment and meets the eligibility requirements. However, it is not fair to the applicant or helpful to the program to let applicants languish on the waiting list for an excessive period. You should generally be in touch with waiting list applicants every three months to find out if they are still interested in the program and are still eligible, and to give them an update on when they might be enrolled. If there is no reasonable prospect of an opening, the participant might decide to withdraw or explore some other program. The choice remains with the applicant. No matter how unlikely the prospect of enrollment, you cannot force someone off the waiting list.</li> <li>• The confirmation of the eligibility of applicants on the waiting list should be done informally and for the benefit of the applicant. An eligibility determination is good for 12 months, barring a substantial change in circumstance. (See Topic 23 of the Participant Form Guide, Date for Determining Eligibility of Applicant.) Furthermore, an applicant who is over-income at some point while on the waiting list may not be over-income when an opening is available. However, if an applicant has become over-income and is approaching 12 months since the eligibility determination, an applicant is entitled to know that any assignment would be short-lived and that</li> </ul>

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		<p>the first recertification would result in termination from the program. Given that information, the applicant might decide to withdraw from the waiting list.</p> <ul style="list-style-type: none"> <li>• Although you are normally not required to redo or update the eligibility of the Participant Form, you should update the rest of the form, especially the barriers to employment because you will need that information for making an appropriate assignment and because the priorities of service must reflect the participant's situation at the time of enrollment.</li> <li>• If there has been a change in any of the characteristics that are subject to data validation, you will need appropriate documentation. Since the Participant Form is filled out by the case worker, you should not need the participant to initial or sign anything. If you do want the participant to update any forms you use, you can have the participant re-date and re-sign the forms and initial any changes from the original as long as a validator or monitor can easily tell what has occurred. If there is any ambiguity, it is better to complete a second form and keep both forms in the file.</li> </ul>
Topic 11	Closing the record of ineligible applicants	<ul style="list-style-type: none"> <li>• Applicants who were not determined eligible include both those determined ineligible and those who changed their mind in the middle of the application process. In either case, you complete fields 34-36, 42, and 43 of the Participant Form. You do not enter any information into the Exit Form.</li> </ul>
Topic 12 (Revised)	Transfer of participant vs. re-enrollment	<ul style="list-style-type: none"> <li>• Transfers of participants between grantees are usually done for the convenience of the participants or to avoid disruption of service when a grantee has insufficient funds to support all filled positions. Transfers of participants only (as opposed to the movement of positions, Topic 13 below) require approval from SCSEP Help; they do not require the approval of the state grantee where the positions are located.</li> <li>• Transfers of participants between grantees must be done by agreement of two grantees, not the unilateral action of a participant, and consistent with SCSEP policy. When a participant has been transferred, the participant retains the status that he or she had at the transferring project. The participant does not have to be recertified (as long as the last eligibility check was within the last 12 months), nor is the participant subject to priority of service at the new project. A participant can always terminate from one project and seek to re-enroll in another project. However, such unilateral action requires a new application with an eligibility determination and is subject to the priorities in effect at the new project at the time of application.</li> <li>• Typically, when a participant moves from the area, the participant terminates from the first project and seeks to re-enroll in the new project. However, nothing prevents the project that the participant is leaving from contacting the new project and seeing if a transfer is possible. The</li> </ul>

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		<p>new project will not be able to accept the transfer if it does not have any positions available. Furthermore, it is not obligated to accept the transfer, and it may not be willing to accept the transfer if it has higher priority applicants on its waiting list.</p> <ul style="list-style-type: none"> <li>When there has been a transfer (as opposed to an exit and a re-enrollment), the first project does not have a true exit and thus does not have an outcome that is reflected in its performance measures. The true exit occurs when the participant leaves the new project.</li> </ul>
Topic 13 (New)	Transfer of participant vs. movement of positions	<ul style="list-style-type: none"> <li>The movement of authorized positions between grantees is done for a variety of purposes; e.g., to complete a new competitive process for national grantees; to achieve equitable distribution (ED) or change ED based on recent Census data; to avoid disruption of service; to simplify administration when one host agency has participants from multiple projects; or to swap positions in the same or different states to improve efficiency. The movement of positions (as opposed to the transfer of a participant without the movement of positions) requires the approval of the state grantee where the positions are located, the FPO, and the national office.</li> </ul>
Topic 14	Transfer of participant vs. change of sub-grantee	<ul style="list-style-type: none"> <li>The change of a sub-grantee – whether for an entire project or for a single participant – is neither a transfer nor a re-enrollment. A transfer can only occur between grantees. A change of sub-grantee occurs within a single grantee. SPARQ contains a utility for changing entities – either transferring participants from one grantee to another or changing sub-grantees within a grantee. This utility is used to change the sub-grantee for a single participant or multiple participants. The grantee administrator enters the codes of the donor and recipient sub-grantees into the utility. SPARQ then moves the affected enrollment records from the donor sub-grantee to the recipient sub-grantee.</li> <li>The hard copy Exit Form contains a field (6(a)(iii)) for the donor sub-grantee to indicate that it has lost a participant to the recipient sub-grantee and to record the code of the recipient sub-grantee. In the WebDCS, however, this field is grayed out. Field 17a of the Participant Form, which indicates the code of the donor sub-grantee, is generated by the change of entity utility in SPARQ. This field is also grayed out in the WebDCS. The date of the change of sub-grantee is populated by the change of entity utility. You should record that date in field 17a of the hard copy form.</li> <li>For changes of sub-grantee during a program year, all QPRs after the date of the change in sub-grantee will treat participants who have been moved to a new sub-grantee as though they have always been enrolled with the recipient sub-grantee. Although this may lead to some inaccuracy in the performance measures of the new sub-grantee for the balance of the program</li> </ul>

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		year, the QPR for the grantee, which is all that is used for official monitoring of performance, will be accurate. As long as everyone understands that the QPR for the new sub-grantee includes performance by the old sub-grantee, the new sub-grantee should not be unfairly evaluated.
7	Exit date	<ul style="list-style-type: none"> <li>• Enter the date on which you exited the participant. SPARQ will not accept any exit date prior to 7/1/2004, the date on which SPARQ was first implemented.</li> <li>• If you transfer the participant or do a change of sub-grantee for the participant, do not enter an exit date. The change of entity utility will enter an exit date for any transfer. This date will always be the day before the effective date of the transfer. For a change of sub-grantee, you should record the date on the hard copy form, but it will not appear in SPARQ.</li> <li>• Data validation is required for this element.</li> </ul>
Form Heading 2	Waiver of Confidentiality	<ul style="list-style-type: none"> <li>• The waiver of confidentiality is only applicable to participants who are placed into unsubsidized employment. The waiver may make it easier for you to obtain the follow-up information from the employer. The participant should be encouraged to sign the waiver but cannot be required to do so. The participant’s failure to sign does not relieve you of the obligation to conduct follow-up activity with the employer.</li> <li>• Before having the participant sign the waiver, write the participant’s name in the first blank, the employer’s name in the second blank, and the name of the sub-grantee in the third blank.</li> <li>• You may use any form of the waiver that you wish. If you prefer, you can have the participant sign a general waiver at the time of enrollment. In that case, you would need to modify the language to refer to employers generally and to indicate that the waiver is effective for 15 months from the date of exit rather than the date of signing.</li> </ul>
Topic 15 (New)	Participant’s access to case file	<ul style="list-style-type: none"> <li>• In general, a participant should be entitled to a copy of everything in his or her case file unless there is some specific exemption that attaches to a document, like attorney-client privilege. Case notes would not qualify unless they fall under some specific exemption from disclosure. The argument for full access is even stronger when there is legal action, like a grievance, pending or threatened. A participant cannot assert his or her rights without having access to everything in the file.</li> <li>• State FOIA or open records laws may determine what the participant is entitled to see as a matter of state law if the sub-grantee or grantee is a state agency or is otherwise covered by the state law; nothing in SCSEP imposes any additional exemptions from disclosure under state law with regard to what a participant may see from his or her own file. (Federal FOIA only applies to federal agencies, not private or state agencies that receive federal funds.) State FOIA or open</li> </ul>

## Exit Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>records laws, which all states have, set forth the minimum that state agencies must disclose. Grantees should determine from their state FOIA or open records agency or from their own attorney what, if any, requirements are imposed on them by state law. Regardless of state law, however, all grantees, should, as a matter of SCSEP policy, allow a participant complete access to his or her own file unless there is a compelling reason for non-disclosure that is permitted by applicable FOIA or open records laws.</p> <ul style="list-style-type: none"> <li>• State FOIA or open records laws may also determine what charges can be imposed for copying. No charge should be imposed for viewing the file. Again, as a matter of SCSEP policy, grantees should not charge for copying, especially in a grievance situation, unless the file is so voluminous that special arrangements must be made to do the copying. By definition, SCSEP participants requesting a copy of their file are low income; that is grounds for waiving any fee that might otherwise be chargeable.</li> <li>• Grantees should inform participants in the grantee’s privacy policy, its participant handbook, or other appropriate document of their right to inspect and copy their records.</li> </ul>
7a (Revised)	Will participant engage in volunteer work after participation? If yes, number of volunteer activities	<ul style="list-style-type: none"> <li>• This field identifies participants with whom the grantee should definitely conduct follow-up for volunteerism and for whom the follow-up can be done early in the quarter after exit. This field is solely for case management purposes and is not used in the formal measure or for informational reporting. This field is displayed in the Volunteerism Follow-up management report.</li> <li>• Select “yes” if the participant intends to engage in volunteer activity -- formal or informal -- after exit.</li> <li>• You should update this field if you originally indicate “no” or “unknown” but later learn that the participant is volunteering or is planning to volunteer and you have not yet done the follow-up.</li> <li>• If the participant intends to volunteer through an organization after exit, enter the total number of organizations for which the participant intends to volunteer. Count separate organizations, not jobs within each organization.</li> <li>• If the participant is engaging in informal volunteer work and is not volunteering through an organization, count the number of discrete volunteer activities in which the participant engages. For example, if the participant teaches sewing to neighborhood girls in her own home and also does shopping and housekeeping for a neighbor with a disability, count the sewing classes as one activity and the assistance to the neighbor as a second activity.</li> </ul>

## Exit Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
8	Signature of participant	<ul style="list-style-type: none"> <li>A signature is only applicable to the waiver of confidentiality. If the participant exited for a reason other than unsubsidized employment or if the participant refuses to sign the waiver, do not obtain a signature on this form. If the applicant does not wish to sign the waiver, leave this field blank.</li> </ul>
9	Date of signing	<ul style="list-style-type: none"> <li>If the participant exited for a reason other than unsubsidized employment or if the participant refused to sign the waiver of confidentiality, leave this field blank.</li> </ul>
9a	Exclusion discovered after exit (only for exiters not in unsubsidized employment)	<ul style="list-style-type: none"> <li>If, after exit, you discover that the participant qualifies for one of the exclusions discussed in field 6 above (deceased, medical condition, family care, or institutionalized), enter the appropriate code. <u>Do not change the original exit reason or date.</u> The participant will then be excluded from the relevant measures and will not count against your performance.</li> <li>Data validation is required for this element.</li> </ul>
9b	Date exclusion occurred	<ul style="list-style-type: none"> <li>If exclusion discovered after exit is entered, the date the exclusion occurred must be entered.</li> </ul>
10	Exit comments	<ul style="list-style-type: none"> <li>Use this field to record any additional information about the exit, including information about any exit that has been reversed. You may enter up to 1000 characters (about 160 words).</li> </ul>
Form Heading 3	Volunteer Information	<ul style="list-style-type: none"> <li>Fields 11-16 are required to be filled out for all exiters during the follow-up period (the first quarter after the exit quarter) except as noted below. These fields will be used to calculate the additional measure of volunteer work and the accompanying informational reports.</li> <li>Grantees must complete this section of the Exit Form for all exiters except those for whom an exclusion has been entered at the time of exit (element VI (vii-x)), after exit (element 9a (i-iv)), or during follow-up for this measure or for unsubsidized employment.</li> <li>This measure applies only to exits as defined by the Common Measures. Participants who exercise the right of return or who re-enroll within 90 days of exit are not considered exiters for purpose of this measure; therefore, you do not need to fill out fields 11-16 for them.</li> <li>The additional measure of entered volunteer work only counts formal volunteering that occurs through an organization by a participant who was not volunteering in the 30 days prior to the date of the eligibility determination. However, grantees must capture information on both formal and informal volunteering by all exiters, including those who were volunteering at the time of enrollment for the informational reporting that DOL will do on all aspects of volunteer work by SCSEP participants before, during, and after enrollment.</li> </ul>

## Exit Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• Enter the data for elements 11-15 only if the answer to element 16c is “yes.” Grantees should collect all information related to the volunteerism measure directly from the participant.</li> <li>• Because the volunteerism measure is an additional measure, it is not subject to goal setting or data validation.</li> </ul>
Topic 16 (New)	Volunteerism information when participant has been exited for cause	<ul style="list-style-type: none"> <li>• The follow-up for volunteerism, like the follow-up for unsubsidized employment, is required regardless of the reason for exit.</li> <li>• Grantees fail to do required follow-up on the outcome measures for a variety of reasons, including the awkwardness of the relationship with the participant. That does not provide a basis for excluding for-cause exits from the measure. This new measure works like all the others: If you do not do the follow-up, it will count as a failure. Fortunately, the number of for-cause exits is small so this should not have a significant impact on performance.</li> </ul>
11	Name of primary volunteer activity	<ul style="list-style-type: none"> <li>• If there are both formal and informal volunteer activities at exit, enter the name of the formal activity here.</li> <li>• If the participant is engaging in formal volunteer work, enter the name of the organization with which the participant is volunteering. If the participant is volunteering with more than one organization, enter the name of the organization with which the participant will spend the greatest number of hours per quarter.</li> <li>• If the participant is only doing informal volunteer work on his or her own and not through an organization, enter “Informal.”</li> </ul>
12	Activity conducted in:	<ul style="list-style-type: none"> <li>• If the participant is engaging in formal volunteer work, indicate whether that work is with a not-for-profit organization, faith-based organization, or a government organization. You may only select one type of organization. If the participant is volunteering with a faith-based organization, select that value rather than “not-for-profit organization.”</li> <li>• If the participant is not volunteering through an organization, select “Informal; no organization.”</li> </ul>
13	Is this activity conducted in a SCSEP host agency?	<ul style="list-style-type: none"> <li>• Indicate if the participant is volunteering with an entity that is a current host agency. You should first ask the participant since, in many cases, a participant who is volunteering with a host agency will be volunteering at the agency with which he or she was assigned. You can also use the Organization Search on the SPARQ home page to determine if an entity is a host agency. If you do not know whether the entity is a host agency, enter “no.”</li> </ul>

## Exit Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 17	Volunteering at the Host Agency	<ul style="list-style-type: none"> <li>• Topic 25 of the Community Service Form Guide states that a participant may not volunteer at his or her own host agency while enrolled. This applies even if the volunteer work involves different duties or a different division of the host agency from the one at which the participant is assigned. However, once the participant has left the host agency assignment, either for another assignment or to exit the program, the participant is not precluded from volunteering at a host agency at which he or she has previously been assigned.</li> </ul>
14 (Revised)	Number of hours per quarter participant expects to volunteer in this activity	<ul style="list-style-type: none"> <li>• Enter the total number of hours that the participant has worked or expects to volunteer in an average quarter. You may estimate this number based on the number of hours the participant has worked in an average week or month.</li> <li>• You may enter time in whole hours. Use normal rounding rules: anything .5 or higher is rounded up; anything less than .5 is rounded down.</li> </ul>
15	Total number of volunteer activities	<ul style="list-style-type: none"> <li>• If the participant is volunteering through an organization, enter the total number of organizations for which the participant is volunteering after exit. Count separate organizations, not jobs within each organization.</li> <li>• If the participant is engaging in informal volunteer work and is not volunteering through an organization, count the number of discrete volunteer activities in which the participant engages. For example, if the participant teaches sewing to neighborhood girls in her own home and also does shopping and housekeeping for a disabled neighbor, count the sewing classes as one activity and the assistance to the neighbor as a second activity.</li> </ul>
16	Follow-up	<ul style="list-style-type: none"> <li>• The follow-up for the measure on volunteerism uses the same timing rules as the entered employment measure. You may enter the information as early as the first day of the quarter after the quarter of exit, but the follow-up will not be reported as a success or failure in the QPR until the first quarter after the exit quarter has ended. On the first day of the second quarter after the exit quarter, the QPR for the prior quarter will reflect the data on entered volunteer work.</li> <li>• As with the follow-up for entered employment, you can only get credit for one “yes.” Therefore, if the participant is engaging in multiple volunteer activities after exit, you only need to conduct the follow-up for one activity unless that follow-up is not successful. If the participant is not engaging in the volunteer activity listed in element 11 in the quarter after the exit quarter, but is engaging in another volunteer activity, you should change the name in element 11 and conduct the follow-up with regard to that other activity. If there are both formal and informal volunteer activities at exit, always do the follow-up for the formal activity first.</li> </ul>



## Exit Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• If the participant indicated at exit that he or she would be volunteering post-SCSEP, you may wish to contact the participant early in the quarter after the exit quarter in order to capture information on both volunteerism and possible employment. If the participant is not volunteering at the time you make contact, you should ask whether the participant intends to volunteer so you can decide whether and when to contact the participant again. You should update element 7a of the Exit Form with this information.</li> </ul>
16a	*Scheduled date	<ul style="list-style-type: none"> <li>• This date is the first day of the first quarter after the exit quarter. SPARQ will automatically enter this date in the WDCS.</li> </ul>
16b	Completed date	<ul style="list-style-type: none"> <li>• Enter the date on which the follow-up is conducted by the sub-grantee.</li> <li>• This date is critical for the additional measures on volunteerism. SPARQ will not let you submit a follow-up record without this date or with an improper date in this field.</li> <li>• You may record the completed follow-up as early as the first day of the first quarter after the exit quarter, but the results will not be reflected in the QPR for that quarter until the first day of the second quarter after the exit quarter.</li> </ul>
16c	Engaged in volunteer work?	<ul style="list-style-type: none"> <li>• Indicate whether the participant engaged in any volunteer activity -- formal or informal -- in the quarter after the quarter of exit, regardless of whether the participant had been doing volunteer work at the time of enrollment.</li> <li>• If the answer to this question is “yes,” you must enter the data for elements 11-15.</li> <li>• If you discover during follow-up that the participant qualifies for an exclusion, you should enter that information in element 9a of the Exit Form.</li> </ul>

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# **Unsubsidized Employment Form Guide**

# Unsubsidized Employment Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 1	Unsubsidized Employment Form	<ul style="list-style-type: none"> <li>• An Unsubsidized Employment Form must be started when a participant enters unsubsidized employment, including self-employment, either at the time of exit or within the first quarter after the quarter of exit. (You do not need to complete the form for anyone who first begins unsubsidized employment after the end of the first quarter after the quarter of exit because it will be too late for the participant to achieve any Common Measures employment outcomes.) You must continue to fill out the form for up to 15 months after the participant begins employment.</li> <li>• The form is used to capture basic information about:               <ul style="list-style-type: none"> <li>○ the employer and the placement</li> <li>○ contact information to facilitate the customer satisfaction survey</li> <li>○ information about the survey instrument(s) provided to the employer</li> <li>○ the employment and earnings information required for the performance measures</li> </ul> </li> <li>• A new Unsubsidized Employment Form must be started for each unsubsidized employment that the participant has during the 15-month follow-up period.</li> <li>• A participant may have two simultaneous part-time jobs after exit. Only one job is needed to establish entered employment and retention, but the income from both jobs will be counted for average earnings. As long as these are two separate employer entities, you enter both into SPARQ and conduct all required follow-ups with both. (See Topics 29 and 30 for a discussion of which follow-ups are required with which employers.) You can check "yes" with regard to entered employment and retention for both jobs, but SPARQ will only give you credit once. You must enter into SPARQ separate wages for the second and third quarters after the exit quarter for both jobs so that SPARQ gives you complete credit for all wages earned in those quarters.</li> </ul>
Form Headings 2, 3 and 4	Employer Information, Contact/ Supervisor Information, and Placement Information	<ul style="list-style-type: none"> <li>• Most of the information for these sections will be obtained from the participant at the time of the exit interview (or subsequently) or from the sub-grantee’s own records. If the participant is unable to provide certain information, it may be obtained from the employer before the date for the first follow-up. Information obtained from the participant may need to be verified once the sub-grantee has made contact with the employer.</li> <li>• In the WebDCS, elements 3-6 and 9b-13i are entered from the Add Employer button in the Organizations function on the main page. They may also be entered from the first two placement screens.</li> </ul>

## Unsubsidized Employment Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 1 (New)	Work-study as employment	<ul style="list-style-type: none"> <li>• DOL has stated that work study counts for entered employment purposes. This is because work study is taxable and is considered employment for eligibility purposes (unless it is part of an employment and training program; see Topic 36 of the Participant Form Guide) and because it is treated as employment for programs that use UI wage matching.</li> </ul>
Topic 2 (Revised)	Programs funded by Corporation for National and Community Service	<ul style="list-style-type: none"> <li>• Participation in the Foster Grandparent Program (FGP), the Senior Companion Program (SCP), the Senior Demonstration Programs (SDP), and the Retired and Senior Volunteer Program (RSVP) is not considered employment. These programs are all funded by the Senior Corps of the Corporation for National and Community Services. The Domestic Volunteer Service Act, establishes these programs and VISTA as volunteer service, not employment, and further provides that the stipend paid to participants in these programs should not be considered income from employment. Therefore, you do not consider participants in these programs to be employed, you do not include any stipend paid by these programs when determining income for purposes of SCSEP eligibility, and you do not treat them as unsubsidized employment.</li> </ul>
3	Name of employer	<ul style="list-style-type: none"> <li>• Enter the name of the parent organization at which the participant is placed. Do not enter the name of a satellite office or branch unless it is not feasible to treat the parent organization as a single employer. See Topic 3 below and Topics 6 and 7 of the Community Service Assignment Form Guide. The location at which the participant is placed will be listed in field 9. The contact person's name and address will be entered in fields 10 and 11.</li> <li>• You should standardize the names of employers so that an employer is not entered multiple times under different names.</li> <li>• If a participant is self-employed and working for a client, you enter the participant's name into field 3, not the name of the client for which the participant is working. By definition, this client is not the participant's employer.</li> <li>• For WebDCS users, there is a drop-down menu from which you can select a previously entered employer. There is a similar function on the SPARQ home page. If the employer you want is listed, select it. If it is not listed, you may add a new one from this field.               <ul style="list-style-type: none"> <li>• You cannot save a placement in SPARQ without at least an employer name, a state, and a start employment date.</li> </ul> </li> </ul>
Topic 3	Rule against entering duplicate organizations into SPARQ database	<ul style="list-style-type: none"> <li>• SPARQ will not permit users to enter an organization into the database if that identical organization already exists. Organizations are considered identical if they have the same name and their mailing addresses are in the same state. WebDCS users will be blocked from entering a duplicate organization into the database.</li> </ul>

## Unsubsidized Employment Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• There are circumstances where using the name of the parent organization will not be feasible. See Topics 6 and 7 of the Community Service Assignment Form Guide. In those cases, you may enter multiple organizations with similar but not identical names in the same state. For example, Goodwill LA North, Goodwill LA Central, and Goodwill LA East are considered unique organizations even though they are all in the state of California.</li> <li>• If you attempt to enter an organization that already exists in the database, you will be asked whether you want to use the existing organization. If you do not wish to use an existing organization, you will be required to change the name of the organization to one that is unique.</li> <li>• The sub-grantee which has the oldest active placement, or if there are no active placement, the entity which has the most recent closed placement is considered the “owner” of that employer and is the only user allowed to change the basic organization information in fields 4-6. A non-owner that wishes to change any of this information must contact the owner to do so. The name of the owner is displayed as part of the organization search function in SPARQ.</li> <li>• Field 9b is not unique to the employer and can differ for each grantee using that employer. Fields 7, 8, and 9 belong to a particular placement and thus can be different for each placement.</li> </ul>
Topic 4	Using stored host agency information in the WebDCS when a host agency becomes an employer	<ul style="list-style-type: none"> <li>• WebDCS users can designate an existing host agency as an employer without having to re-enter basic organization information. By selecting the edit button after selecting an existing organization from the Organizations function on the main page, the user can designate the existing organization in any additional capacity. For example, an existing host agency can also be designated as a training provider and an employer.</li> <li>• When you give an existing organization a new capacity, you will only have to add the fields that are specific to the new capacity. For an employer, the only additional field is 9b.</li> </ul>
4	Employer mailing address	<ul style="list-style-type: none"> <li>• The mailing address fields will be used to generate letters and mailing labels for the customer satisfaction survey. Be sure to enter the information as you want it to appear on the envelope.</li> </ul>
4a	Number, street, suite number; and/or PO Box	<ul style="list-style-type: none"> <li>• If the address has a Post Office box rather than a street, use field 4a to record that information. If there are both a street and a Post Office box, record both in field 4a.</li> </ul>
5	FEIN	<ul style="list-style-type: none"> <li>• Reasonable effort should be made to obtain the employer’s Federal Employer Identification Number (FEIN). If an employer refuses to provide the FEIN, it should be informed that its refusal will not affect the decision to provide services to the employer. If you cannot obtain the FEIN, leave it blank. Do not enter N/A or dummy data.</li> <li>• For self-employed participants, leave this field blank.</li> </ul>

## Unsubsidized Employment Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 5	Obtaining employer FEINs	<ul style="list-style-type: none"> <li>• There are numerous online search services for FEINs, but they all appear to charge a fee. (Try a Google search for FEIN.) Since many companies consider their FEIN to be proprietary, you may not be able to obtain the FEIN. This is more likely to be true of employers. Host agencies, on the other hand, should give you their FEIN as a matter of course because of your ongoing relationship with them. For more information, see <a href="http://www.irs.gov/businesses/small/article/0,,id=98350,00.html">http://www.irs.gov/businesses/small/article/0,,id=98350,00.html</a>.</li> <li>• There is no good answer to the problem of obtaining employer FEINs except to be actively involved in as many placements as possible and to develop a relationship with the employer as soon as possible after a participant does a self-placement. Employers are usually more willing to give you an FEIN and to provide the follow-up information if they have a relationship with you and recognize the benefits they receive or can receive from SCSEP.</li> </ul>
6	Employer type	<ul style="list-style-type: none"> <li>• Check the appropriate box to indicate whether the employer is a not-for-profit, for-profit, or government entity. Check 6d if the participant is engaged in self-employment.</li> </ul>
6d	Self-employment	<ul style="list-style-type: none"> <li>• Self-employment may be verified by any proof that the individual has started a business, such as tax registration, business cards or invoices, or a state license. The individual does not have to prove income from the business, but the receipt of income can establish self-employment. If the participant is working completely under the table and does not want to provide you with any documentation of a self-employment venture, such as licensing, invoices, or advertising, you may not be able to claim the placement. You must document self-employment just like you must document employment. You cannot merely take the participant's word for it.</li> <li>• If the participant is self-employed, you will only need to capture minimal information on these sections of the Unsubsidized Employment Form: Fields 1-3, 6, 14, 15, 18, and 20.</li> <li>• A self-employed participant will not receive the employer survey (although the individual may be selected for the participant survey) but will be included in two of the Common Measures (entered employment and retention). Self-employed participants will not be included in the average earnings measure. All three follow-ups are required.</li> </ul>
Topic 6	Determining whether the participant is self-employed or an employee	<ul style="list-style-type: none"> <li>• There is no simple way to determine whether a former participant is truly self-employed or is being forced to work as an independent contractor by an entity that should be considered the participant's employer. It is a question of state law whether former participants are employees or independent contractors (self-employed). In most states, participants are considered employees unless they hold themselves out to the public as being engaged in their occupation and are free</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>from direction and control in the performance of their duties. For unskilled, unlicensed work, this is a very hard standard to meet.</p> <ul style="list-style-type: none"> <li>• If you believe that the participant is being forced to work under the table and is being deprived of rights under state or federal law – e.g., to Social Security, unemployment compensation, workers’ compensation – you should inform the participant that the arrangement may be illegal, that the participant is entitled to all of the protections of state and federal employment laws, and that you can assist the participant in filing a complaint with the appropriate authorities. You should also inform the participant that you are required to contact the employer to confirm the employment and to obtain wage information. Your involvement may be sufficient to persuade the employer to comply with the law. Any retaliation against the participant by the employer would expose the employer to serious liability. On the other hand, if the participant is fully aware of his or her rights and is comfortable with being paid as an independent contractor, you may not wish to interfere.</li> <li>• For SCSEP purposes, there is not a significant difference in the way you treat an individual who is self-employed versus an individual working as an employee for an employer. For self-employed participants, you will do somewhat less follow-up and you will not be delivering the employer survey. See Topic 19 below for follow-up on self-employed participants.</li> <li>• Self-employment should not be confused with temporary or on-call employment, such as substitute teaching or working for a temporary employment agency. The distinction can be especially difficult when dealing with home aides, who may be either self-employed when they are caring for private clients directly or employed by an agency when placed in a client’s home. Again, state labor law officials are your best resource for making this determination.</li> </ul>
7	Is employer a host agency?	<ul style="list-style-type: none"> <li>• Unsubsidized employers that have served as a host agency for this participant or any other participant (under any state or national grant) in the last 12 months should <b>not</b> be included in the customer satisfaction survey of employers. They will be in the pool for the host agency survey.</li> </ul>
8	Did employer provide an OJE training site for this participant?	<ul style="list-style-type: none"> <li>• Check “yes” if the employer provided an on-the-job experience (OJE) for <b>this</b> participant.</li> <li>• OJE placements are a subset of regular program placements in field 10b of the QPR.</li> <li>• Data validation is required for this element.</li> </ul>



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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
9	Employer site name and location	<ul style="list-style-type: none"> <li>• Enter here the site at which the participant is placed. This field is not required by SPARQ and is solely for case management purposes.</li> <li>• You need not enter a full address. Merely provide enough information so that you can locate the participant at the employer's facility.</li> </ul>
9a (Revised)	Date for Next Customer Satisfaction Survey for this Employer	<ul style="list-style-type: none"> <li>• This field is not currently being populated because the new management report for Pending Employer Surveys lists each employer that should receive the employer survey. Instead, the field displays this message: "See Pending Employer Surveys Report for employers that should receive a survey."</li> </ul>
9b	Employer continued availability	<ul style="list-style-type: none"> <li>• This optional field is for administrative use by the sub-grantee only to indicate that the employer no longer wishes to participate in SCSEP or that the sub-grantee no longer wishes to continue working with this employer. There are similar fields for host agencies and training providers.</li> </ul>
Form Heading 5	Contact/ Supervisor Information	<ul style="list-style-type: none"> <li>• This section is used to record information about the employer contact person. This is the individual who will receive the customer satisfaction survey.</li> <li>• The contact information is also designed to facilitate your contacting this person by phone, by mail, by fax, by e-mail, or in person if necessary.</li> <li>• Additional fields have been added to permit the entry of information about the supervisor if that person is different from the contact person.</li> <li>• For WebDCS users, elements 10-13i are entered from the Organizations utility on the main page. They may also be entered from the second screen in the placement section.</li> </ul>
10	Name of contact person	<ul style="list-style-type: none"> <li>• The contact person is the individual who will receive the customer satisfaction survey for the employer. There are separate fields for the supervisor if that person is different from the contact person.</li> <li>• The contact person is the individual with whom the sub-grantee has had the most contact regarding the placement of the participant. It is not necessarily the participant's supervisor. This is the individual who will receive the customer satisfaction survey.</li> <li>• Enter the contact person's name exactly as you want it to appear on the cover letter and mailing label for the customer satisfaction survey. Be sure to enter a first name unless the individual only uses one name. Do not enter any extraneous information.</li> <li>• Although the first survey should be hand-delivered to the employer contact, the second survey may be mailed.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
11	Contact person's mailing address if different from number 4	<ul style="list-style-type: none"> <li>Enter a business address for the contact person <u>only</u> if it is different from the employer's main mailing address (field 4). If the contact person's address is the same as the mailing address for the employer in field 4, you do not need to enter anything into field 11.</li> <li>This field will be used for letters and mailing labels for the customer satisfaction surveys. <u>If you use this field, you must enter a complete mailing address.</u></li> </ul>
11a	Organization or address field 1	<ul style="list-style-type: none"> <li>If the contact person has a separate address, enter here the name of the organization at which the contact person will receive mail. Some surveys addressed to employer contact persons without the name of the organization in the address have been returned as undeliverable.</li> <li>Enter this information for all contact persons with a separate address in your database.</li> </ul>
12	Contact person's title	<ul style="list-style-type: none"> <li>Enter the title by which the contact person is known at the employer's facility. This may facilitate your contacting the individual.</li> </ul>
12a	Contact person's salutation	<ul style="list-style-type: none"> <li>Select Mr., Ms., or Dr. as the salutation for the contact person. The salutation will be used for the customer satisfaction survey cover letters.</li> <li>You should enter this information for <u>all</u> employer contact persons in your database.</li> </ul>
13	Contact person's phone number	<ul style="list-style-type: none"> <li>This field may be used to help you reach the contact person.</li> </ul>
13a	Contact person's fax number	<ul style="list-style-type: none"> <li>This field may be used to help you reach the contact person.</li> </ul>
13a1 (New)	Contact person's cell phone number	<ul style="list-style-type: none"> <li>This field may be used to help you reach the contact person.</li> </ul>
13b	Contact person's e-mail address	<ul style="list-style-type: none"> <li>This field may be used to help you reach the contact person.</li> </ul>
Form Heading 6	Complete fields 13c-13i if supervisor is different from contact person (number 10). If supervisor is the same as contact	<ul style="list-style-type: none"> <li>Fields 13c-13i are optional. You may record the name and contact information for the participant's unsubsidized employment supervisor if the supervisor is different from the contact person. The fields for the contact person are not optional since they are used to deliver the employer survey.</li> <li>In SPARQ, there are two different drop-down menus and displays, one for the contact person/supervisor and a second for the supervisor if that person is different from the contact/person supervisor. If the contact person and supervisor are the same person (or if there is</li> </ul>

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	person, skip to field 14.	no supervisor), you only select a name from the first drop-down. If you wish to indicate a different person as the supervisor, you can also select a name from the second drop-down.
13c	Name of supervisor	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second placement screen.</li> </ul>
13d	Supervisor's mailing address if different from number 4	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second placement screen.</li> </ul>
13e	Supervisor's title	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second placement screen.</li> </ul>
13f	Supervisor's salutation	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second placement screen.</li> </ul>
13g	Supervisor's phone number	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second placement screen.</li> </ul>
13h	Supervisor's fax number	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second placement screen.</li> </ul>
13h1 (New)	Supervisor's cell phone number	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second placement screen.</li> </ul>
13i	Supervisor's e-mail address	<ul style="list-style-type: none"> <li>This optional information may be entered through the Organizations Contacts on the main page of the WebDCS or directly on the second placement screen.</li> </ul>
14	Start date	<ul style="list-style-type: none"> <li>Enter the date on which the participant began work with this employer. This will be the date of placement for measurement purposes.</li> <li>The exit date on the Exit Form (field 7) must also be filled out. The exit date will usually be the day before the start date.</li> </ul>
15	End date	<ul style="list-style-type: none"> <li>Enter the date on which the unsubsidized employment with <b>this</b> employer ended. If there is additional unsubsidized employment within four quarters after the quarter of exit from SCSEP, all unsubsidized employment may be included in the performance measures.</li> <li>The end date will determine when follow-up activity for each employer may be terminated.</li> <li>No end date is normally required for a placement that continues for more than four quarters after the quarter of exit. You will not have to obtain follow-up information after the fourth quarter after exit. However, if the original grantee or another grantee wishes to re-enroll a former</li> </ul>

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		participant who has an open end date, the original grantee will need to enter an end date for the placement. For that reason, whenever you know that a placement has ended (for example, you learn at follow-up that the participant is no longer working at this employer, it is advisable to enter the end date into this field.
16 (Revised)	Starting wage per hour	<ul style="list-style-type: none"> <li>• Enter the wage rate that the participant received at the beginning of employment with this employer. <u>Do not update this field.</u> This information is for management and analysis purposes only. It is not used for the performance measures. However, starting wage is important information about the quality of the jobs into which SCSEP participants are placed. The average starting wage in employment for all participants is reported in Section B of the QPR. If you update this field, valuable information will be jeopardized.</li> <li>• Do not populate the field if the participant is self-employed. It is often impossible to calculate an accurate hourly rate for self-employment, and self-employed individuals are excluded from the Average Earnings measure.</li> </ul>
17	Benefits	<ul style="list-style-type: none"> <li>• Check all benefits that the participant received (or was promised) at the time of employment. If “other,” specify the additional benefit or benefits that the participant received. If the participant did not receive any benefits, check “none.”</li> <li>• This information is for management and analysis purposes only. It is not used for the performance measures.</li> </ul>
18 (Revised)	At time of placement, is employment expected to be full- or part-time	<ul style="list-style-type: none"> <li>• Check the appropriate box to indicate whether the employment was expected to be full-time or part-time at the time of hire.</li> <li>• If part-time, specify the number of hours per week that the participant was expected to work. Full-time work means work of at least 40 hours per week, or such lesser amount as determined by the employer to constitute full-time work.</li> <li>• Under the Common Measures <b>all</b> part-time placements may be counted. If the participant received any income greater than zero from unsubsidized employment (or was self-employed) in the first quarter after the exit quarter, the placement will count as entered employment.</li> <li>• The average number of hours per week in employment for all participants is reported in Section B of the QPR. This information, along with average starting wage, will help you monitor likely performance on the Common Measures average earnings.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
19	Job title	<ul style="list-style-type: none"> <li>Enter the participant’s job title as determined by the employer. This should be a descriptive title, such as receptionist, nutrition aide, or bus driver. No occupational code is required.</li> </ul>
19a	Participant’s job code	<ul style="list-style-type: none"> <li>You may enter one pre-defined code that reflects the particular job that the participant is performing.</li> </ul>
19b	High growth placement	<ul style="list-style-type: none"> <li>Use this field to indicate whether the placement is in one of the 12 high growth industries listed. You must select one of the 12 listed industries or “none.”</li> </ul>
20	Training-related placement?	<ul style="list-style-type: none"> <li>Check “yes” if the participant is performing work related to the assignment that the participant had with the host agency or to any additional training provided by the sub-grantee.</li> <li>Information about the current job will usually be obtained from the participant, but it may be necessary to obtain additional information from the employer. Information about the host agency assignment and other training should be available from the sub-grantee’s records.</li> </ul>
21	Was placement the result of a substantial service provided to the employer by the sub-grantee?	<ul style="list-style-type: none"> <li>All placements are, to some extent, the result of the SCSEP program. Without the training provided by the community service assignment, participants would not have the skills and self-confidence needed to obtain employment. However, this field is designed solely to determine whether the employer perceives the sub-grantee as having actively facilitated the placement.</li> <li>Check “yes” only if the sub-grantee provided a substantial service to the employer as part of the placement process <b>and</b> the employer was aware of the efforts of the sub-grantee; e.g., the sub-grantee referred the applicant to the employer and the employer was aware of the referral.</li> <li>If the participant found his or her own job or if the sub-grantee only provided assistance directly to the participant without the employer’s knowledge, check “no.”</li> <li>This information will be used to determine which employers will receive the customer satisfaction survey. It is not relevant to employers that are host agencies because they are excluded from the employer survey.</li> </ul>
21a	Type of supportive service provided:	<ul style="list-style-type: none"> <li>This new field is effective in SPARQ as of 8/10/2016. When OMB approves the addition of this data element, grantees must document each instance of supportive service provided to a participant during a placement. The same information is collected for supportive services provided during the community service assignment in fields A20a.1-A20a.3.</li> <li>You may select only one type of supportive service for each instance of supportive services provided. You may create as many instances of this element as needed to record all instances of supportive services provided at a placement.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>• If the type of supportive service provided is not listed in values (i)-(vii), select (viii) (Other) and enter the type of supportive service provided.</li> <li>• If this element is valued, you must also value elements 21b and 21c.</li> </ul>
21b	Date supportive service provided	<ul style="list-style-type: none"> <li>• Enter the date on which this instance of supportive service was provided. Use the standard SPARQ date format.</li> </ul>
21c	Supportive service provided by:	<ul style="list-style-type: none"> <li>• Indicate the entity or entities that provided this instance of supportive service:                             <ul style="list-style-type: none"> <li>○ Enter (i) if the supportive service was provided by the grantee or a sub-recipient/local project of the grantee.</li> <li>○ Enter (ii) if the supportive service was provided by a workforce partner, such as an America’s Job Center.</li> <li>○ Enter (iii) if the supportive service was provided by both (i) and (ii).</li> <li>○ If the supportive service was provided by an entity other than (i), (ii), or (iii), select (iv) and enter the identity (not the name) of the provider; e.g., social service agency, religious organization, rather than St Joseph’s Church.</li> </ul> </li> </ul>
Topic 7 (New)	Supportive services during unsubsidized employment	<ul style="list-style-type: none"> <li>• The regulation states that grantees may provide necessary supportive services during the first 12 months following placement. This authorizes grantees to arrange for or pay for supportive services after exit for employed participants, including those in self-employment.</li> <li>• Paid training is not part of the follow-up services that may be provided to exited participants who are in unsubsidized employment. Permissible supportive services during the 12-month follow-up period include help with transportation, uniforms or other work-related expenses, eyeglasses, and medical care. See elements 21a-21c above.</li> <li>• The regulation gives examples of what may constitute supportive services, but it does not specifically address the kinds of supportive services that someone in self-employment might need. The intent and spirit of the regulation would cover many types of incidental expenses but would not reasonably extend to the purchase of significant equipment or supplies needed to start a business.</li> <li>• Because SCSEP funds are so limited, the regulation states that, “to the extent practicable,” grantees should arrange for the payment of supportive service from sources other than SCSEP.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
22	Unsubsidized employment comments	<ul style="list-style-type: none"> <li>Use this field to record any additional information about the unsubsidized employment. You may enter up to 1000 characters (about 160 words).</li> </ul>
Form Heading 7 (Revised)	Customer Service Survey Information	<ul style="list-style-type: none"> <li>This section is used to record the pre-printed number on the survey instrument delivered to the employer and the date on which the survey instrument was delivered. To obtain a satisfactory response rate, sub-grantees will have to deliver a second survey to those employers that do not complete the first survey.</li> <li>The information for this section must be provided by the sub-grantee when the customer satisfaction survey is administered to an employer. The information is only provided for those employers selected for the survey as listed on the Pending Employer Surveys management report.</li> <li>An employer is only selected for the survey once each year for a new placement that meets the selection criteria. Employers that are host agencies will not receive the employer survey. Employers that did not have substantial contact with the sub-grantee at the time of placement will not receive a survey. Self-employed individuals will not receive the employer survey. Employers will be surveyed even if the participant did not achieve entered employment with that employer.</li> <li>The Pending Employer Surveys management report lists each employer that should receive a survey. If an employer is listed on the report, the survey should be delivered between 20 and 100 days after the placement start date. Only employers that are listed on the report should be surveyed.</li> </ul>
Topic 8 (Revised)	Employer survey when sub-grantee works for two grantees	<ul style="list-style-type: none"> <li>If an employer hires two participants, one from each grantee for which the sub-grantee works, the employer should only be surveyed for the first placement. The Pending Employer Surveys report indicates which grantee must survey the employer.</li> <li>If the sub-grantee works for two different grantees, it will have to indicate which grantee owns the enrollment when the record is first entered into SPARQ. The ownership of the enrollment and the entry of the survey number into field 23 will determine which grantee receives credit for the survey.</li> </ul>
Topic 9 (Revised)	Which employers receive surveys and when should they receive them?	<ul style="list-style-type: none"> <li>You should deliver the employer survey in person to the employer contact person when you do Follow-up 1. Although for the Entered Employment measure you can do Follow-up 1 as early as the first day of the first quarter after the quarter of exit, you will want to schedule the follow-up at a time that will yield the best results for the employer survey. This means a date within the first quarter after the exit quarter that is between 20 and 100 days after the participant started work with</li> </ul>

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		<p>the employer. Before 20 days, the employer has not had time to assess the placement. After 100 days, the employer's recollection of the circumstances of the placement may be unreliable.</p> <ul style="list-style-type: none"> <li>• The Pending Employer Surveys management report only lists an employer that qualifies for the survey while there are still days available to deliver the survey. The employer will be removed from the report when either: 1) a survey number and date of delivery are entered onto field 23; or 2) 100 days have elapsed from the placement start date.</li> <li>• You will receive a warning in SPARQ if an employer is listed on the Pending Employer Surveys management report and there are 60 days or less remaining to deliver the survey. The warning will go away when field 23 is populated or the 100 days have expired.</li> <li>• You must deliver a survey to a qualified employer even if the placement fails. In such cases, you should deliver the survey as soon as you learn that the participant has left the employer.</li> <li>• Do not forget to enter the survey number and date of delivery into field 23 of the Unsubsidized Employment Form (and field 24 if you deliver a second survey to the same employer) whenever you survey an employer. If you do not enter this information, you will not be able to receive credit for the survey.</li> </ul>
Topic 10 (Revised)	Can grantees administer their own surveys in addition to the official surveys?	<ul style="list-style-type: none"> <li>• The rules require that an employer not be surveyed more than once in a year. To avoid jeopardizing the official employer survey, grantees may not administer their own surveys. As an alternative, grantees may arrange to increase the sample size of their customers selected for the official survey. Such changes will be at the expense of the grantee.</li> </ul>
23	CS Survey #1; date	<ul style="list-style-type: none"> <li>• Enter in this field the survey number and date for the first survey delivered to a qualified employer that is listed on the Pending Employer Surveys management report. Each survey number is unique and can only be entered once. If a qualified employer has subsequent placements in the same program year, the employer is not re-surveyed and this field is left blank for the subsequent placements.</li> <li>• The survey number and date are essential for computing the response rate and for assigning credit for the survey to the correct grantee. New edits prohibit the entry of a survey number without a date or a date without a survey number; these edits also require you to enter just the five digits of the survey number without the leading letter "E."</li> <li>• The survey number is unique to the placement of a single participant and must not be entered in the placement record of any other participant.</li> <li>• If no survey is delivered, leave this field blank.</li> </ul>



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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
24	CS Survey #2; date	<ul style="list-style-type: none"> <li>• A second survey should be delivered to the employer if the first survey is not returned within three weeks. You use a new survey with a new survey number.</li> <li>• Enter the second survey number and date in this field. If a second survey is not delivered, leave this field blank.</li> </ul>
25	CS Survey #3; date	<ul style="list-style-type: none"> <li>• This field is for the number and date of the third survey delivered to a qualified employer for the same placement. At this time, sub-grantees are not required to deliver a third survey so grantees should leave this field blank.</li> </ul>
Form Heading 8	Follow-up Information	<ul style="list-style-type: none"> <li>• Follow-ups are required in order to obtain information needed for the performance measures, to provide case management to a newly placed participant, to establish or maintain contact with the employer, and to deliver the customer service survey to the employer. The system has been designed to require the minimum possible number of follow-ups.</li> <li>• <u>If efforts to obtain the information from the employer are unsuccessful, the sub-grantee may obtain the information from the participant.</u></li> <li>• Failure to conduct required follow-ups may be considered a violation of the administrative requirements of the grant.</li> <li>• If you are unable to obtain the follow-up information, you can so indicate for each of the follow-ups. However, incomplete follow-up information, regardless of the reason for the incompleteness, will have a negative effect on the performance measures.</li> </ul>
Topic 11	Documenting follow-up information	<ul style="list-style-type: none"> <li>• When you conduct the three required follow-ups, it is important that you document the information you receive regarding employment and wage information. This documentation is required for the Common Measures and for data validation as well.</li> <li>• If you rely on documents, you should copy the documents for the file. If you use the phone or an in-person interview, you should use the comment field on the Unsubsidized Employment Form to record the individual spoken to, the date, the information conveyed, and the case worker who obtained the information. For example, “Follow-up 2: Spoke to bookkeeper Roger Johnson by phone on 1/25/05. He reported that participant was still employed and received wages in the quarter October 1 - December 31. BP”</li> <li>• For self-employment, you should also copy and file any documents that you used to determine that the participant was engaged in a legitimate business.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 12	Follow-up information, how to obtain from employer	<ul style="list-style-type: none"> <li>• The follow-up information is best obtained from the employer. Participants may not work consistent hours and may not keep accurate records of their pay for the quarter. You <u>must</u> make reasonable efforts to obtain the information from the employer before you seek it from the participant. The participant is not required to sign the waiver of confidentiality on the Exit Form. However, even if the participant does not sign the waiver or want you to contact the employer, you are still required to obtain the information from the employer.</li> <li>• Although some participants may be reluctant to have their employers know about their participation in SCSEP, it is important that employers become aware of the program. Doing the follow-up activity with the employer is an opportunity for you to establish a relationship with the employer that may lead to additional placements. You should attempt to assure participants that their involvement with SCSEP will be seen as a positive factor by employers and will not in any way jeopardize their employment. You should discuss this issue at orientation so participants understand how important employer contact is to the program and are not surprised at exit to discover that you will be contacting their employers.</li> </ul>
Topic 13	Follow-up information, inability to obtain	<ul style="list-style-type: none"> <li>• All exiters (with a few limited exceptions) are included in the performance measures. If the sub-grantee does not record the required employment or wage information into the SCSEP data collection system by the specified deadlines, the absence of data is treated as though the exiter had no employment or wages. Entered employment, retention, average earnings, or retention at 1 year could be affected, depending on which information is missing.</li> <li>• DOL recognizes that some employers may be reluctant to provide the required information. For that reason, it has recommended that the sub-grantee obtain a waiver of confidentiality from the participant at the time of exit and that the sub-grantee conduct the first follow-up in person. This first follow-up will provide an opportunity for the sub-grantee to establish a relationship with the employer and to explain the importance of the follow-up information before the sub-grantee has to ask the employer for wage information. Furthermore, if the employer is unwilling to provide the information, the sub-grantee may obtain it from the participant. There may be cases where the participant can no longer be located, but these should be fairly uncommon.</li> <li>• For those rare instances where the sub-grantee cannot obtain the information from either the employer or the participant, there is a code in fields 28, 29, and 30 of the follow-up section of this form for the sub-grantee to indicate that it could not obtain the information. Although entering</li> </ul>

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		this code will not prevent the exit from being counted negatively in the performance measures, it will give the sub-grantee a way to track and document the extent of the problem. This issue will be eliminated once DOL obtains access to the UI wage records for all grantees.
Topic 14 (Revised)	Follow-ups for participants working under the table and unwilling to reveal their employers	<ul style="list-style-type: none"> <li>• If the participant refuses to provide any information about the employer, you will not receive any credit at all in the performance measures.</li> <li>• If the participant is working under the table, you should inform the participant that the arrangement is illegal, that the participant is entitled to all of the protections of state and federal wage and hours laws, and that you can assist the participant in filing a complaint with the appropriate authorities. You should also inform the participant that you are required to contact the employer to confirm the employment and to obtain wage information. Your involvement should be sufficient to persuade the employer to comply with the law. Any retaliation against the participant by the employer would expose the employer to serious liability.</li> <li>• If the participant identifies the employer and is employed during the first quarter after the exit quarter, the entered employment will count toward your goal regardless of how the employer pays the participant. Workers are sometimes compelled to accept illegal working conditions. Neither you nor the participant should be penalized for the employer's actions.</li> </ul>
Topic 15 (New)	UI wage records	<ul style="list-style-type: none"> <li>• DOL has said that all grantees must use case management follow-up for the three employment outcome measures until UI wage records are made available for SCSEP nationwide. Wage records yield different results from case management follow-up. In addition, because of the lag in reporting UI wage records, the timing rule for wage records is very different from that used for case management follow-up. SCSEP cannot have different data sources and methodologies for a statutory measure that is common to all grantees. DOL is working to make wage records available for all grantees.</li> </ul>
Topic 16	Quarter, definition of	<ul style="list-style-type: none"> <li>• For purposes of the data collection system and the 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 quarter after the quarter in which the participant exited.</li> <li>• For example, Common Measures entered employment requires that the participant have wages in the first quarter after the quarter of exit. Therefore, if the participant exited and started unsubsidized employment on July 5, you would need to determine whether there were any wages for the period October 1-December 31, the first quarter <b>after</b> the quarter in which the exit</li> </ul>

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		<p>occurred. You would not be concerned with whether there were wages from July 5-September 30, which is the quarter of exit.</p> <ul style="list-style-type: none"> <li>Similarly, the Common Measures average earnings measure requires the total amount of the participant's earnings in both the second and third quarters after the quarter of exit. In the example above, the second quarter after the exit quarter would be January 1 - March 31, and the third quarter after the exit quarter would be April 1 to June 30.</li> </ul>
Topic 17 (Revised)	Follow-ups, scheduled dates for completing	<ul style="list-style-type: none"> <li>The timing rules for the Common Measures follow-ups are simplified in SPARQ. Each measure has an activity period (the quarter or quarters in which the outcome being measured occurs) and a reporting period (the quarter in which the measure will be reflected in the QPR). The QPR will not reflect either successes or failures for a measure until the first day after the reporting period closes. The scheduled date (the earliest date on which the follow-up can be conducted) varies for each measure.</li> <li>Follow-up 1 captures Common Measures entered employment. Both the activity period and the reporting period are the first quarter after the exit quarter. The scheduled date is the first day of the first quarter after the exit quarter. Although you can complete the follow-up during this quarter and enter the data into SPARQ, the measure will not be reported for the first quarter after the exit quarter until the end of the activity period, in this case, the first day of the second quarter after the quarter of exit.</li> <li>Follow-up 2 captures both Common Measures retention and average earnings. Because you need complete earnings in both the second and third quarters after the exit quarter, the activity period is the second and third quarters after the exit quarter, and the reporting period is the fourth quarter after the exit quarter. Thus, you may complete Follow-up 2 at any time during the fourth quarter after the exit quarter, but the results for the second and third quarters will not be reported until the first day of the fifth quarter after the exit quarter.</li> <li>Follow-up 3 captures the measure for retention at 1 year. Like entered employment, both the activity period and the reporting period are the same, the fourth quarter after the exit quarter. Although you can complete the follow-up during this quarter and enter the data into SPARQ, the measure will not be reported in the QPR for the fourth quarter after the exit quarter until the end of the activity period, in this case, the first day of the fifth quarter after the quarter of exit.</li> <li>The following tables illustrate when follow-ups may be conducted and when the measures will be reported.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments		
		<b><i>Follow-up 1 completed dates and QPR credit “as of” dates for PY2016 Exitters</i></b>		
		Exit in this quarter	When follow-up can be conducted	Credit reported for Entered Employment in
		7/1/2016 – 9/30/2016	10/1/2016 – 9/30/2017	Q2 PY2016 QPR (first calculated on 1/1/2017)
		10/1/2016 – 12/31/2016	1/1/2017 – 9/30/2017	Q3 PY2016 QPR (first calculated on 4/1/2017)
		1/1/2017 – 3/31/2017	4/1/2017 – 9/30/2017	Q4 PY2016 QPR (first calculated on 7/1/2017)
		4/1/2017 – 6/30/2017	7/1/2017 – 9/30/2018	Q1 PY2017 QPR (first calculated on 10/1/2017)
		<b><i>Follow-ups 2 and 3 completed dates and QPR credit “as of” dates for PY2015 Exitters</i></b>		
		Exit in this quarter	When follow-up can be conducted	Credit reported for Retention, Average Earnings, and Retention at 1 Year in
		7/1/2015 – 9/30/2015	7/1/2019 – 9/30/2017	Q1 PY2016 QPR (first calculated on 10/1/2016)
		10/1/2015 – 12/31/2015	10/1/2016 – 9/30/2017	Q2 PY2016 QPR (first calculated on 1/1/2017)
		1/1/2016 – 3/31/2016	1/1/2017 – 9/30/2017	Q3 PY2016 QPR (first calculated on 4/1/2017)
		4/1/2016 – 6/30/2016	4/1/2017 – 9/30/2017	Q4 PY2016 QPR (first calculated on 7/1/2017)
		<ul style="list-style-type: none"> <li>• Each follow-up must be completed in the program year in which the reporting quarter falls. Thus, for Follow-up 1, follow-ups for all exits in the first three quarters of the program year must be completed by September 30 following the close of the program year. For exits occurring during the fourth quarter of the program year, the reporting period is the subsequent program year so you have until the following September 30 to complete Follow-up 1.</li> <li>• For Follow-up 2, all exits at any time in the program year have their reporting period in the following program year so you have until September 30 after the following program year closes.</li> </ul>		

## Unsubsidized Employment Form Guide

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		<ul style="list-style-type: none"> <li>For Follow-up 3, the same rule applies as for Follow-up 2: All exits occurring in any quarter of the program year have their reporting period in the following program year so you have until September 30 after the close of that following program year to complete this follow-up.</li> <li>The following table illustrates the last date for completing each of the follow-ups.</li> </ul> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse;"> <thead> <tr> <th colspan="3" style="text-align: center;"><i>Last Follow-up dates for QPR performance credit in PY2016</i></th> </tr> <tr> <th style="width: 20%;">Follow-up(s)</th> <th style="width: 40%;">Exit on or between these dates</th> <th style="width: 40%;">Last date for completing the Follow-up</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">4/1/2016 – 3/31/2017</td> <td style="text-align: center;">9/30/2017</td> </tr> <tr> <td style="text-align: center;">2 and 3</td> <td style="text-align: center;">7/1/2015 – 6/30/2016</td> <td style="text-align: center;">9/30/2017</td> </tr> </tbody> </table>	<i>Last Follow-up dates for QPR performance credit in PY2016</i>			Follow-up(s)	Exit on or between these dates	Last date for completing the Follow-up	1	4/1/2016 – 3/31/2017	9/30/2017	2 and 3	7/1/2015 – 6/30/2016	9/30/2017																																								
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Topic 18 (Revised)	SPARQ follow-up reports and scheduled dates	<ul style="list-style-type: none"> <li>SPARQ contains management reports for pending follow-ups and overdue follow-ups (those pending more than 20 days after the scheduled date), as well as follow-ups by month. The scheduled dates in the management reports are the same as those used in the WebDCS for fields 28a, 29a, and 30a.</li> <li>For Follow-up 1, the scheduled date is the first day of the first quarter after the exit quarter.</li> <li>For Follow-up 2, the scheduled date is the first day of the fourth quarter after the exit quarter.</li> <li>For Follow-up 3, the scheduled date is the first day of the fourth quarter after the exit quarter.</li> </ul> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse;"> <thead> <tr> <th colspan="4" style="text-align: center;"><i>Follow-up scheduled dates based on exit quarter in PY 2015-2017</i></th> </tr> <tr> <th style="width: 25%;">Exit Date Between</th> <th style="width: 20%;">Exit Quarter</th> <th style="width: 20%;">Follow-up 1 Scheduled Date</th> <th style="width: 35%;">Follow-ups 2 and 3 Scheduled Date</th> </tr> </thead> <tbody> <tr><td>1/1/16 and 3/31/16</td><td>Q3 PY 2015</td><td>4/1/16</td><td>1/1/17</td></tr> <tr><td>4/1/16 and 6/30/16</td><td>Q4 PY 2015</td><td>7/1/16</td><td>4/1/17</td></tr> <tr><td>7/1/16 and 9/30/16</td><td>Q1 PY 2016</td><td>10/1/16</td><td>7/1/17</td></tr> <tr><td>10/1/16 and 12/31/16</td><td>Q2 PY 2016</td><td>1/1/17</td><td>10/1/17</td></tr> <tr><td>1/1/17 and 3/31/17</td><td>Q3 PY 2016</td><td>4/1/17</td><td>1/1/18</td></tr> <tr><td>4/1/17 and 6/30/17</td><td>Q4 PY 2016</td><td>7/1/17</td><td>4/1/18</td></tr> <tr><td>7/1/17 and 9/30/17</td><td>Q1 PY 2017</td><td>10/1/17</td><td>7/1/18</td></tr> <tr><td>10/1/17 and 12/31/17</td><td>Q2 PY 2017</td><td>1/1/18</td><td>10/1/18</td></tr> <tr><td>1/1/18 and 3/31/18</td><td>Q3 PY 2017</td><td>4/1/18</td><td>1/1/19</td></tr> <tr><td>4/1/18 and 6/30/18</td><td>Q4 PY 2017</td><td>7/1/18</td><td>4/1/19</td></tr> <tr><td>7/1/18 and 9/30/18</td><td>Q1 PY 2018</td><td>10/1/18</td><td>7/1/19</td></tr> </tbody> </table>	<i>Follow-up scheduled dates based on exit quarter in PY 2015-2017</i>				Exit Date Between	Exit Quarter	Follow-up 1 Scheduled Date	Follow-ups 2 and 3 Scheduled Date	1/1/16 and 3/31/16	Q3 PY 2015	4/1/16	1/1/17	4/1/16 and 6/30/16	Q4 PY 2015	7/1/16	4/1/17	7/1/16 and 9/30/16	Q1 PY 2016	10/1/16	7/1/17	10/1/16 and 12/31/16	Q2 PY 2016	1/1/17	10/1/17	1/1/17 and 3/31/17	Q3 PY 2016	4/1/17	1/1/18	4/1/17 and 6/30/17	Q4 PY 2016	7/1/17	4/1/18	7/1/17 and 9/30/17	Q1 PY 2017	10/1/17	7/1/18	10/1/17 and 12/31/17	Q2 PY 2017	1/1/18	10/1/18	1/1/18 and 3/31/18	Q3 PY 2017	4/1/18	1/1/19	4/1/18 and 6/30/18	Q4 PY 2017	7/1/18	4/1/19	7/1/18 and 9/30/18	Q1 PY 2018	10/1/18	7/1/19
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Topic 19	Follow-ups for self-employed participants	<ul style="list-style-type: none"> <li>Self-employment is counted for the entered employment, retention, and 1-year retention measures. That requires you to do all three follow-ups. Self-employed individuals are excluded from the Common Measures average earnings measure.</li> <li>You must document that the participant is engaged in a legitimate business, but you do not obtain any information about income or earnings. Self-employment may be verified by any proof that the individual is engaged in a business, such as tax registration, business cards or invoices, or a state license. The individual does not have to prove income from the business, but the receipt of income would suffice to establish self-employment.</li> <li>Although a self-employed participant has no reported wages, you use fields 28c(vi), 29c(vi), 29e(vi), and 30e(vi) of the UE form to record that the participant is still self-employed during the first, second, third, and fourth quarters after the quarter of exit. This will provide you with credit for Common Measures entered employment and retention, and retention at 1 year. For Follow-ups 1 and 3, you capture all listed information.</li> </ul>																				

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Topic 20	Follow-ups only for exited participants who have employment and no exclusion	<ul style="list-style-type: none"> <li>• You need to fill out an Unsubsidized Employment Form for each employer that a participant has during the follow-up period, generally the first 15 months after exit. If you know that the participant has failed to achieve a measure with an employer, you can indicate "no" in the appropriate field along with the date of the follow-up. If you do not complete the fields for a follow-up, the measure will be treated as a failure.</li> <li>• If a participant is excluded at the time of exit, you do not need to do any follow-up with that participant even if the participant subsequently becomes employed. If the participant becomes excluded at Follow-up 1 or Follow-up 2, you do not have to conduct subsequent follow-ups.</li> <li>• Fields 27 and 27a of the Unsubsidized Employment Form are used to record whether there is a Common Measures exit. If the participant exercises the right of return or re-enrolls within 90 days of the date of exit, the Common Measures do not apply. Therefore, you would not need to do any follow-ups.</li> </ul>
Topic 21	“Orphan exiters”: follow-up for participants who exited before a sub-grantee has gone out of business	<ul style="list-style-type: none"> <li>• Whenever a total change of sub-grantee occurs, there may be exited participants who are still in the follow-up period, typically 15 months after the date of exit. Since these “orphan exiters” are not active participants, the question arises as to which entity will handle their follow-up once the old sub-grantee goes out of business.</li> <li>• You cannot transfer participants who exited from a closing sub-grantee. Once an exit has occurred for any reason, you can no longer enter a transfer into the database.</li> <li>• You can, however, use the batch change of entity function in SPARQ to have the new sub-grantee that is receiving all the active participants from the closing sub-grantee take responsibility for the orphan exiters as well. The easiest way for this to occur is for the receiving sub-grantee to receive the entire database of the closing sub-grantee. At that time, the database of the closing sub-grantee would be marked as “retired” in SPARQ.</li> <li>• If more than one sub-grantee is receiving the active participants from the sub-grantee that is closing, you can still use the change of entity function to assign the orphan exiters to one or more of these recipient sub-grantees.</li> <li>• Alternatively, the grantee itself may perform the follow-up activities for the orphan exiters. The grantee has read/write access to the databases of all of its sub-grantees. It could perform the follow-up and update the records of only the orphan exiters while assigning the active participants to one or more sub-grantees. The entire database for the old sub-grantee would be marked as “retired” in SPARQ when the outcomes for the orphan exiters were final.</li> </ul>



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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>If the grantee lets the sub-grantee go out of business and does not make arrangements for some other entity to do the follow-up for the orphan exiters, the grantee will lose any remaining outcome credit for exited participants. The national office strongly discourages this option because it will negatively affect performance at the grantee and nationwide levels.</li> </ul>
26	90-day date	<ul style="list-style-type: none"> <li>In order for the participant to exit for purposes of the Common Measures, the participant must not have received any program services (other than the specifically defined follow-up activities or services listed in element 27a below) for 90 days. (See Form Heading 1 of the Exit Form Guide.) For SCSEP, additional program services would require returning to the program or re-enrolling in the program.</li> <li>The WebDCS will automatically provide the 90-day date. You should enter this date into the hard copy form when you first fill it out so you will know when to check to see if the participant has received additional services.</li> </ul>
27	Has the participant returned to program within the first 90 days of exit	<ul style="list-style-type: none"> <li>This field is used to indicate whether the participant has exercised the right of return. If so, there is no exit for purposes of the Common Measures, and the participant is not included in the performance outcome measures.</li> <li>If the participant exits for unsubsidized employment and the employment does not last for 30 days within the first 90 days after exit, the participant is entitled to return to the program (within 90 days of exit) without having to re-enroll. Although the participant has this right, you should make every effort to place the participant in a new unsubsidized job before re-assigning the participant to community service if the participant is truly job-ready. If the participant accepts a new job, you fill out a new Unsubsidized Employment Form and conduct the follow-ups with the new employer. The new employment will be combined with the original employment for determining the Common Measures.</li> <li>Use field 27 to record that a participant whose employment lasted for less than 30 days is electing to return to the program. (If you have checked “yes” in field 28c to indicate entered employment, you must also delete that check mark.) You then delete the exit reason (field 5, 6, or 6a) and the exit date (field 7) from the Exit Form. You also fill out a new Community Service Assignment Form to document the host agency assignment. You will need to create an approved break in participation (field 15a of the Community Service Assignment Form) that is at least as long as the gap between assignments. Use the comment field on the Exit Form to explain what you have done. The participant will not be included in the outcome measures until the participant again exits the program. See Topic 1 of the Exit Form Guide.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
27a	Has the participant re-enrolled in SCSEP within the first 90 days after exit?	<ul style="list-style-type: none"> <li>• If “yes,” an exit has not occurred for purposes of the Common Measures, and the participant is excluded from the Common Measures. Follow-ups are not required.</li> <li>• Additional services for purposes of the Common Measures do <b>not</b> include specifically defined follow-up activities or services. If the participant has received any of the following within 90 days after exit but has not re-enrolled, check “no”:               <ul style="list-style-type: none"> <li>○ payment of reasonable costs of transportation</li> <li>○ health care and medical services</li> <li>○ special job-related or personal counseling</li> <li>○ incidentals (such as work shoes, badges, uniforms, eyeglasses, and tools)</li> <li>○ child and adult care</li> <li>○ temporary shelter</li> </ul> </li> <li>• These follow-up activities are specifically authorized in the regulations in order to help a participant in unsubsidized employment achieve entered employment and retention.</li> </ul>
Topic 22 (Revised)	Performance measures credit: transfer vs. re-enrollment	<ul style="list-style-type: none"> <li>• In the case of a transfer, there is no Common Measures exit from the donor grantee so there is no effect on the performance measures. The recipient grantee will be credited with the employment outcomes when there is a true exit from the recipient grantee. Those outcomes can be either positive or negative. In the case of an exit from one grantee and subsequent re-enrollment with another grantee, each grantee gets its own credit. If the participant exited from one grantee for personal reasons and did not start a placement, the original grantee would have a negative outcome on the entered employment rate. If the participant subsequently re-enrolled with a different grantee, only the new grantee would receive credit for the employment outcomes when the participant left the second program.</li> </ul>
28 (Revised)	Follow-up 1	<ul style="list-style-type: none"> <li>• Follow-up 1 is designed for case management purposes and for delivering the customer satisfaction survey to the employer, as well as for establishing entered employment. Therefore, it should be completed as close to the beginning of the first quarter after the exit quarter as is compatible with delivering the customer satisfaction survey, i.e., between 20 and 100 days after the employment started. See Form Heading 7 and Topic 9 above. The follow-up will not be reported as a success or failure until the first quarter after the exit quarter has ended. On the first day of the second quarter after the exit quarter, the QPR for the prior quarter will reflect everyone who could have achieved entered employment.</li> <li>• You have until 90 days after the end of the program year in which the reporting quarter falls to complete Follow-up 1 and get credit for entered employment.</li> </ul>

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		<ul style="list-style-type: none"> <li>• The first follow-up should be conducted in person if at all possible. If it is not feasible to conduct the follow-up in person, it may be conducted by phone, and the customer satisfaction survey may be mailed to the contact person.</li> <li>• The follow-up with the participant is part of case management. It is an opportunity to see if the placement is going well and to determine whether the participant needs supportive service, counseling, or other assistance to be successful in the placement. If the placement is not working out, the follow-up may be the time to suggest another placement for the participant.</li> <li>• The follow-up is also an opportunity to establish a relationship with the employer if one has not already been established. This may be especially important if the participant obtained the job without assistance from the sub-grantee and the employer is not aware of the connection with the program. This contact allows the sub-grantee to explain SCSEP to the employer, learn about the employer’s needs, and begin a relationship that may yield additional placements.</li> <li>• Sub-grantees should use this first follow-up to prepare the employer for the next follow-up, at which time the employer will need to provide employment and wage information. Explaining the program during an in-person conversation may make the employer more willing to cooperate later.</li> <li>• You will conduct this follow-up with self-employed individuals solely to determine whether they have been self-employed during the first quarter after the exit quarter. You will not give them the employer customer satisfaction survey.</li> <li>• If the participant has multiple employers, you conduct Follow-up 1 with the current employer to determine whether there was employment in the first quarter after the exit quarter and work backwards until you find a success. If the participant achieves entered employment with one employer and then has subsequent employment with another employer, you do not conduct Follow-up 1 with the subsequent employer. You might have to do Follow-up 2 with both the first and second employers depending upon when the first employment ended. See Topic 30 below. Note: A follow-up does not itself constitute a substantial service that would render the employer subject to the customer satisfaction survey. All employers will receive the first follow-up. Only those employers that have received a substantial service in connection with the placement of the participant will receive the customer satisfaction survey during the first follow-up.</li> </ul>
28a	Scheduled date	<ul style="list-style-type: none"> <li>• This date is the first day of the first quarter after the exit quarter.</li> <li>• The WebDCS will automatically provide the scheduled date. You should enter this date into the hard copy form when you first fill it out so you will know when to conduct the first follow-up.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
28b	Completed date	<ul style="list-style-type: none"> <li>• Enter the date on which the follow-up is conducted by the sub-grantee.</li> <li>• This date is critical for the performance measures. SPARQ will not let you submit a follow-up record without this date or with an improper date in this field.</li> <li>• SPARQ contains case management reports that will help you keep track of follow-ups that are pending or overdue.</li> <li>• You may record the completed follow-up as early as the first day of the first quarter after the exit quarter, but the results will not be reflected in the QPR for that quarter until the first day of the second quarter.</li> </ul>
28c	Any wages for first quarter after exit quarter? Please also indicate method of verification	<ul style="list-style-type: none"> <li>• This field indicates if the participant entered employment for the Common Measures.</li> <li>• Indicate whether the participant received <i>any</i> wages in the quarter after the quarter of exit. Do not consider the quarter in which the participant first exited.</li> <li>• If the participant had wages, you will check box vi.</li> <li>• Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant. The exit will not be counted as an entered employment under the Common Measures, and the retention and earnings gain measures will not apply. You will not need to conduct Follow-up 2 or 3.</li> <li>• If you discover that the participant qualifies for one of the exclusions discussed in field 6 of the Exit Form Guide (deceased, medical condition, family care, or institutionalized), check box viii. The participant will then be excluded from the relevant performance measures and will not count against your performance. <u>Do not change the original exit reason or date.</u> You will not need to conduct Follow-up 2 or 3 with this employer.</li> <li>• Complete this field for self-employed individuals.</li> <li>• Data validation is required for this element.</li> </ul>
Topic 23	Temporary/on-call employment and entered employment	<ul style="list-style-type: none"> <li>• Entered employment does not consider the type or duration of employment. Any employment whatsoever, including temporary or on-call employment for as little as an hour during the first quarter after the exit quarter, suffices to establish entered employment.</li> </ul>
Topic 24	OJE's and entered employment	<ul style="list-style-type: none"> <li>• OJE is a type of training. Because it is subsidized in part by the program, it does not qualify as unsubsidized employment even if the employer directly pays the participant's wages during the OJE. Furthermore, a participant must remain enrolled in the program during an OJE; the participant does not exit and is not included in the Common Measures until the OJE ends and the</li> </ul>

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		<p>employer has hired the participant. The start work date on the Unsubsidized Employment Form should be the first day on the employer's payroll after the OJE ended and the participant was exited from the program.</p>
Topic 25	Placement credit for participants who do not start community service	<ul style="list-style-type: none"> <li>• You can create an Unsubsidized Employment Form for an exited participant who never started work at his or her host agency assignment and receive credit. However, since you are only supposed to enroll those who need and can benefit from community service, the number of cases where someone obtains a job before starting a community service assignment should be extremely limited. An applicant who got a job so quickly after enrolling was probably job-ready. Although you will receive credit for entered employment, a monitor could find that the enrollment was improper.</li> <li>• Job-ready applicants should be referred to the American Job Center. If your MOU so provides, you may conduct job search and placement activity for job-ready applicants. You should determine them ineligible and indicate in field 36 of the Participant Form the action you took to assist them.</li> </ul>
Topic 26	Right of return	<ul style="list-style-type: none"> <li>• If the participant exits for unsubsidized employment and works for a total of less than 30 days within the first 90 days after exit, the participant is entitled to return to the program (within 90 days of exit) without having to re-enroll. See Topic 1 of the Exit Form Guide. Although the participant has this right, you should make every effort to place the participant in a new unsubsidized job before re-assigning the participant to community service. If the participant accepts a new job, you fill out a new Unsubsidized Employment Form and conduct the follow-ups with the new employer.</li> <li>• If the participant exercises the right of return, you must check “yes” in field 27.</li> </ul>
Topic 27	Credit for entered employment where exit was for reason other than unsubsidized employment	<ul style="list-style-type: none"> <li>• The reason for exit on the Exit Form does not determine whether you receive credit for a placement. The Exit Form records the reason for exit at the time of exit. If the participant exited for some other reason but subsequently started unsubsidized employment, you leave the Exit Form as it was. You create an unsubsidized employment form and fill it out as you would for any other placement. A "yes" in field 28c will provide you credit for entered employment.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 28	Re-enrolling participants who quit their jobs	<ul style="list-style-type: none"> <li>• If the participant quit a job, you should consider that in deciding whether to take the participant back into the program. If the participant quit with good cause, e.g., was unsuited for the work or had a health problem, and asked to come back within 90 days of exit, the right of return would apply. You would also be justified in exercising your discretion to re-enroll an applicant who sought to return after 90 days. Before taking the participant back into the program, you should determine whether another placement would be appropriate. If the participant quit a job because he or she lacked sufficient skill but was otherwise job-ready, you should try to find a more suitable job.</li> <li>• On the other hand, if the participant quit under conditions that would have amounted to a failure to comply with the IEP, e.g., the job was suitable but the participant really did not want to work in any job, you might not let him or her exercise the right of return, or you could take the participant back only if he or she agreed to cooperate in the future and you could treat the quit as a failure to accept a job referral under the IEP. You do not have to permit the participant to re-enroll. Re-enrollment is discretionary, and a participant who has been terminated for cause or has demonstrated an unwillingness to abide by the program's rules may not be entitled to a second enrollment.</li> </ul> <p>Furthermore, if the participant has worked a sufficient time to demonstrate that he or she is job-ready, the participant would no longer be eligible for re-enrollment. Job-ready applicants, including former participants, should be referred to the American Job Center.</p>
Topic 29	Follow-up for participants who re-enroll after having had a placement	<ul style="list-style-type: none"> <li>• How re-enrollment affects follow-up and grantee credit for employment outcomes depends on when the re-enrollment occurs. Re-enrollment (or right of return) that occurs within 90 days of exit means that there is no true exit for the Common Measures. Therefore, there is no possibility of outcome credit in SPARQ and no need to do any follow-up. See Elements 26-27a. On the other hand, if the individual re-enrolls more than 90 days after exit (there can be no right of return after 90 days), the exit counts and the first grantee will be credited for all relevant outcome measures. The original grantee should continue doing follow-up until the participant re-enrolls and it is clear that further employment credit is no longer possible. (An edit in SPARQ will alert you if the participant has re-enrolled with another grantee.)</li> <li>• How much follow-up the original grantee does will be determined by when the re-enrollment occurs. If the re-enrollment does not occur until 6 months after exit, the grantee should have already done Follow-up 1 and gotten credit for entered employment. In that case, the participant</li> </ul>

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		will be in the pool for retention. Retention requires employment in the first, second, and third quarters after exit. Re-enrollment before 6 months of employment almost certainly means that the original grantee will not be able to complete Follow-up 2, and that retention will not be achieved.
Topic 30 (Revised)	Follow-ups for participants with multiple employers	<ul style="list-style-type: none"> <li>• You must create a new Unsubsidized Employment Form for each job that a participant has during the follow-up period, generally the first 15 months after exit. No matter how many jobs the participant has, either concurrently or consecutively, you will only get credit for one entered employment and one retention per enrollment. In SPARQ, you can enter "no" many times for these measures, but you should only enter one "yes," even if the participant has multiple employers.</li> <li>• When there are multiple employers, start the follow-up with the current employer. If that employer can provide definitive information about all the measures that you are trying to capture in that follow-up, you do not have to contact previous employers. If the current employer cannot give you a definitive answer, then you contact the next most recent employer and keep moving back in time until you have gotten a definitive answer or have run out of employers. Do not delete a placement just because it was unsuccessful and the participant started a new job.</li> <li>• A separation from an employer followed by a return to work with the same employer can be a layoff and recall. If so, you do not enter a second placement into SPARQ. All of the follow-up occurs on the original placement and all Common Measures credit are tied to that placement.</li> <li>• If the circumstances of the separation from and subsequent return to employment with the employer are such that categorizing them as a layoff and recall is not feasible, you can enter a second placement with the same employer into SPARQ after entering an end date for the first placement. Since you can only get credit for one entered employment and one retention following a single exit from SCSEP, which placement you do the follow-up with will be determined by the timing of the two placements. Assuming that the participant achieved entered employment in the first placement but left the employment in the first quarter after the exit quarter, you would record entered employment with the UE record for the first placement but would have to record retention for both the second and third quarters after the exit quarter in the UE record for the second placement. If, after achieving entered employment, the participant left employment in the second quarter after the exit quarter and resumed employment in the third quarter after the exit quarter, you would have to record the second quarter's retention data in the UE record for the first placement and record the third quarter's retention data in the UE record for the second placement. The fact that the two placements are with the same employer would be irrelevant.</li> </ul>

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		<ul style="list-style-type: none"> <li>In the WebDCS, you only need to fill in the follow-up information that is required for each employer. You can leave the other fields blank and ignore the missing data messages you get, or you can enter "no" and avoid the missing data messages. The QPR treats blank fields as "no" once the time for doing the follow-up has passed.</li> </ul>
29	Follow-up 2	<ul style="list-style-type: none"> <li>Follow-up 2, which captures both the Common Measures retention and average earnings measures, is scheduled for the first day of the fourth quarter after the exit quarter. Because you must wait for the second and third quarters to end to have complete wages for those quarters, you should do the second follow-up at least a week or two after the close of the third quarter – i.e., sometime in the fourth quarter after the quarter of exit – and you should complete it any time during that quarter.</li> <li>This follow-up may be conducted in person, by mail, or by telephone.</li> <li>Because you need complete wages for both the second and third quarters after the exit quarter, it is essential that you conduct this follow-up with all employers with which the participant was employed at any time during these quarters.</li> <li>You do conduct this follow-up for self-employed individuals to determine if they had any wages in the second and third quarters after the quarter of exit (for retention), but you do not record the amount of earnings in the second or third quarters.</li> <li>This follow-up is not required for any participant who returned to program or re-enrolled within 90 days of starting employment. Nor is it required if you were unable to obtain employment information from this employer during the first follow-up.</li> </ul>
29a	Scheduled date	<ul style="list-style-type: none"> <li>This date is the first day of the fourth quarter after the exit quarter.</li> <li>The WebDCS will automatically provide the scheduled date. You should enter this date into the hard copy form when you first fill it out so you will know when to conduct the second follow-up.</li> </ul>
29b	Completed date	<ul style="list-style-type: none"> <li>Enter the date on which the follow-up is conducted by the grantee. This information is required for the Common Measures. SPARQ will reject any follow-up record that is missing the completed date or has an improper completed date.</li> <li>You will usually need to wait until a week or so after the close of the third quarter after the quarter of exit in order to obtain full wages for the second and third quarters after the exit quarter.</li> <li>SPARQ contains case management reports that will help you keep track of follow-ups that are pending and that are overdue.</li> </ul>



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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> <li>You may record the completed follow-up as early as the first day of the fourth quarter after the exit quarter, but the results will not be reflected in the QPR for that quarter until the first day of the fifth quarter.</li> </ul>
29c (Revised)	Any wages for second quarter after exit quarter?	<ul style="list-style-type: none"> <li>For Common Measures retention, you must indicate whether (yes/no) there were <i>wages</i> in both the second and third quarters after exit for <u>all</u> participants who entered employment.</li> <li>If the participant had wages in the second quarter after the exit quarter, you will check box vi.</li> <li>Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant. The exit will be counted as having failed the retention measure under the Common Measures. In that case, the participant will not be in the pool for average earnings, and you will not have to record the amount of earnings for the second and third quarters in field 29d.</li> <li>If you discover that the participant qualifies for an exclusion discussed in field 6 of the Exit Form Guide (deceased, medical condition, family care, or institutionalized), check box viii. <u>Do not change the original exit reason or date.</u> The participant will be excluded from the performance measures from this point forward.</li> <li>Complete this field for self-employed individuals.</li> <li>Data validation is required for this element.</li> </ul>
Topic 31 (New)	Wages when working on commission	<ul style="list-style-type: none"> <li>For Follow-up 2 purposes, you will need to determine the actual wages, including commission, from the employer. That should not be a problem since the employer is required to keep a record of all earnings, including commissions. However, for average starting wage (UE Form #16), there is no way to tell what commissions the participant may eventually earn. All you can safely do for this field is leave it blank.</li> </ul>
29d (Revised)	If yes, earnings for second quarter after exit quarter	<ul style="list-style-type: none"> <li>Enter the actual amount of wages for the second quarter after the exit quarter at this placement. Although the wages are available earlier than the fourth quarter, you obtain them during the fourth quarter after the quarter of exit, when you are also obtaining the wages for the third quarter after the quarter of exit. This means that you will obtain all wages from the employer in a single follow-up.</li> <li>Do not use this field for self-employed participants.</li> <li>Data validation is required for this element.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
29e (Revised)	Any wages for third quarter after exit quarter? Please also indicate method of verification	<ul style="list-style-type: none"> <li>• Indicate whether the participant received <i>any</i> wages in the third quarter after the quarter of exit. This will determine retention for purposes of the Common Measures.</li> <li>• If the participant had wages, you will check box vi.</li> <li>• Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant. The exit will be counted as having failed the retention measure under the Common Measures. In that case, the participant will not be in the pool for average earnings, and you will not have to record the amount of earnings for the second and third quarters in field 29f.</li> <li>• If you discover that the participant qualifies for one of the exclusions discussed in field 6 of the Exit Form Guide (deceased, medical condition, family care, or institutionalized), check box viii. <u>Do not change the original exit reason or date.</u> The participant will then be excluded from the relevant performance measures and will not count against your performance.</li> <li>• Complete this field for self-employed participants.</li> <li>• Data validation is required for this element.</li> </ul>
29f (Revised)	If yes, earnings for third quarter after exit quarter	<ul style="list-style-type: none"> <li>• Enter the actual amount of wages for the third quarter after the exit quarter at this placement. Do not complete this field for self-employed participants.</li> <li>• Data validation is required for this element.</li> </ul>
Topic 32 (New)	Using paystubs for earnings information	<ul style="list-style-type: none"> <li>• DOL requires grantees to attempt to obtain earnings information for Average Earnings from the employer because that is the only way to ensure the accuracy of the data. See Topic 12 above. If repeated efforts to obtain the information from the employer are unsuccessful, the grantee may obtain the information from the participant. However, if it does so, the grantee must use paystubs for all wages it enters for Average Earnings; it cannot multiple 1 pay stub by 26 or let the participant estimate the total amount of the wages.</li> <li>• When using paystubs, the first and last payments may be for payroll periods that span the two quarters used for AE. Grantees should count the checks when they were paid, as opposed to the pay periods they are for. Because you are counting wages for two full quarters, this will generally balance itself out: You include the first check because it was paid in Q2 even though it includes some wages in Q1, and you exclude the final check because it was paid in Q4 even though it includes some wages paid in Q3. This ensures consistency among the grantees and prevents a situation where each grantee makes up its own method of calculating what portion of the pay check should be allocated to Q2 and Q3.</li> </ul>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 33	Temporary or on-call employment, effect on retention	<ul style="list-style-type: none"> <li>Retention does not consider the type or duration of a particular placement. Any employment whatsoever, including temporary or on-call employment for as little as an hour during the second and third quarters after the exit quarter, suffices to establish retention.</li> </ul>
30 (Revised)	Follow-up 3	<ul style="list-style-type: none"> <li>This follow-up captures retention at 1 year, defined as employment in the fourth quarter after the quarter of exit for all participants who had wages in the first quarter after the quarter of exit. This follow-up effectively extends the follow-up period to 15 months.</li> <li>Retention at 1 year applies to all participants who achieved entered employment, regardless of whether they also achieved employment retention at 6 months (Follow-up 2).</li> <li>You record only the fact of employment, not the amount of wages earned in this quarter.</li> <li>Both the activity and reporting periods are the fourth quarter after the exit quarter.</li> </ul>
30a	Scheduled date	<ul style="list-style-type: none"> <li>This date is the first day of the fourth quarter after the exit quarter.</li> <li>The WebDCS will automatically provide the scheduled date. You should enter this date into the hard copy form when you first fill it out so you will know when to conduct the third follow-up.</li> </ul>
30b	Completed date	<ul style="list-style-type: none"> <li>Enter the date on which the follow-up is conducted by the sub-grantee.</li> <li>This date is critical for the performance measures. SPARQ will not let you submit a follow-up record without this date or with an improper date in this field.</li> <li>SPARQ contains case management reports that will help you keep track of follow-ups that are pending or overdue.</li> <li>You may record the completed follow-up as early as the first day of the fourth quarter after the exit quarter, but the results will not be reflected in the QPR for that quarter until the first day of the fifth quarter.</li> </ul>
30c (Revised)	Any wages for fourth quarter after exit quarter? Please also indicate method of verification	<ul style="list-style-type: none"> <li>This field determines if the participant achieved retention for 1 year.</li> <li>Indicate whether the participant received <i>any</i> wages in the fourth quarter after the quarter of exit.</li> <li>For these purposes, do not consider the quarter in which the participant first exited. For example, if the participant exited and entered employment on July 24, 2015, the fourth quarter after the quarter of exit would be July 1-September 30, 2016.</li> <li>If the participant had wages, you will check box vi.</li> </ul>

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		<ul style="list-style-type: none"> <li>• Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant.</li> <li>• If you discover that the participant qualifies for one of the exclusions discussed in field 6 of the Exit Form Guide (deceased, medical condition, family care, or institutionalized), check box viii. The participant will then be excluded from this performance measure and will not count against your performance.</li> <li>• Complete this field for self-employed individuals.</li> <li>• Data validation is required for this element.</li> </ul>
31	Customer satisfaction and follow-up comments.	<ul style="list-style-type: none"> <li>• Enter any comments regarding the customer satisfaction surveys or follow-ups. You may enter up to 1000 characters (about 160 words).</li> </ul>