



UNITED STATES DEPARTMENT OF LABOR
Division of Adult Services

SCSEP Data Collection Handbook

The Charter Oak Group, LLC

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Introduction to SCSEP Data Collection Handbook Revision 5

Revision 5 of the Data Collection Handbook is designed to assist grantees and sub-grantees with the changes required by the 2006 amendments to the Older Americans Act and the Interim Final Rule (IFR), which implements those changes that affect the SCSEP data collection and performance system. It is also designed to explain the changes in SPARQ version 3.0, which has been designed to implement the new data collection and performance requirements.

This revision of the Handbook contains revised guides to the versions of the four hard copy forms that are effective July 1, 2007. The forms are available on the SCSEP site at <http://www.charteroakgroup.com/resources/scsep.shtml>. Although the forms are considered draft until they receive final OMB approval, the data elements contained in the four hard copy forms must be reported for all participants in the specified format regardless of whether a grantee uses the SCSEP Web Data Collection System (WebDCS or WDCS). 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 using their own data collection systems, will need to be familiar with and follow the information in this Handbook.

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

- “SPARQ” – The overall automated system (data entry application, upload process, national database, and reports). SPARQ is the acronym for the “SCSEP Performance and Results QPR” system.
- “SPARQ 1” – The original environment in which all grantees submit quarterly data through xml files.
- “DCS” – The “Data Collection System” is the desktop data entry application that most grantees used in SPARQ 1.
- “Non-DCS users” – Grantees that use their own automated system and submit the required data through Excel spreadsheets.
- “SPARQ 2” – The new Web-based version of the data collection and reporting system.
- “WebDCS (WDCS)” – The Web-based data entry application that replaces the original DCS in SPARQ 2.
- “Non-Web DCS (Non-WDCS) users” – Grantees that continue to use their own automated systems and submit data on a specified schedule to SPARQ.
- “SPARQ 2.0” – The first release of SPARQ 2, which contains the core functionality.
- “SPARQ 3” – the second release of the Web-based version of SPARQ, which implements the changes in the data collection and performance system required by the 2006 amendments.
- “SPARQ 3.x” – Subsequent releases of SPARQ 3, which contain additional functionality.

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 revised or are new since the fourth revision of the Handbook are so indicated in the first column. Relevant information that is contained in the postings on the SCSEP *Ask the Experts* Internet forum through August 22, 2007, 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 TEGs that have been issued since the last revision.

Following the format of the hard copy forms, data elements that are optional are shaded in gray. Unshaded fields are required in that they must be completed if appropriate. Asterisks are no longer used to denote required fields. Data elements that are newly active in the SPARQ 3 database are noted. Also noted are those data elements that are retroactive to July 1, 2007, and that must be entered into SPARQ 3 from the new hard copy forms when SPARQ 3 is available in early August.

NOTE: This revision to the Handbook contains descriptions of the data elements as they are to be entered into SPARQ 3. Users wishing guidance about data elements entered into SPARQ 2 should consult Revision 4 of the Handbook.

In addition, the Handbook references some of the edits in SPARQ 3 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 Mathematica Policy Research Web site, <http://SCSEP.Mathematica-MPR.com>. For information on the management reports contained in SPARQ 3 and 3.x, users should see the revised SPARQ Management Reports Handbook, which will be available on the SCSEP Web page, <http://charteroakgroup.org/resources/scsep.shtml>, in September 2007.

The SCSEP Data Collection Handbook is also available at the SCSEP Web page. 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 versions 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 Handbook is designed to 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. The Charter Oak Group Web site contains the entire printable Handbook.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 1 (Revised)	Data elements newly active in SPARQ 3	<ul style="list-style-type: none"> • All of the data elements in the 7/1/07 version of the hard copy forms will be active in the SPARQ 3 database although some may not be active with the first release of SPARQ 3. The hard copy forms can be found on the Charter Oak Group's SCSEP Web page at http://www.charter oakgroup.com/resources/scsep.shtml. Data that were captured only on the hard copy forms because the fields were missing in SPARQ 2 should be entered into SPARQ 3. In a few instances (all of which are noted in the discussion of the data elements in this Handbook), the fields on the WebDCS screens are display only. This means that data are system-generated or supplied by some function other than direct data entry by the user. • The following fields in SPARQ 3 were not active in SPARQ 2 or were defined or used differently in SPARQ 2. <ul style="list-style-type: none"> ○ Field 8 is now supplemented by field 27. ○ Field 8a has a new definition and requires consulting a link before entry. ○ Field 14 is used to record total family income at enrollment for either 12 months or six months annualized. ○ Field 17a, displays the change in sub-grantee, but the date of the change is not yet active in SPARQ 3. ○ Field 24 has a revised label. ○ Field 27 has been changed to record at risk of homelessness. Isolation is no longer recorded. ○ Field 29 has been changed to record failed to find employment after receiving WIA Title I services. Other social barriers are no longer recorded. ○ Field 30 has a revised label. ○ Field 40(e) and (f) have been renumbered due to the elimination of the fields for co-enrollment with the Section 502(e) program. ○ Field 45 is used to record total family income at recertification for either 12 months or six months annualized. ○ Fields 51-57 have been added to record the waiver factors. ○ Fields 55 and 56 are copied from Fields 23 and 24 and system-generated.

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		<ul style="list-style-type: none"> ○ Field 57 is calculated as Current Date – DOB and system-generated. ○ Field 58 has been renumbered.
Topic 2	Modifying OMB-approved data collection forms	<ul style="list-style-type: none"> • 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. • 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.
Form Heading 1 Form Heading 2 Form Heading 3	Sub-Grantee Local Site Case Worker	<ul style="list-style-type: none"> • WebDCS will identify grantee and sub-grantee from the log in. The user does not input either the name or the code. • You may use the local site if the sub-grantee has multiple sites and the name of the case worker, if applicable. You may be able to use these two fields and the sub-grantee field as filters when you generate the management reports. • WebDCS users can enter local site and case worker in the row above the participant name in the participant or enrollment screens. These fields are specific to the enrollment.
Topic 3	Ineligible applicants: When is an application required?	<ul style="list-style-type: none"> • Sub-grantees and local projects 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. • 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. • 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.

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Topic 4	Ineligible applicants: Why you might want to take an application	<ul style="list-style-type: none"> • Field 11a of Section B of the QPR reports non-SCSEP-eligible applicants who were placed in employment by the sub-grantee. Such activity is authorized if provided for in the Memorandum of Understanding (MOU) with the local One-Stop system. See discussion of field 36d. Although these placements do not count toward the SCSEP performance measures, the QPR acknowledges sub-grantees' efforts as One-Stop partners. The QPR can only report these non-eligible placements if applications are taken. • When completing an application for an ineligible participant, it is not necessary to have the individual sign the certification if you are certain that the applicant accepts the eligibility determination and will not challenge it. Eliminating the signature may facilitate your taking applications over the phone for ineligible applicants where you plan to provide placements. See Topic 32 and the discussion of field 32 below.
Topic 5	Entering N/A or “dummy” data into the data system	<ul style="list-style-type: none"> • 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. 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 happened 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. • SPARQ will prevent you from entering invalid values into most fields.
Topic 6	Data errors in SPARQ	<ul style="list-style-type: none"> • 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. All other data quality problems for an enrollment will be noted in the Enrollment Data Quality Problems (EDQP) on the main page of the WebDCS for that participant before you close the record you are working on. • The DQR continues to provide a listing of all data quality problems for a sub-grantee.

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		<p>Records will be identified by participant last name and the last four digits of the Social Security number. Participation ID numbers will no longer be required to fix errors.</p> <ul style="list-style-type: none"> • SPARQ classifies data errors. Records are rejected by the QPR only if they contain serious errors affecting eligibility or performance. For WebDCS users, 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. For non-WebDCS users, all rejections and warnings will appear in the DQR. • 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: <ul style="list-style-type: none"> ○ Warning Priority 1, like a reject, affects eligibility or performance. In this instance, although the entire record will not be rejected, credit for one or more measures is affected. ○ Warning Priority 2 affects a QPR measure other than one of the performance measures in Section E or F or affects a SCSEP program requirement. ○ Warning Priority 3 involves data elements that are required but that are not reported on the QPR. • Warnings and error messages are not generated for most optional fields.
Topic 7	Missing data warnings	<ul style="list-style-type: none"> • As discussed in Topic 6 above, the system of warnings has been substantially revised in SPARQ. Many of the old missing data error messages have been deleted. However, 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. • <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.

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1	Last name	<ul style="list-style-type: none"> • A last name (along with a Social Security number and application date) is required to create a valid record in SPARQ. • The fields for the applicant's first and last name will be used to mail letters and the customer satisfaction survey.
2	First name	<ul style="list-style-type: none"> • 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. • Because the applicant's first and last name will be used for mailing letters and the customer satisfaction survey, it is essential to enter a first name for all applicants except those who use only one name.
3	Middle initial	<ul style="list-style-type: none"> • You should leave this field blank if the individual does not have a middle initial.
4	Social Security Number	<ul style="list-style-type: none"> • Because the Social Security number serves as a unique identifier, it is necessary to record the Social Security number even if the applicant is determined ineligible. The Social Security number will also be used to obtain the UI wage records for determining entered employment and calculating the average wage measure once these records become available for all grantees. • Records without a Social Security number will be rejected by SPARQ. 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. Non-WebDCS users have access to the participant search function in SPARQ so they can determine whether an applicant is currently enrolled. • If the applicant does not have a Social Security number, do not make one up. Instead, contact Mathematica and it will provide a proxy number that you may use. • 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 Identifying Information (PII), including name, address and Social Security number, in an encrypted format to ensure confidentiality.

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Topic 8	Dual enrollments	<ul style="list-style-type: none"> • 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, that grantees will exceed the permissible limits on training dollars, or that grantees will have to falsify data to enter the dual enrollments into the data system. • Because dual enrollments are not permitted in SCSEP, SPARQ will not permit WebDCS users to create an enrollment for a participant who is currently active in SPARQ. Non-WebDCS users are required to use the participant search function in SPARQ before they enter an enrollment into their own database. If a non-WebDCS user submits a dual enrollment to SPARQ, it will be rejected. The non-WebDCS user must then use field 6a(iv) of the Exit Form to exit the participant and end the dual enrollment. • There may be a situation where you know that a prior enrollment has ended but the termination of the prior enrollment by a non-WebDCS user has not yet been submitted to SPARQ. In this case, you may contact Mathematica to have the prior exit entered into SPARQ. This will permit you to enter the new enrollment.
5	Home phone number	<ul style="list-style-type: none"> • If the participant has 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.
6	Mailing address	<ul style="list-style-type: none"> • 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 service survey. • Be sure to enter the complete address exactly as you want it to appear on the envelope. County will not be used for mailing.
6(a)	Number and street; apt. #; PO Box	<ul style="list-style-type: none"> • 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).

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6(e) (Revised)	County	<ul style="list-style-type: none"> • Enter the participant’s county of residence in this field. It is not necessarily the same as the county in which the authorized position is located. See field 39a. • Use in field 6e only the approved list of counties contained in field 39a. For territories and the District of Columbia, which do not have counties, the list uses the name of the territory or the District. • Applicants must reside in the state in which they apply unless the state has an approved cross-border agreement with another grantee, but there is no requirement that applicants reside in the county in which they apply. • County is used for planning, equitable distribution, and persistent unemployment field 54). It is not used for mailing.
6a	Participant’s e-mail address	<ul style="list-style-type: none"> • This optional field may assist you in contacting the participant.
6b	Emergency contact	<ul style="list-style-type: none"> • This optional field may assist you in contacting the participant.
7	State of residence if different from mailing address	<ul style="list-style-type: none"> • Residence is defined as an individual’s primary dwelling place or address as demonstrated by appropriate documentation. No minimum length of residence is required. • A homeless individual is considered a resident of the state in which he or she is applying. • Grantees may accept residents of other states if there is an approved multi-state agreement. • Documentation of residence is required.
Topic 9 (New)	Most in need measure under 2006 amendments	<ul style="list-style-type: none"> • 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. • 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 WIA 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. • 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

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		<p>comments section of the Participant Form, but you may not update any of these 8 fields.</p> <ul style="list-style-type: none"> • The second category is comprised of 4 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. • 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. • 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 from that point forward. See Form Heading 5 and fields 51-57 for an explanation of the waiver factors. • The most in need measure is calculated only for participants who enrolled on or after July 1, 2007. PY 2007 is a baseline year for this measure. Grantees will negotiate goals for this measure for PY 2008.
8 (Revised)	Homeless	<ul style="list-style-type: none"> • Homeless means (1) an individual who lacks a fixed, regular, and adequate nighttime residence; and (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. • The most-in-need measure will count participants who are homeless or at risk of homelessness (field 27). Homeless remains in field 8 in the Participant Information section because it may be used to establish residence for eligibility. • Signed self-attestation of homeless is required.

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8a (Revised)	Urban/rural	<ul style="list-style-type: none"> • Urban/rural is now being captured for the most-in-need measure. It is therefore included in data validation. • “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 and have population density of less than 30 people per square mile. • 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. • 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. It may also have some inaccuracies because it uses ZIP codes as of the year 2000. It does not contain any ZIP codes for Puerto Rico. • If the ZIP code is not listed as rural and you believe that it should be considered rural (or if the ZIP code is missing), you may use the link to http://www.ffiec.gov/Geocode/default.aspx to determine the participant’s state, county and census tract codes. You can then use the census tract link to determine whether the area is rural. The census tract listing is the final authority.
9	Application date for enrollment or re-enrollment	<ul style="list-style-type: none"> • 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. • Since SPARQ has a separate section for recertification, participant age, which is used both for eligibility and the most-in-need measure, is now calculated from the eligibility determination date rather than the application date for any records entered after July 1, 2006.
10	Date of birth	<ul style="list-style-type: none"> • 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. • Documentation is required.

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Topic 10 (Revised)	Timeframe for determining age and other characteristics for performance measures	<ul style="list-style-type: none"> • 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 slots. 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 no longer included in the most-in-need measure. • The most-in-need measure also considers the waiver of durational limit factors that are listed after the Recertification section. Unlike priority of service and other participant characteristics, the waiver of durational limit factors may be updated whenever you become aware of changes. Thus age 75 and over (see field 57) will be re-calculated for you each time the WebDCS is accessed. You will receive credit in the most-in-need measure whenever the waiver factors are recorded. • 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 44-51), in order to reflect changes in the participant’s characteristics.
11 (Revised)	Number in family	<ul style="list-style-type: none"> • TEGL 12-06, which has governed income eligibility since 1/1/07, did not make any change in the definition of family (although it did make other important changes in how income is counted and calculated for eligibility purposes.) The rules regarding family contained in the prior TEGL 13-04 remain in effect under the 2006 amendments to the OAA. • 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. (If the applicant is claimed as a dependant on someone else’s tax return, you must use the broader Current Population Survey (CPS) definition of family. See Attachment II and Topics 12-14 below.) Count only current family members living together. Do not include deceased spouses or separated spouses who are living separately. In addition, consistent with 20 CFR 641.500, an applicant with a disability may be treated as a family of one for income eligibility determination purposes. Family-of-one status does not extend to other members of the applicant’s family. NOTE: See Topics 43-45 for important information about disability and

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		<p>medical records.</p> <ul style="list-style-type: none"> • Documentation is required for all applicants. • 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 write over this field.
Topic 11 (New)	Common law spouse	<ul style="list-style-type: none"> • Under the eligibility TEGL, you only count the income of spouses living together. To determine whether the applicant has a spouse, you follow the law of the state or territory in which you operate. If state or territory recognizes common law marriage and the applicant meets the definition, then you count the income of the common law spouse who is living with the applicant.
Topic 12	Adult child living with applicant	<ul style="list-style-type: none"> • The eligibility TEGL defines a family as a parent and <u>dependent</u> child living together. If the child is not a minor and is not claimed as a dependant on the applicant's taxes, then the child is not part of the applicant's family and the child's income is not includable. If the child is a dependant, then the child's income is includable as part of the family income.
Topic 13	Participant claimed as dependant by another person; length of penalty	<ul style="list-style-type: none"> • In cases where a participant or applicant has been claimed as a dependant 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 dependant, the participant or applicant will have to produce a new tax return to document that he or she is no longer a dependant.
Topic 14	Counting family members when the applicant is claimed as a dependant	<ul style="list-style-type: none"> • According to the eligibility TEGL, if the applicant is claimed as a dependant 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. • You need not include these family members if the applicant lives independently of them; 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.

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12	Receiving public assistance?	<ul style="list-style-type: none"> • 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. • This data element applies to the applicant only, not the entire family.
13 (Revised)	Employed prior to participation?	<ul style="list-style-type: none"> • 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"> ○ 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); ○ Did any work at all in his/her own business, profession, or farm; ○ Worked 15 hours or more as an unpaid worker in an enterprise operated by a member of the family; or ○ 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. • Since SCSEP participants are required to be unemployed at the point of enrollment, only those for whom you have recorded a 1 are eligible to become participants. • Enter 2 if the participant is a person who, although employed, has received notice of termination of employment. • Enter 3 if the individual does not meet the definitions listed above, i.e., was not employed on the date of participation. • 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. • The participant will provide this information. Signed self-attestation is required.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
14 (Revised)	Total includable family income (12-month or 6-month annualized)	<ul style="list-style-type: none"> • Under the eligibility TEGL, you use the 12 month period prior to application or the 6-month period annualized, whichever is more favorable to the applicant. • 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. • Family income is used to establish eligibility. It includes the income of current family members identified in field 11 above. Sub-grantees may use any income worksheet they wish 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. You must also retain documentation of all income sources. • The procedure for validating income for eligibility purposes is set out in the eligibility TEGL. There are no exceptions to this rule. You must calculate the includable 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 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.
Topic 15 (New)	Date for determining income of applicants	<ul style="list-style-type: none"> • 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. <ul style="list-style-type: none"> • 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. • 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

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		<p>constitute a substantial change in circumstances, you would be required to do a recertification once the income was received. (See Topic 64 of the Participant Form Guide in the Handbook.) Therefore, under these limited conditions, you should delay the determination, count the new income, and find the applicant ineligible.</p> <ul style="list-style-type: none"> • 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.
Topic 16	Effect of public assistance on eligibility	<ul style="list-style-type: none"> • 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. • 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 by the applicant and the applicant's family members, but you must count the includable income of all other family members.
Topic 17	Exclusion from income: foster care and other types of child support payments	<ul style="list-style-type: none"> • 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 assistance for the applicant's own children, they are also excluded. The eligibility TEGL explicitly excludes child support and welfare payments. • 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 are related by blood, marriage, or adoption.

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Topic 18	Exclusion from income: wages or stipends from employment and training	<ul style="list-style-type: none"> • 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." • 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. This exclusion applies to all new applications and recertifications effective July 1, 2004. • 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
Topic 19	Exclusion from income: Disaster Assistance Payments (DUA)	<ul style="list-style-type: none"> • 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.
Topic 20	Exclusion from income: lottery winnings	<ul style="list-style-type: none"> • 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 lottery winnings are collected in one lump sum as a one-time payment, then the winnings are not considered income for SCSEP eligibility. However, if the winnings are collected from periodic payments and the applicant receives the income on a regular basis – annually, monthly, bi-weekly, every two months, etc. – then the winnings are considered income for purposes of SCSEP eligibility.

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Topic 21 (New)	Exclusion for Railroad Retirement	<ul style="list-style-type: none"> • It is no longer 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
Topic 22 (New)	Early withdrawal from IRA account	<ul style="list-style-type: none"> • 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. However, early withdrawals, 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.
Topic 23 (Revised)	Treatment of Social Security Benefits Under TEGL 12-06	<ul style="list-style-type: none"> • TEGL 12-06 addresses three kinds of benefits under the Social Security Act: <ol style="list-style-type: none"> 1) Supplemental Security Income (SSI) under title XVI is a means-tested benefit that has always been and remains totally excluded from family income. 2) Social Security Disability Insurance (SSDI) under Title II was not previously excluded for SCSEP eligibility purposes, but it now 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 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. 3) Social Security retirement and survivors' benefits under Title II have an exclusion for 25% of the gross amount. There is no longer a deduction for any Medicare premium paid by beneficiaries 65 and over. • 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 are effective January 1, 2007. • Medicare benefits, regardless of the age of the recipient, are not considered income for SCSEP eligibility purposes.

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Topic 24 (New)	Effect of SCSEP Wages on SSI and SSDI	<ul style="list-style-type: none"> • 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 2007 SSI benefit is \$623.00 for an individual and \$934 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 \$7.59 per hour would lose all SSI benefits while a participant working at minimum wage would still retain some cash benefit. Many applicants on SSI will probably 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. • <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 are 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. • 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 will investigate whether SSA will recognize all SCSEP grantees and sub-grantees as an employment network, but unless that happens, any sub-grantee enrolling an SSDI beneficiary has to register individually. Most SSDI beneficiaries have already received

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		<p>their Ticket to Work. If not, they can get one on demand from SSA by calling 1-800-772-1213.</p> <ul style="list-style-type: none"> • 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. • Information about the effect of work and earnings on both programs is available on the SSA Web site, www.socialsecurity.gov/work/.
Topic 25	Exclusion from income: reverse mortgage payments	<ul style="list-style-type: none"> • Payments received by an applicant under a reverse mortgage are considered to be similar to capital gains and thus are excluded from income for purposes of SCSEP eligibility.
Topic 26	Exclusion from income: payments from medical insurance reimbursement plan	<ul style="list-style-type: none"> • 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.
Topic 27	Inclusion of interest income	<ul style="list-style-type: none"> • The eligibility TEGl requires that you include all interest income. There is no exclusion.
Topic 28 (Revised)	Documenting Social Security income	<ul style="list-style-type: none"> • An applicant can obtain a Social Security or Supplemental Security Income (SSI) benefit verification letter by using one of the following methods: making the request online at www.socialsecurity.gov/beve; calling SSA toll-free at 1-800-772-1213, or visiting a local SSA office. This last method is often the quickest. Since you need total family income, you should be sure the letter from Social Security addresses all family members counted in field 11. • 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

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		member is receiving Social Security benefits. It will also not reflect any deductions for Medicare premiums. If there is any doubt, you should accept the bank statement as provisional documentation while the applicant works to obtain a statement from the SSA.
Topic 29	Documenting income for farmers and other self-employed individuals before tax returns are available	<ul style="list-style-type: none"> • 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. • 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.
Topic 30 (Revised)	Documentation	<ul style="list-style-type: none"> • Documentation is required for items that determine eligibility (residence, family size, income, and employment status), waiver of durational limits, certain priorities of service characteristics, and for veteran's status. The Handbook indicates where self-attestation (including signed self-attestation) or case notes suffice for documentation. If an applicant is claiming disability for purposes of income eligibility (a disabled applicant 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 purposes of income eligibility, then disability is an EO item, and disclosure is voluntary. In that case, documentation is not required. See field 26 below. Documentation is required for severe disability and frail, two of the factors used for waiver of the durational limit. • 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"> 1. Name of reviewer 2. Date of review

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		<p>3. Title or descriptive name of source documents 4. Other pertinent information</p> <ul style="list-style-type: none"> • 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.
Topic 31	Retention of case files, financial records and other documentation	<ul style="list-style-type: none"> • According the grants office of DOL, all required documentation, both fiscal and programmatic, 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. • 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.
Topic 32	Documentation for ineligible applicants	<ul style="list-style-type: none"> • 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. • 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.

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Topic 33	Maintaining participant case files; access to files	<ul style="list-style-type: none"> • 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 copies of any documents requiring signature and any documents that are not included in SPARQ. • 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. • 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.
15 (Revised)	Family income at or below 100% of poverty level?	<ul style="list-style-type: none"> • 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. • This information is used for reporting purposes only, not for eligibility (which is based on 125% of the poverty level).
16	Formerly a participant in any SCSEP project?	<ul style="list-style-type: none"> • 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 re-enrollment was determined.

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		<ul style="list-style-type: none"> • A new Participant Form is required for each new enrollment. The data system uses Social Security number and application date to distinguish multiple enrollments by the same individual. • 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 the One-Stop center.
Topic 34 (Revised)	Re-enrolling a participant who quit unsubsidized employment	<ul style="list-style-type: none"> • See Topic 2 of the Exit Form Guide in the revised Handbook 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. • 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 was otherwise job-ready, you should attempt to find her a job for which the participant is better suited. • 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-

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		<p>enrollment is discretionary; a participant who has been 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"> • 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. • 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. • If you do decide to re-enroll a participant who left unsubsidized employment, you will have to count all income earned in unsubsidized employment in the twelve or six months prior to re-enrollment.
Topic 35	Reenrolling an applicant who previously withdrew from the waiting list	<ul style="list-style-type: none"> • You must take an application from anyone who wishes to apply for the program. You are supposed to apply the priorities of service in deciding whom to enroll in situations where you do not have sufficient slots 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 merely 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.
Topic 36	Entering re-enrollments into the data system	<ul style="list-style-type: none"> • 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 Social Security number and application date to distinguish the original enrollment from the re-enrollment. To create a re-enrollment, WebDCS users select an existing participant and create a new enrollment for that participant. • When you create a new enrollment for an individual already in the database, only the basic participant information (name, date of birth, Social Security number, gender, ethnicity and race) 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.

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17 (Revised)	Transferred from another project?	<ul style="list-style-type: none"> • 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. • If the participant is transferred from another project, the participant will not be included in the donor grantee’s performance measures until the participant exits from the recipient grantee’s project. At that time, the participant’s outcomes will be reflected in the performance measures of both the donor and recipient grantees. The data collection system will automatically track these outcomes in a future release of SPARQ 3. • SPARQ 3 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 exiting 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.
Topic 37	Repeated transfer by sub-grantee of same participant between grantees	<ul style="list-style-type: none"> • 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. • 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 (and the state grantee if the transfer is between two national grantees), as well as the federal project officer. It cannot be done unilaterally by the sub-grantee and must be limited to legitimate and unforeseen circumstances.

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Topic 38 (New)	Minimum time of enrollment before transfer	<ul style="list-style-type: none"> • There is no minimum time requirement for transfers. The only requirement is that the transfer be done by agreement of the affected grantees, and that it be approved by the state grantee and the national office. And, of course, the transfer must be for a legitimate reason. See Topic 36 above.
Topic 39	Transfer vs. re-enrollment	<ul style="list-style-type: none"> • Transfers between grantees are done for a variety of purposes, e.g., to complete a new competitive process for national grantees; to achieve equitable distribution; to avoid disruption of service; to simplify administration when one host agency has participants from multiple projects; or to swap slots in the same or different states to improve efficiency. Transfers require the approval of the state grantee where the slots are located and the national office. • 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 terminate from 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. • 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 new project will not be able to accept the transfer if it does not have any slots 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. • 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. At that time, both projects will have the outcome reflected in their QPRs.

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Topic 40 (Revised)	Transfer vs. change of sub-grantee	<ul style="list-style-type: none"> • 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 grantees into the utility. SPARQ then moves the affected enrollment records from the donor sub-grantee to the recipient sub-grantee. • The hard copy Exit Forms contain 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 system-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 not yet active in SPARQ 3. You should record that date in field 17a of the hard copy form. • For changes of sub-grantee that occur during a program year, the performance of the old sub-grantee will be merged with the performance of the new sub-grantee for all QPRs after the date of the change in sub-grantee and for the Final QPR. 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.
Topic 41	Moving slots	<ul style="list-style-type: none"> • When you move a slot – whether for a transfer or a change of sub-grantee – you must inform the national office so it can adjust the slot table that is used in the QPR. If the move involves a transfer, you are required to obtain the national office's approval, as well as the approval of the state grantee where the slot was located.

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Topic 42	“Orphan exiters”: follow-up for participants who exited before a sub-grantee has gone out of business	<ul style="list-style-type: none"> • 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. • 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. • 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 deregistered in SPARQ. • 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. • 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 deregistered from SPARQ when the outcomes for the orphan exiters were final. • If you let the sub-grantee go out of business and do not make arrangements for some other entity to do the follow-up for the orphan exiters, you 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.
17a (Revised)	Change of sub-grantee?	<ul style="list-style-type: none"> • In the WebDCS, this field is grayed out. If the participant has changed sub-grantee, 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 40 above.

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Topic 43 (Revised)	Equal Opportunity (EO) information: required disclosures	<ul style="list-style-type: none"> • 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"> ○ the disclosure of the information is voluntary ○ 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 ○ the information will be kept confidential as required by law ○ the information will be used only in accordance with the law ○ 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) • EO information must be requested from <u>all applicants</u> regardless of their eligibility. • 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. • Staff should inform <u>all participants</u> that, if they have one or more disabilities and would like help deciding whether to disclose their disability status to the host agency, or if they would like staff to make such a disclosure to the host agency on their behalf, they should notify the staff.
Topic 44 (New)	Storage and confidentiality of and access to medical records and disability-related information	<ul style="list-style-type: none"> • Medical- and disability-related records (or records related to a status such as “severely disabled” or “frail” that might reveal a disability) must be stored separate from other documents. DOL’s Civil Rights Center interprets this to mean not only that the records must be kept separate from other information about an applicant or participant, but also that all medical- and disability-related records as a group must be stored separate from all other files regarding applicants or participants. 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. • Knowledge of disability status may be provided only to the following individuals and only

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		<p>when necessary:</p> <ul style="list-style-type: none"> ○ 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 ○ sub-grantee staff who need to know about the accommodation the participant will be provided ○ first aid and safety personnel, if the condition might require emergency treatment or if the participant may need particular assistance in an emergency evacuation ○ grantee staff or federal project officers who are doing monitoring or data validation ○ government officials investigating compliance with EO requirements <ul style="list-style-type: none"> ● 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 waiver 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. ● As a general rule, staff 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. ● The case worker may ask all applicants whether they can perform any or all job functions of an intended host agency assignment, including whether applicants can perform job functions "with or without reasonable accommodation." Case workers may also ask all applicants if they can meet the attendance requirements of the community service position. ● Host agencies may not be informed that a participant has a disability unless: <ul style="list-style-type: none"> ○ the applicant has made an independent decision to disclose the disability

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		<ul style="list-style-type: none"> ○ the applicant has directed the sub-grantee staff to make the disclosure on behalf of the applicant ○ the request was initiated by the participant and not by the sub-grantee staff.
Topic 45 (New)	SCSEP disability status versus EO non-discrimination requirements applicable to participants, as well as to applicants for employment and employees of sub-grantees and grantees	<ul style="list-style-type: none"> ● As recipients of federal assistance and as mandatory One-Stop partners, grantees and sub-grantees are subject to the WIA non-discrimination regulations published at 29 CFR Part 37 in their employment practices, as well as in their provision of services. Although these matters are outside of the SCSEP performance system, grantees and sub-grantees are required to comply with these regulations with regard to applicants for employment and employees. ● The definition of "disability" used in the nondiscrimination context – in both employment and the provision of service – to determine who is both protected from discrimination and entitled to positive actions, such as reasonable accommodations, is broader than the Older Americans Act (OAA) definition of disability that is used by SCSEP for determining eligibility, priority of service, or waiver 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 activities. However, the list of activities that are considered "major life activities" is different under each definition. ● 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. ● 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. ● In addition, disability nondiscrimination law prohibits discrimination against two categories

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		<p>of persons who do <i>not</i> 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 <i>regarded as</i> 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.</p> <ul style="list-style-type: none"> • See http://www.dol.gov/oasam/programs/crc/WIASection188DisabilityChecklist.htm for information on the WIA nondiscrimination regulations regarding individuals with disabilities. See also these CRC sites, http://www.dol.gov/oasam/programs/crc/crcwelcome.htm and http://www.dol.gov/oasam/programs/crc/dElement5Intro.ppt, for much helpful information.
18	Gender	<ul style="list-style-type: none"> • Gender, like all other EO information, is voluntary and is self-reported.
19	Ethnicity	<ul style="list-style-type: none"> • 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. • 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. • Previously, ethnicity and race were often combined. This is no longer allowable. The question about ethnicity must be asked before the question on race.
20	Race	<ul style="list-style-type: none"> • Check the appropriate box(es). More than one box may be checked for a single participant: <ul style="list-style-type: none"> ○ American Indian/Alaskan Native 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. ○ Asian 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,

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		<p>and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.</p> <ul style="list-style-type: none"> ○ Black/African American A person having origins in any of the black racial groups of Africa. ○ Native Hawaiian/Pacific Islander A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands. ○ White A person having origins in any of the original peoples of Europe, the Middle East, or North Africa. ○ Did not voluntarily report Use this field for an applicant who did not select any of the above racial categories. <ul style="list-style-type: none"> ● 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.
21	Education	<ul style="list-style-type: none"> ● 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 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. ● 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. ● Note: Individuals who completed 12th grade but did not receive a diploma or equivalent should be coded A11. ● This field should not be updated once the participant has been enrolled. Grantees must use other ways, like the IEP, to document the attainment of higher levels of education by the participant.

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22 (Revised)	Limited English Proficiency (LEP)	<ul style="list-style-type: none"> • Check “yes” if the participant cannot speak or read English well enough to fully participate in all aspects of the program. • There is no substantive change in the definition. 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. • Sub-grantees should use this information to provide language assistance to the participant. It may also be used to send the participant a customer satisfaction survey in his or her primary language. • Self-attestation or case notes are required for documentation.
23 (Revised)	If LEP, please specify primary language	<ul style="list-style-type: none"> • 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. • 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. • WebDCS will not let you select a language unless you have indicated “yes” in field 22. Non-WebDCS users should only use this field for participants identified as LEP.
Topic 46	Interpreters, translation, and other services for LEP participants	<ul style="list-style-type: none"> • 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. • 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 the 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. • 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)

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		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 expense, and the participant may be paid wages while attending these classes.
24 (Revised)	Low literacy skills?	<ul style="list-style-type: none"> • The label has changed but there is no substantive change in the definition. • Check “yes” if the participant computes or solves problems, reads, writes, or speaks 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. • 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 One-Stop center can administer any of these tests for you. You should not design your own test. • Self-attestation, case notes, or test results are required for documentation.
25	Veteran (or qualified spouse of veteran)?	<ul style="list-style-type: none"> • Enter 1 if the individual is a person who served in the active U.S. military, naval, or air service for a period of less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable. Do not use this code for an applicant who qualifies under Code 2B or 2C below regardless of the applicant’s length of service. • Enter 2 if the individual: <ul style="list-style-type: none"> A) served on active duty for a period of more than 180 days and was discharged or released with other than a dishonorable discharge, OR B) was discharged or released because of a service connected disability, OR C) as a member of a reserve component under an order to active duty pursuant to section 167 (a), (d), or, (g), 673 (a) of Title 10, U.S.C., served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged or released from such duty with other than a dishonorable discharge • Enter 3 if the individual is a person who is (a) the spouse of any person who died on active duty or of a service-connected disability, (b) the spouse of any member of the Armed Forces serving on active duty who at the time of application for assistance under this part, is listed,

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		<p>pursuant to 38 U.S.C. 101 and the regulations issued thereunder, by the Secretary concerned, in one or more of the following categories and has been so listed for more than 90 days: (i) missing in action; (ii) captured in the line of duty by a hostile force; or (iii) forcibly detained or interned in the line of duty by a foreign government or power; or (c) the spouse of any person who has a total disability permanent in nature resulting from a service-connected disability or the spouse of a veteran who died while a disability so evaluated was in existence.</p> <ul style="list-style-type: none"> • Enter 4 if the individual does not meet any of the conditions described above. • Documentation is required. The Defense Department issues a DD-214, identifying the veteran's condition of discharge – honorable, general, other than honorable, dishonorable or bad conduct – and the dates of service. Veterans and survivors can obtain a copy of the DD-214 online at http://www.archives.gov/veterans/evetrecs/index.html. If there is a delay in obtaining the DD-214, you can accept the applicant's signed statement, coupled with a military ID card or VA ID card, and enroll the applicant pending receipt of the DD-214. The state Veterans Affairs office may also assist in obtaining the DD-214. • Veterans discharged prior to 1950 received predecessor forms that were similar to the DD-214. If a pre-1950 veteran does not possess a predecessor form, it is possible to obtain it from the centralized repository of military records in St Louis, Missouri. However, the delay in obtaining such records is so significant that DOL will accept signed self-attestation in these cases.
26 (Revised)	Disability?	<ul style="list-style-type: none"> • There is a change in the definition. 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. • Check “yes” only if the participant actually has such an impairment at the time of enrollment. We no longer count as disabled an individual who merely has a history of impairment or is regarded as having an impairment. The individual must actually have the impairment currently.

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		<ul style="list-style-type: none"> • 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. • Documentation is not required unless the applicant is claiming status as a family of one due to disability. In that case, medical documentation is required.
Topic 47	Disabled applicants who cannot take advantage of the program	<ul style="list-style-type: none"> • The preamble to the regulations at Section 641.520 makes it clear that you are not required to enroll an applicant “who cannot take advantage of the available service.” However, care should be taken in determining an applicant ineligible on the basis of physical or mental disability. As the recipient of federal funds, SCSEP grantees and sub-grantees are subject to the anti-discrimination provisions of Section 504 of the Rehabilitation Act. (State grantees are also covered by Title II of the ADA.) In addition, applicants with physical or mental disabilities are part of the target population for SCSEP and are entitled to preference in enrollment. Community service is designed to take applicants with barriers to employment and make them job-ready. This may take more time for some participants than for others. • Grantees should have written enrollment policies. These policies should give due weight to the statutory preferences and priorities and should reflect grantees’ obligation under Section 504 to make reasonable efforts to find host agency assignments that accommodate qualified individuals with physical or mental disabilities. • Medical documentation from a qualified source is needed where the sole reason for not enrolling an otherwise eligible individual is the applicant’s disability. The documentation would have to show that the person’s participation could potentially cause harm to him or herself or to others, or that the person was incapable of participating in the program. Essentially, the grantee is making a determination that the eligible individual is not a qualified person with a disability with respect to participation in the program. Because SCSEP’s emphasis is to serve those most in need, a decision not to enroll a disabled person will be difficult to sustain. • If an applicant has such severe physical or mental limitations, as documented by competent medical opinion, that you cannot find any suitable host agency assignment, you would be entitled to determine the applicant ineligible. As an alternative, however, under these limited circumstances (see Topic 13 of the Community Service Assignment Form Guide), you could

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		<p>assign the individual to a trial assignment at the project office while you did a full assessment of the participant's needs and limitations and conducted an intensive search for a suitable host agency that could accommodate the participant's disability. If you ultimately determined that there were no suitable host agencies and that the participant could not be served by the program, you could terminate the participant. You will need detailed documentation of performance during the trial period to support your action.</p>
27 (New)	At risk for homelessness	<ul style="list-style-type: none"> • 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. • At risk for homelessness means an individual is likely to become homeless and the individual 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. • Documentation may be provided through detailed case notes.
28	Displaced homemaker?	<ul style="list-style-type: none"> • 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. • A displaced homemaker will nearly always have poor employment history as well.
29 (New)	Failed to find employment after using WIA Title I	<ul style="list-style-type: none"> • This is a new priority of service that is counted in the most-in-need measure. • Record "yes" if the participant was enrolled in WIA 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 One-Stop system, you must call the WIA provider to determine whether the participant was actually enrolled in WIA. Mere registration by or use of the One-Stop center does not constitute registration in WIA. • WIA enrollment may be documented by a case note regarding the call to the One-Stop center. You may accept signed self-attestation as to the lack of employment.

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30 (Revised)	Low employment prospects?	<ul style="list-style-type: none"> • The label is changed but there is no substantive change in the definition. • 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 the 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. • Some, but not all, of these characteristics are captured on the application form. If relevant, you will have to ask the applicant about other characteristics that might fit the definition of poor employment history or prospects. • Detailed case notes documenting at least one significant barrier to employment are required.
31	Personal characteristics comments	<ul style="list-style-type: none"> • Use this field to enter any relevant comments on the application. You will be able to enter as many as 1000 characters (about 160 words) into the database. • You may enter into this field additional contact information such as cell phone number, e-mail address, or an emergency contact person.
32	Signature of applicant	<ul style="list-style-type: none"> • 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. • Under the circumstances described in Topic 27 above, you do not have to obtain a signature from an ineligible applicant who you are sure will not contest your eligibility determination.
33	Date of signing	<ul style="list-style-type: none"> • Enter the date on which the applicant signed the certification of the accuracy of the eligibility information for the original enrollment or re-enrollment. • 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 write over this field.

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34	Eligibility determination	<ul style="list-style-type: none"> • Check the appropriate box to indicate whether the applicant is eligible or ineligible. • 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 write over this field. • 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. • 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.
Topic 48 (Revised)	Why must applicants be unemployed at time of eligibility determination?	<ul style="list-style-type: none"> • Section 501 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. • 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 in order to become job-ready. Job-ready applicants should be referred to the One-Stop center.
Topic 49 (Revised)	What constitutes employment?	<ul style="list-style-type: none"> • The no-employment rule does not apply to casual, non-recurring labor. The 2006 amendments to the OAA did not change the current rule regarding unemployment. A participant must be unemployed at the time of enrollment and must remain unemployed while enrolled. Regularly working part-time, no matter how little, is not permitted. The amendments codify the current 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,

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		<p>that would not constitute disqualifying employment unless the participant were regularly engaged in the business of landscaping or providing child care and received a regular income.</p> <ul style="list-style-type: none"> • 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 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. • 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 the One-Stop center. • 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. • 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.

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Topic 50	Exiting participants who start employment while enrolled	<ul style="list-style-type: none"> • 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 should explicitly spell out this eligibility requirement, and all participants should be informed in writing at the time of enrollment. 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 exit the participant. • 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.) In cases where you learn of the employment after it has commenced, the start work date must be the day after exit, not the actual date on which the participant began the employment.
Topic 51	Can participants work limited part-time hours while they move transition to employment?	<ul style="list-style-type: none"> • 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 the OJE to structure a transition to unsubsidized employment. See Topic 31 of the Community Service Assignment Form.
Topic 52 (New)	Effect of temporary or on-call work on SCSEP eligibility	<ul style="list-style-type: none"> • 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 your 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

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		<p>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 the One-Stop center. See Topic 49, above.</p> <ul style="list-style-type: none"> • Once an applicant has been enrolled and is a participant, the individual cannot engage in any employment. (See Topics 50 and 51 of the Participant Form Guide in the Handbook.) Although occasional, irregular work does not render a participant employed (see Topic 49), 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.
35	If ineligible, reason	<ul style="list-style-type: none"> • 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. • If the applicant is employed at the time of the eligibility determination, check “other” and enter “employed.” • You may also use the comment section in field 41 to enter additional information.
36	If ineligible, action taken	<ul style="list-style-type: none"> • 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. • Sub-grantees may not conduct placement activity for ineligible applicants unless the placement is done as a One-Stop partner pursuant to an MOU. They may, however, refer ineligible applicants to the One-Stop 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.
37	Placed on waiting list?	<ul style="list-style-type: none"> • If the applicant is eligible but there were no authorized positions available or there were no suitable community assignments available, you must check “yes.” • If a community service assignment is available but administrative processing causes a delay of 14 or fewer days, check “no.” • Once you have coded your answer to this question, do not change it. When you assign

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		<p>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 not change the answer to “no.” If you change the indicator, there will be no way to tell how many participants have been placed on the waiting list. If you want to see how many applicants are currently on the waiting list, you can use the Waiting List management report. It will only display those individuals who have not been assigned to community service as of the date the report is run.</p> <ul style="list-style-type: none"> • 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.
Topic 53 (New)	Responsibility to applicants placed on the waiting list	<ul style="list-style-type: none"> • 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. • 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 64, below.) 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 the first recertification would result in termination from the program. Given that information, the applicant might decide to withdraw from the waiting list.

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Topic 54	Recognition for placement of individuals who are on waiting list	<ul style="list-style-type: none"> • There is no direct way to be recognized for placing an individual who is on the waiting list. SPARQ has no way to record such activity. It only counts placements of ineligible and participants. A person on the waiting list is neither. • In general, you should not be putting job-ready applicants on the waiting list. If the applicant is capable of obtaining unsubsidized employment without a community service assignment, you should be referring the applicant to the One-Stop. You can also do placement of such applicants yourself if it is done pursuant to an MOU. In that case, you would determine the applicant ineligible in field 34 of the Participant Form; check box (e) in field 35, "Other," and indicate in the space that the applicant was job-ready; and check box (d) in field 36 to record the placement pursuant to MOU. The QPR recognizes placement of non-SCSEP-eligible participants in Section B. • If you put someone on the waiting list without realizing that the person was job-ready and you subsequently assisted this person in obtaining employment before an assignment became available, you could modify the person's record by removing the individual from the waiting list and determining the individual ineligible. You could then follow the steps above to get recognition for the placement. In that case, you should use the comments field to document what you have done and why. Of course, this recognition would appear only in Section B of the QPR and would not be reflected in your entered employment rate, which is reported in Section E of the QPR. • Such modifications should be rare.
38	Community service assignment?	<ul style="list-style-type: none"> • 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.) • When the applicant is assigned to community service, you must complete a Community Service Assignment Form. At that time, the applicant becomes a participant. • For WebDCS users, it will be necessary to close out of the Participant Form and add a Community Service Assignment to start this process.

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Topic 55	Are participants employees of the sub-grantee?	<ul style="list-style-type: none"> • Whether participants are considered employees of the sub-grantee or the host agency is a matter of state law. The regulations provide that participants are not federal employees but do not take a position on whether they might be considered employees of some other entity. You may wish to consult with the appropriate state authorities, such as the attorney general or the Department of Labor.
Topic 56	Are participants entitled to unemployment compensation benefits?	<ul style="list-style-type: none"> • 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 few states do so. If your state is among them, the regulation permits you to use SCSEP funds to meet your UI tax obligation. • 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. • 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 often inconsistent, especially for issues that seldom

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		<p>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 ultimately unsuccessful, you should discuss with the UI officials the options you have as a non-profit organization to minimize your tax burden.</p> <ul style="list-style-type: none"> • You can use this link to find the UI agency for your state: http://workforcsecurity.doleta.gov/map.asp • 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 the One-Stop center. If job-ready participants were enrolled, their IEPs should reflect the goal of unsubsidized employment as soon as possible.
Topic 57 (New)	Are participants covered by the Family Medical leave Act (FMLA?)	<ul style="list-style-type: none"> • 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 55 of the Participant Form Guide in the Handbook. In most states, participants in an employment and training program are not considered employees, but in a few states participants are considered employees. • Grantees have been advised 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.
Topic 58	Garnishment of SCSEP wages	<ul style="list-style-type: none"> • 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.

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Topic 59	Effect of SCSEP wages on Medicaid and other programs	<ul style="list-style-type: none"> • Section 509 of the Older Americans Act precludes SCSEP wages from affecting eligibility only for federal housing programs and Food Stamps. How SCSEP wages are treated for all other state and federal programs depends upon the rules of the specific programs. • 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 "working disabled." 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 disabled SCSEP participants should be made aware of these Medicaid programs and informed of what assistance is available in their state.
Topic 60	Permissible activities prior to assignment	<ul style="list-style-type: none"> • 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. 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. • Obviously, sub-grantees must 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

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		<p>whether to provide service to an applicant. Sub-grantees are authorized 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 may form the foundation for the formal IEP that takes place after the assignment (and at which time the participant may be paid).</p> <ul style="list-style-type: none"> • 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 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. • It is not permissible to assign an applicant to the sub-grantees' 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.
Topic 61	Supportive services	<ul style="list-style-type: none"> • 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 six months of unsubsidized employment. • Supportive services are discretionary, and 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

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		<p>best if the grantee has a policy establishing exactly what supportive services it will pay for and the maximum amount it will pay.</p> <ul style="list-style-type: none"> • To the extent practicable, grantees should pay for supportive services with non-SCSEP funds. (See Topic 59 for Medicaid services specifically for the working disabled.)
39	Grantee name	<ul style="list-style-type: none"> • Enter 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. • For WebDCS users, when you log on, your grantee-sub-grantee relationships will be indicated. If you have more than one, you will have to choose which relationship you are using before you access a particular participant record. Field 39 will be system-generated based on the relationship you have chosen when you logged on. • For non-WebDCS users, this field is required for all records, even if the application is incomplete or the applicant is ineligible. SPARQ will not accept a data file if the grantee/sub-grantee relationship is missing or incorrect. • 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 randomly or in proportion to the number of slots you have for each grantee.
39a (New)		<ul style="list-style-type: none"> • The county of authorized position is the county to which the position is assigned. While this county may often be the same as the county in which the participant resides or the county in which the host agency is located, it may be different. If the sub-grantee serves only a single county, that county will obviously be the county of authorized position. If the sub-grantee serves multiple counties, the sub-grantee will have to decide which county to assign each participant to. The general rule is to assign the participant to the county that will cause the least disruption to the participant if the position were to be transferred based on county. • This field was added to facilitate the transfer of slots that has resulted from the national grantee competition. It is a required (as opposed to optional) field for all grantees, but state grantees will only get a warning if the field is blank. National grantees will get a reject.

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40	Co-enrollments?	<ul style="list-style-type: none"> • The choices in this field have been re-lettered to eliminate reference to the Section 502(e) program. • 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 the SCSEP and 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.” • Enrollment is as defined by the other program. Registration with a One-Stop does not always amount to enrollment with either WIA or ES. WIA is fairly restrictive about when an individual is considered enrolled while ES generally treats everyone registered with ES as being enrolled. You will have to contact the One-Stop to determine if enrollment has occurred. • 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. • SCSEP co-enrollments, whether they are with WIA, the Employment Service, or any other entity, do not require documentation. You can accept the participant's self-report or you can call the One-Stop. It is a good idea to use the comment field to record the source of the information.
Topic 62 (Revised)	WIA and SCSEP	<ul style="list-style-type: none"> • Co-enrollment with WIA is strongly encouraged. Registration in WIA core or intensive services should in no way suggest by itself that an applicant is not suitable for SCSEP. Under the 2006 amendments to the OAA, applicants who have already enrolled in WIA and are unable to find employment are entitled to priority of service from SCSEP. • 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 WIA intensive services or training; Section 641.230 says that WIA and SCSEP IEPs are entitled to reciprocity; and Section 641.240 provides that SCSEP participants may be deemed automatically eligible for WIA 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

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		<p>referred to WIA for job search assistance and placement.</p> <ul style="list-style-type: none"> • There are a number of resources regarding coordination with WIA in addition to the regulations cited above. The Older Worker Web site contains the following tools under Technical Assistance, and then Technical Assistance Guides: <ul style="list-style-type: none"> <i>Assessing Workforce Development Systems</i> <i>Implications and Opportunities in the WIA for the SCSEP</i> <i>One-Stop Training Curriculum for Older Worker Specialist</i> <i>Resource Sharing for Workforce Investment Act One Stop Centers</i> <i>Using the Workforce Investment Act to Serve Mature and Older Workers</i> <i>Protocol for Serving Older Workers</i>
40a	Date of orientation	<ul style="list-style-type: none"> • Record the data on which the participant received his or her orientation to SCSEP.
40b	Date of last physical or waiver	<ul style="list-style-type: none"> • Enter in this field the date of the last physical the participant received or the date on which the participant waived the physical. • If the participant has not yet had a physical, leave this field blank until the physical occurs.
40c	Date of last IEP	<ul style="list-style-type: none"> • Enter in this field the date of the participant's last IEP. • If the participant has not yet had an IEP, leave this field blank until the IEP occurs. • An assessment must be conducted and the IEP updated whenever circumstances warrant, but at least twice in each 12-month period and more often if the circumstances warrant. 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 IEP updated.
Topic 63	Revision to IEP; failure of participant to cooperate	<ul style="list-style-type: none"> • 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 you cannot compel the participant to sign the document. • 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.

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40d	Job interest codes	<ul style="list-style-type: none"> 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.
41	Enrollment comments	<ul style="list-style-type: none"> Enter here any comments regarding the applicant's status on the waiting list or assignment to community service. You will be able to enter as many as 1000 characters (about 160 words) into the database.
42	Signature	<ul style="list-style-type: none"> The authorized individual who made the eligibility determination must sign here, and the signature must be retained in the case file.
43	Date of eligibility determination	<ul style="list-style-type: none"> Enter here the date on which the authorized individual made the eligibility determination. 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.
43a	Is participant deceased?	<ul style="list-style-type: none"> Use this field to indicate whether the participant becomes deceased after exiting the program. If the participant dies while enrolled, you use field 6(vii) of the Exit Form. Indicating "yes" in field 43a will prevent any future communications, such as the participant customer satisfaction survey, from being mailed to the participant's last address.
Form Heading 4	Recertification	<ul style="list-style-type: none"> You must enter all information regarding a recertification in this section of the Participant Form. You no longer write over any prior fields in the form at the time of recertification. You must write over the information in fields 44-51 each time you do a new recertification. SPARQ will only carry information about the latest recertification. You may update the participant's mailing address, telephone number, and residence 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, homeless, and low employment prospects, remain fixed at the time of initial application. You do not update them upon recertification or at any other time. If the participant is newly enrolled and has not yet had a recertification, leave the fields in this section blank.

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		<ul style="list-style-type: none"> • 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.
Topic 64	Recertification within 12 months; substantial change in circumstance	<ul style="list-style-type: none"> • Grantees are required to recertify all 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 substantial increase in an existing source of income or the addition of a new source of income, the grantee must do a recertification as soon as it becomes aware of this information. • Recertifications are 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. • 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. • 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

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		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.
44	Number in family	<ul style="list-style-type: none"> • Enter the number of individuals in the applicant’s family. Use the same instructions as for field 11. • A “family” is defined in the eligibility TEGL as husband, wife, and dependent children; parent or guardian and dependent children; or husband and wife. (If the applicant is claimed as a dependant on someone else’s tax return, you must use the broader CPS definition of family. See Topics 12-14 above.) Count only current family members. Do not include 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.” • Documentation is required.
45	Total includable family income (12-month or 6-month, annualized)	<ul style="list-style-type: none"> • 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. • Family income establishes eligibility. It includes the income of current family members identified in field 44 above. Sub-grantees may use any income worksheet 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.
46	Signature of participant on recertification	<ul style="list-style-type: none"> • 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.
47	Eligibility determination	<ul style="list-style-type: none"> • Check the appropriate box to indicate whether the participant remains eligible based upon the information obtained during the recertification process.
48	If ineligible, reason	<ul style="list-style-type: none"> • 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. • 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.

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49	Signature of director or authorized representative on recertification	<ul style="list-style-type: none"> • The authorized individual who made the eligibility determination must sign here, and the signature must be retained in the case file.
50	Date of recertification determination	<ul style="list-style-type: none"> • Enter here the date on which the authorized individual made the eligibility determination based upon the information obtained during the recertification process. • This is the only date that will be used to identify the recertification.
51	Recertification comments	<ul style="list-style-type: none"> • Enter any comments regarding the recertification. You will be able to enter up to 1000 characters (about 160 words) into the database.
Form Heading 5 (New)	Waiver of durational limit determination	<ul style="list-style-type: none"> • This new section of the Participant Guide is for recording the factors that determine whether a participant is entitled to a waiver 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. • Priorities of service 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 waiver purposes until a participant has been in the program for a total of 48 months since July 1, 2007, they can be counted at any time as part of the most-in-need measure. • The waiver factors are subject to data validation.
51 (New)	Severe disability	<ul style="list-style-type: none"> • 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. • Severe disability is to be recorded in addition to disability. Each is counted separately for the most-in-need measure. • Severe disability must be documented by a physician. See Topic44 for restrictions on the handling of disability-related information and medical documentation.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
52 (New)	Frail	<ul style="list-style-type: none"> • Frail means that an individual 55 years of age or older is determined to be functionally impaired because the individual (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 (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. • Frail must be documented by a qualified professional. See Topic 44 for restrictions on the handling of disability-related information and medical documentation.
53 (New)	Old enough for but not receiving Social Security Title II	<ul style="list-style-type: none"> • An individual may qualify for SS 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 for Social Security but chooses to delay receipt in order to increase the amount of benefits, check “no.” • Documentation from the Social Security Administration is required.
54 (New)	Severely limited employment prospects in area of persistent unemployment	<ul style="list-style-type: none"> • This factor has two separate requirements: <u>severely</u> limited unemployment prospects plus residence in an area of persistent unemployment. Both requirements must be met for a “yes” answer. • 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. • The two or more significant barriers to employment must be documented in the case file and in the comments sections, field 58.

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		<ul style="list-style-type: none"> • 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 years. • The link at this field and on the SPARQ home page will bring you to a list of counties by state. This list, which will be updated with the official unemployment rates each year, indicates whether the county meets the definition of persistent unemployment. • 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.
55 (New)	Limited English Proficiency (LEP)	<ul style="list-style-type: none"> • This field is system generated in SPARQ when “yes” is checked in field 22. 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.
56 (New)	Low literacy skills	<ul style="list-style-type: none"> • This field is system-generated in SPARQ when “yes” is checked in field 24. 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.
57 (New)	75 or over	<ul style="list-style-type: none"> • 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.
58 (New)	Recertification/ waiver comments	<ul style="list-style-type: none"> • This field has been renumbered and relabeled. You may use it for any comments or case notes regarding the recertification or the waiver factors.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 1 (Revised)	Data elements newly active in SPARQ 3	<ul style="list-style-type: none"> • There are no fields in SPARQ 3 that were not active in SPARQ 2 or were used differently in SPARQ 2. • The following fields have had references to the Section 502(e) program removed or have been renumbered due to the deletion of reference to the Section 502(e) program: <ul style="list-style-type: none"> ○ Field 20d and 20e ○ Field 23 ○ Field 24 ○ Field 26 ○ Field 33d ○ Field 34 ○ Field 35 ○ Field 40
Form Heading 1	Community Service Assignment Form	<ul style="list-style-type: none"> • 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. • A new form must be filled out for each community service assignment of a participant. • A participant can have only one community service assignment at a time.
Topic 2 (Revised)	Maintenance of effort; assigning participants to host agencies that have had layoffs	<ul style="list-style-type: none"> • 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 Section 641.844(b)(5) of 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.
Topic 3	Entering a new assignment into WebDCS	<ul style="list-style-type: none"> • To enter a new community service assignment, you enter the end date for the old assignment into field 15 of the Community Service Assignment Form and complete a new CSA Form for the new assignment. • In WebDCS, if the new host agency has already been entered into the database, you can select it from the first assignment screen when you click Add assignments. If it has not yet been entered, you can enter the new host agency information into the Organizations function

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		<p>that you access from the main page. You then select your participant on the main page and go to the Assignment tab at the bottom of the page and click "Add." You then select the new host agency and contact information for the participant and fill out the host agency assignment screens for the new assignment. You can also add a new host agency from the first assignment screen and a new contact from the second assignment screen.</p> <ul style="list-style-type: none"> You do not delete anything associated with the first host agency assignment. You do have to enter the end date for the first assignment into the data system. 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.
3	Grantee	<ul style="list-style-type: none"> Enter here the name of the grantee that owns the slot the participant is occupying. 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.
Form Heading 2	Host Agency Information	<ul style="list-style-type: none"> For users of 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.
4 (Revised)	Name of host agency	<ul style="list-style-type: none"> Enter the name of the parent organization at which the participant is assigned. This will be the entity whose FEIN you enter in field 6. Do not enter the name of a satellite office or branch unless it has a separate FEIN or one of the exceptions in Topic 8 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. 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. There are exceptions to this rule if using the FEIN will result in there being too few host agencies or using the name of the parent organization makes it difficult to identify the entity to which the participant is assigned. See Topics 7 and 8 below. You should standardize the names of host agencies so that an agency is not entered multiple times under different names. For users of 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 may select it. If it is not listed, you may add a new host agency from the first assignment

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		<p>screen without having to open the Organizations function on the main page.</p> <ul style="list-style-type: none"> • For Non-WDCS users, there is a similar function on the SPARQ home page. All Non-WDCS users must check for the existence of a host agency before entering a new one. If the organization you want is already listed in SPARQ, you must enter the organization information into your database exactly as it appears in SPARQ. If you do not, you may wind up linking to an organization you did not intend to link to. • You cannot save an assignment in SPARQ without at least a host agency name, a state, and an assignment date. This means you must, at a minimum, select a host agency on the first assignment screen and fill out field 13 on the third assignment screen before you can save an assignment.
Topic 4 (Revised)	Rule against entering duplicate organizations into SPARQ database	<ul style="list-style-type: none"> • SPARQ will not let you enter an organization into the database if that identical organization already exists. Organizations are considered identical if: 1) they have the same FEIN and their mailing addresses are in the same state; or 2) 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; Non-WebDCS users will have any record with a duplicate organization rejected. • There are circumstances where using the name and FEIN of the parent organization will not be feasible. See Topics 7 and 8. 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, Goodwill LA East, if they are entered without any FEIN, are all considered unique organizations even though they are all in the state of California. You should only list the FEIN if you attach it to the parent organization. • If a WebDCS 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 change the name of the organization to one that is unique. • The first sub-grantee to enter an organization is the “owner” of that organization 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. • Fields 7a, 7b, and 8b (which will not be active in the database until a later version of SPARQ 3) 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.

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Topic 5 (New)	Can two projects use the same host agency?	<ul style="list-style-type: none"> • 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. • Coordination among the grantees in the same area will at least ensure that duplication is not done inadvertently.
Topic 6 (New)	Using an existing host agency in SPARQ	<ul style="list-style-type: none"> • See Element 4 and Topics 4-9 of the Community Service Assignment Form Guide in the revised Handbook 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. • SPARQ is designed to prevent the entry of duplicate organizations (host agencies, training providers, and employers). If a user attempts to enter an organization for which the same FEIN has already been entered (or, if there is no FEIN, 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 deleting the FEIN and 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.
Topic 7 (Revised)	Using FEIN to identify host agencies (and employers) for the customer satisfaction surveys	<ul style="list-style-type: none"> • 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 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. • Determining the identity of the host agency or employer is difficult if the entity has multiple branches or divisions. The instructions require you to 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

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		<p>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.</p> <ul style="list-style-type: none"> • 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 results is not threatened.
Topic 8 (Revised)	Exception to the rule about using FEINs to identify host agencies	<ul style="list-style-type: none"> • Using the FEIN to identify the parent organization may be arbitrary, but it is a clean and simple rule to follow. 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. We have already recognized an exception for one grantee, American Samoa, 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. • 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"> 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 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"> a. The participant is assigned to a local department or division, not the main office; and b. The local department or division has a separate administrative structure from the main office; and

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		<p>c. The contact person for the participant is located at the local department or division rather than at the main office.</p> <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 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"> • 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. However, the fact that the survey would be going to the same mailing address (but a different contact person at that address) is not as clear an indicator that the exception should not apply. In some instances, the parent organization and its divisions will be located in a single building with a single mailing address. It then becomes even more important to be sure that the administrative structure is separate and that the contact person is different. 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. • 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.
Topic 9 (New)	Warnings in SPARQ for duplicate FEIN's	<ul style="list-style-type: none"> • An FEIN is supposed to be unique in SPARQ so you get this warning if an organization with the same FEIN is already being used by any sub-grantee as a host agency, training provider, or employer. See Topics 7 and 8 of the Community Service Assignment Form Guide in the Handbook. You can use the Organization search function on the SPARQ home page to

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		<p>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.</p> <ul style="list-style-type: none"> • If for some reason you do not want to use the organization and FEIN that SPARQ views as the same as your organization, you can either ignore the warning or delete the FEIN from your organization. As long as the organization name you use is unique within your state, you will not get any other warnings. You should not delete the FEIN, however, unless you have determined that you have a legitimate reason not to use the original organization with its FEIN.
5	Host agency mailing address	<ul style="list-style-type: none"> • Be sure to enter the information as you want it to appear on the envelope. Do not enter any extraneous information. • The mailing address fields will be used to generate letters and mailing labels for the customer satisfaction survey.
5a	Number, street, suite number; or PO Box	<ul style="list-style-type: none"> • 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.
6 (Revised)	FEIN	<ul style="list-style-type: none"> • You must obtain the host agency's Federal Employer Identification Number (FEIN). • The FEIN plus state will be used as a unique identifier for host agencies. The FEIN is used to search for duplicate host agencies in the database and to ensure that host agencies are only surveyed once each year. • 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.
7	Host agency type	<ul style="list-style-type: none"> • Select only one box. Host agencies must be either Section 501(c)(3) non-profit organizations or government agencies. • 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.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 10 (New)	Can a host agency meet the Section 501(c)(3) requirement through a fiscal agent?	<ul style="list-style-type: none"> The regulations require that the host agency itself be a government agency or Section 501(c)(3) organization. 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.
7a	Date of host agency agreement	<ul style="list-style-type: none"> 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. 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. This field will not be available until a later version of SPARQ 3.
7b	Date of host agency monitoring visit	<ul style="list-style-type: none"> Indicate the date on which the last host agency monitoring visit was conducted. 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. This field will not be available until a later version of SPARQ 3.
8	Host agency site name and location	<ul style="list-style-type: none"> Enter here the site at which the participant is assigned. This field is not required by SPARQ and is solely for case management purposes. Do not enter a full address, just enough information to locate the participant.
8a	Host agency job codes	<ul style="list-style-type: none"> 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. 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.
8b	Host agency continued availability	<ul style="list-style-type: none"> 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. There will be similar fields for training providers and unsubsidized employers in a later version of SPARQ 3. 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. This field will not be available until a later version of SPARQ 3.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 3	Contact/ Supervisor Information	<ul style="list-style-type: none"> • 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 by phone, by mail, by fax, by e-mail, or in person if necessary. • Additional fields have been added to permit the entry of information about the supervisor if that person is different from the contact person.
9 (Revised)	Name of contact person	<ul style="list-style-type: none"> • 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 supervisor. • 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. • Enter the contact person's name as you want it to appear on the cover letter and mailing label 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.
10 (Revised)	Contact person's mailing address if different from number 5	<ul style="list-style-type: none"> • 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, you do not need to enter anything into field 10. • 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>
10a	Organization or address field 1	<ul style="list-style-type: none"> • 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 host agency contact persons without the name of the organization in the address were returned as undeliverable. • You should enter this information for all host agency contact persons with a separate address in your database.
11	Contact person's title	<ul style="list-style-type: none"> • Enter the title by which the contact person is known at the host agency. This may facilitate your contacting the individual.
11a	Contact person's salutation	<ul style="list-style-type: none"> • Select either Mr. or Ms. as the salutation for the contact person. The salutation will be used for the customer satisfaction survey cover letters. • You should enter this information for <u>all</u> host agency contact persons in your database.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
12	Contact person's phone number	<ul style="list-style-type: none"> This field may be used to help you reach the contact person.
12a	Contact person's fax number	<ul style="list-style-type: none"> This field may be used to help you reach the contact person.
12b	Contact person's e-mail address	<ul style="list-style-type: none"> This field may be used to help you reach the contact person.
Form Heading 4	Complete fields 12c-12j if supervisor is different from contact person (number 9). If supervisor is the same as contact person, skip to field 12j.	<ul style="list-style-type: none"> 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. 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 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"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second assignment screen.
12d	Supervisor's mailing address if different from number 5	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second assignment screen.
12e	Supervisor's title	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second assignment screen.
12f	Supervisor's salutation	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second assignment screen.
12g	Supervisor's phone number	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second assignment screen.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
12h	Supervisor's Fax number	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second assignment screen.
12i	Supervisor's e-mail address	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second assignment screen.
12j	Funding source of supervisor or contact person/supervisor	<ul style="list-style-type: none"> 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.
13	Assignment date	<ul style="list-style-type: none"> Enter the date on which the participant was first assigned to the community service assignment with this host agency. For new applicants, it is the date of the first service received by the applicant and thus the point at which an eligible applicant becomes a participant. It will usually be the date on which payment of wages begins. 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. 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 you are not required to do so if the participant is not engaging in any 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. 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. The date of assignment to the first community service position will be the date of participation for the Common Measures.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 11	What date determines enrollment for the service level measure?	<ul style="list-style-type: none"> • 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 6/30/07 will be counted in the service level measure for PY 2006 regardless of when the participant actually started work at the host agency.
Topic 12	Permissible activities prior to assignment	<ul style="list-style-type: none"> • 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. 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. • Obviously, sub-grantees must 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 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 may form the foundation for the formal IEP that takes place after assignment (and at which time the participant may be paid). • 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 regulation. The point of the regulation is that only those individuals who are in need of – and

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>who actually receive – a community service position are entitled to other SCSEP services.</p> <ul style="list-style-type: none"> • Except in rare circumstances described in Topic 13, 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.
Topic 13	Assignment to project office	<ul style="list-style-type: none"> • An eligible applicant can be assigned to a grantee’s or sub-grantee’s project office as long as the grantee or sub-grantee meets the requirements for being a host agency, there is an authorized position available, the assignment is legitimate, and the assignment is consistent with the participant’s IEP. • 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. • For example, a veteran over the age of 60 with multiple barriers to employment, including physical and mental disabilities, requires extensive assessment and observation in a host agency environment before it is possible to determine whether a regular host agency assignment is feasible. 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 transfers the participant to this host agency. • 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 community service position. The general rule does not permit you to pay an applicant while you are conducting an assessment prior to assignment. • Furthermore, 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

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		<p>office solely to have a way to pay the applicant wages.</p> <ul style="list-style-type: none"> • 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. • Any use of this exception must be fully documented and is likely to be audited. For that reason, you may wish to check with your federal project officer before using this exception.
Topic 14	Assignment of participant to temporary host agency for assessment and other services	<ul style="list-style-type: none"> • 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 them before they commence their real host agency assignment. • 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 temporary or trial assignment to community service. • As a special 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 12 and 13.
Topic 15 (New)	Assignment of two family members to same host agency	<ul style="list-style-type: none"> • You may enroll two members of the same family; however, you should usually assign them to different host agencies in order to prevent family dynamics from affecting the workplace. • If there are compelling reasons to allow this – 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. You must ensure that one relative does not supervise the other and must avoid any issues of nepotism. • SCSEP wages received by an existing participant are not included in family income when determining the eligibility of the other family member.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 16 (New)	Advocacy work at host agency	<ul style="list-style-type: none"> • 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. • 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 adhered to.
14	Start assignment date	<ul style="list-style-type: none"> • Enter the date on which the participant actually commenced work with the host agency. • 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.
15 (Revised)	End date	<ul style="list-style-type: none"> • 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. • 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.) • If the participant exits for unsubsidized employment and exercises the right of return (see Topic 2 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. • 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

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		eligible for participation in the customer service survey each year and to calculate average duration of assignments.
Topic 17	Assignment data for participants who do not start work at a host agency before exiting	<ul style="list-style-type: none"> • 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 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.) • You are not permitted to place an applicant directly into unsubsidized employment without first assigning the individual to community service. If your participants often obtain unsubsidized employment without starting work at their host agencies, it may appear that you are circumventing the regulation. This is likely to trigger a monitoring inquiry.
15a (Revised)	Approved break in participation	<ul style="list-style-type: none"> • Enter here the start and end dates of any approved break in participation, such as a leave of absence without pay. • 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. • You should also use this field to record any delay of more than three days in reassignment when a participant has ended one host agency assignment but has not yet begun another. • Leaves of absence may not be included in calculating the durational limits for local projects or participants and the community service measure. Failure to enter a leave of absence will work to the disadvantage of a grantee. • Because leaves of absence affect eligibility and performance, they will be part of data validation.
15b	Reason for approved break in service	<ul style="list-style-type: none"> • Indicate the reason for the leave of absence or other approved break in participation. • You may select only one reason for an approved break in participation. • If you over-write field 15a to record a second break in participation, it will be necessary to over-write this field as well.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 18	Leave of absence	<ul style="list-style-type: none"> • There is nothing in the regulations or SCSEP bulletins governing leaves without pay for medical or personal reasons. Grantees are free to adopt their own policies on this issue. The policy should 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. • 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 might want to check with the relevant state authorities such as the Labor Department or the Attorney General. • A participant on an authorized leave of absence is still a participant. If the participant is returning to the host agency where he or she was 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 first host agency assignment, this field establishes that the participant is still enrolled in the program while he or she is between host agency assignments • 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 terminate the participant using Exit Form field 6(vi). You cannot place the participant on a leave of absence and leave a participant in suspension indefinitely. You must make room for other applicants who need and can take advantage of SCSEP services.
Topic 19 (Revised)	End date when re-assigning a participant to a new host agency	<ul style="list-style-type: none"> • 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. • 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 18 above). • There is another approach that SPARQ will permit you to use but is not recommended. If you intend to reassign a participant to a new host agency, you can leave the assignment open with the original host agency until you have identified the new host agency and can enter the

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		assignment date (field 13) for the new host agency. At that point, you can end the original host agency assignment (field 15) even if the participant has not yet started work (field 14) with the new host agency. However, if you choose this option, you may be penalized in the community service measure and durational limits.
Topic 20 (Revised)	Durational limits; re-enrollment and reassignment of participants	<ul style="list-style-type: none"> • The 2006 amendments to the OAA impose durational limits for the first time. Local projects are limited to an average duration of 27 months for all participants. In addition, individual participants have a lifetime durational limit of 48 months with all projects. Both limits are calculated from July 1, 2007. DOL will provide guidance on the durational limits in the new regulations implementing the 2006 amendments. A draft is expected by late fall or early winter. • Several management reports are being revised in SPARQ 3 to help grantees manage the durational limits. New reports will be created if necessary. • At least until DOL issues new guidance on durational limits, grantees are still permitted to adopt durational rules with the approval of the national office as part of their grant. Grantees with durational limits 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. • 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. • Regarding host agency rotations, the IEP should generally determine when a participant should be reassigned to another host agency. In the case of a re-enrollment, if the last IEP indicated that the participant acquired the expected skills at the prior host agency, then it is time to assign the participant to a new host agency. Although participant preferences are entitled to consideration, the critical factor in assigning 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. If, for some reason, the ex-participant is 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 needs the experience of a different host agency to develop the missing skills.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
16	CSA wage (per hour)	<ul style="list-style-type: none"> • This field captures the current wage at the community service assignment. It <u>must be updated</u> each time the wage changes.
Topic 21	Payment of minimum wage or higher	<ul style="list-style-type: none"> • Section 641.565 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. These wages are floors and apply to orientation, required training, and community service work. • You are permitted to pay a wage above any of these rates. However, the national office discourages projects from paying more than the statutory minimum wage since raising the hourly wage reduces the number of participants you can serve.
Topic 22	Payment of higher wages to participants assigned to project office	<ul style="list-style-type: none"> • There is no special rule governing the wages of participants assigned to the project office. The regulation says that you must pay all participants the higher of the applicable minimum wage or the prevailing wage. You are permitted to 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 probably do so pursuant to a policy so you are not accused of acting arbitrarily or discriminatorily. • You should be careful about 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. • 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, like all other participants. When they are, they lose their employment premium. This can have a negative effect on the participants' morale. • 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.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 23 (Revised)	Can SCSEP wages be garnished?	<ul style="list-style-type: none"> • Nothing in federal law precludes the garnishment of Title V wages. Therefore, it is solely a matter of state law whether, and to what extent, SCSEP wages can be garnished in a state legal action. • 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.
Topic 24 (Revised)	Provision of fringe benefits	<ul style="list-style-type: none"> • Section 502(c)(6)(A)(i) of the 2006 amendments to the OAA 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. • Grantees may not use grant funds to provide pension benefits, annual leave, accumulated sick leave, or bonuses. • DOL will provide guidance on fringe benefits in the new regulations implementing the 2006 amendments. A draft is expected by late fall or early winter. Until then, grantees will need to decide how they will comply with the new law.
Topic 25 (New)	Limit on cost of annual physical	<ul style="list-style-type: none"> • A grantee may impose a cost cap on physical examinations as long as the grantee has provided a mechanism by which 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 should provide for a waiver of the cap if required by extraordinary circumstances, e.g., the nature of the participant's host agency assignment. • The cost of physical exams may be charged to either the PWFB (participant wages and fringe benefits) line or the other participant costs (OPC) line. However, it generally makes sense to use the PWFB line because there is more money there. In addition, 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.
Topic 26	Are participants entitled to unemployment compensation benefits?	<ul style="list-style-type: none"> • 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

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		<p>receiving such work relief or work training.” SCSEP qualifies for this exemption. However, 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"> • 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. • 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 often 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 ultimately unsuccessful, you should discuss with the UI officials the options you have as a non-profit organization to minimize your tax burden. • You can use this link to find the UI agency for your state: http://workforcesecurity.doleta.gov/map.asp • NOTE: 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 the One-Stop center. If job-ready participants were enrolled, their IEPs should reflect the goal of unsubsidized employment as soon as possible.
16a	Number of hours per week assigned	<ul style="list-style-type: none"> • 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. If the average number of hours assigned does change, you must enter the new average, over-writing the existing number.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
16b	Participant's schedule	<ul style="list-style-type: none"> • 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. • 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.
16c	Date of safety consultation with the participant	<ul style="list-style-type: none"> • 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 at this host agency.
17	Community service assignment code	<ul style="list-style-type: none"> • Enter only one code for the type of community service to which the participant is assigned. • 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. • The codes reflect the basic 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. • If the participant is assigned to the grantee's or sub-grantee's project office, select value E1, Project Administration, as the community service assignment code.
18	Community service assignment title	<ul style="list-style-type: none"> • 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. • 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.
18a	Participant's job code	<ul style="list-style-type: none"> • You may enter only one of the pre-defined codes to indicate the particular job assignment that the participant has at this host agency. <u>If the job changes, you may select a new job code.</u>
18b	Participant's workers' comp. code	<ul style="list-style-type: none"> • Grantees may designate state-based workers' compensation codes for use by their sub-grantees. There is no nationwide list of codes.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 27	Cash handling assignments for participants	<ul style="list-style-type: none"> • 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.
19 (Revised)	Total hours paid in quarter	<ul style="list-style-type: none"> • 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. • 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 issued 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 issued in the subsequent quarter, the new QPR field #13 (percent of participants working 18-22 hours per week) may not give you credit for the final hours represented by that last paycheck. • Do not make any deduction for fringe benefits paid. • Enter this information only at the end of each quarter. 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 19. • The total hours paid in the quarter must at least equal the number of paid training hours in the quarter (field 21). Training hours are a subset of total hours. • This information will be used to derive the total hours of community service.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 28	Entering total paid hours when participant has two different assignments in the same quarter	<ul style="list-style-type: none"> • 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 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. • 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.
Topic 29 (Revised)	Required number of hours in community service each week	<ul style="list-style-type: none"> • There is no rule governing how many hours a participant must work in community service each week. There used to be a requirement that you offer all participants at least 20 hours of community service per week but no more than 25 hours. That requirement no longer applies. However, the cost per slot is based on 21 hours of community service per week, and the national office strongly recommends that you provide everyone 20 hours per week. The community service measure uses 21 hours per week in the calculation of the denominator. • There is no longer a limit on the number of hours a participant can work in community service in a year. However, the national office still considers 1300 hours per year (calculated from the date of enrollment) to be a good benchmark and encourages grantees to stay within it. Since slots are allocated to grantees based on 21 hours per week per participant, as a practical matter, you cannot exceed the 1300 hour limit without over-spending your grant or leaving some positions unfilled. • If you provide more than 20 hours per week, you will not be able to serve the number of participants required because you won't have enough money. If you provide fewer hours, participants may not get the training they need or enough money in wages to support themselves. See the preamble to the Final Rule at page 19017, just before Subpart B. • The SPARQ 3 QPR has a new field, B13, which will list 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.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 30 (New)	Limit on number of hours for community service and paid training	<ul style="list-style-type: none"> • There are limits to the amount of paid community service and training that a participant can receive. Because the statute defines community service as part-time employment, community service must be less than 40 hours each week, or less than 560 hours per quarter. • 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 community service and paid training, the total hours paid per week for both may not exceed 40. The SPARQ edits reflect these limits. • 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.
20	Types of training received	<ul style="list-style-type: none"> • Field 20 records all types of training 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. • You 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. • If you use the optional Training Information section of the CSA Form and complete field 34, SPARQ will automatically update field 20 with the training type indicated in field 34. However, you can always update field 20 manually even if you have completed field 34. • 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. Do not record any host agency training in field 20. • 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 could be general training, depending on the content. If you are

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		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.
Topic 31	Using OJEs to transition participants to unsubsidized employment	<ul style="list-style-type: none"> • Many participants are unsure of their job skills and are reluctant to leave the program for unsubsidized employment without some sort of safety net. In the past, grantees have permitted participants to work a few hours each week while they tried out a new job and gained the confidence they needed to succeed in it. The new 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. • 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. • The transition to unsubsidized employment can also be facilitated by the right of return. See Topic 2 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 she had never left. If for some reason the job does not work out, the participant can come back into the program and strengthen the job skills and self-confidence needed to be successful in a new placement.
Topic 32	OJEs are not placements	<ul style="list-style-type: none"> • An OJE is a type of training, paid for with program funds; it 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 picked up 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. • SPARQ has new screens for capturing the details of any paid training provided to a participant, including an OJE. See Elements 23-43 below.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 33	How long must a participant be in community service before receiving specialized training	<ul style="list-style-type: none"> • Older Worker Bulletin 04-04, which governs all training activity, requires that participants be assigned to community service before they can receive any training. The bulletin specifies that a participant must be working in a community service assignment for at least two weeks before commencing an OJE but does not provide a specific time in community service before a participant can receive specialized training. To be safe, you should wait at least two weeks. • 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.
Topic 34	Participant's community service status when assigned to training only or working reduced hours in community service	<ul style="list-style-type: none"> • 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. • 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. • You cannot allow the participant to be in training if the participant is not assigned to some host agency.
Topic 35 (New)	Paid training and community service hours	<ul style="list-style-type: none"> • You may pay participants wages while they are in training regardless of whether WIA 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 must pay wages. • 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

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		hours during the training. The maximum number 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 29 and 30 of the Community Service Assignment Form Guide in the Handbook.
21	Total hours of paid training received in quarter	<ul style="list-style-type: none"> • At the end of each quarter, enter the total number of hours of paid 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> • 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. • 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. • The number of hours of paid training in a quarter can never be more than the total hours paid in the quarter (field 19).
Topic 36	Payment of wages for training and job search activity	<ul style="list-style-type: none"> • The regulations provide that you must pay participants the minimum wage for orientation, grantee-required 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. • 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.
Topic 37	When is training considered grantee-required?	<ul style="list-style-type: none"> • 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. • 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

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>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 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"> 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.
Topic 38 (Revised)	Effect of paid training on performance measures	<ul style="list-style-type: none"> 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.
Topic 39	Recording paid OJE hours	<ul style="list-style-type: none"> OJE wages may be paid by either the sub-grantee or the employer. If they are 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 they are 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 may use a purchase order or some other form of payment 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. 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 durational limit.
Topic 40	Hours of community service, how calculated	<ul style="list-style-type: none"> 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. 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.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
22	Community service assignment comments	<ul style="list-style-type: none"> Use this field to record any additional information about the community service assignment. You may enter up to 1000 characters (about 160 words).
Form Heading 5	Sub-Grantee Provided Training Information	<ul style="list-style-type: none"> 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. 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. Complete a new Training Information section for each training event. A participant can have multiple training events for a single host agency assignment.
Form Heading 6	Training Provider Information	<ul style="list-style-type: none"> 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. You select the training provider from the drop-down menu. If training provider is not on the drop-down menu, you can enter a new one from field 23.
23	Name of training provider or OJE employer	<ul style="list-style-type: none"> 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.
24	Training provider or OJE employer mailing address	<ul style="list-style-type: none"> Enter the address as you want it to appear on an envelope or mailing label.
25	Training provider continued availability	<ul style="list-style-type: none"> This field is for administrative use by the sub-grantee only. It will not be active until a later release of SPARQ 3. 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.
Form Heading 7	Contact Person Information	<ul style="list-style-type: none"> Fields 26-32 are entered in the Contacts utility in SPARQ 2. 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. 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.

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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"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the training information screen.
27	Contact person's mailing address if different from number 24	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the training information screen.
28	Contact person's title	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the training information screen.
29	Contact person's salutation	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the training information screen.
30	Contact person's phone number	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the training information screen.
31	Contact person's fax number	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the training information screen.
32	Contact person's e-mail	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the training information screen.
33	Training provided in	<ul style="list-style-type: none"> For each training event, you may only select one value
34	Types of training received	<ul style="list-style-type: none"> 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 34 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. SPARQ will automatically add to field 20 any training types indicated in field 34. SPARQ will not remove training types from field 20. Therefore, if you delete a training type from field 34, you must remember to also delete it from field 20.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
35	Job code for which training is provided	<ul style="list-style-type: none"> 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.
36	Start training date	<ul style="list-style-type: none"> 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.
37	End training date	<ul style="list-style-type: none"> 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.
38	Average number of hours per week of training	<ul style="list-style-type: none"> 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.
39	Average number of hours of community service per week during training	<ul style="list-style-type: none"> 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. For OJE, the total of paid training hours (field 38) plus community service hours (field 39) may not exceed 40 hours per week.
40	If OJE, wages paid by	<ul style="list-style-type: none"> 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.
41	Training wage (per hour)	<ul style="list-style-type: none"> Indicate the wage paid to the participant while in training. This field must be updated whenever the wage changes.
42	Total wages paid to participant or reimbursed to employer	<ul style="list-style-type: none"> 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. 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 records the total dollars paid at a single training event regardless of the quarters involved.

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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">• 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.
44	Training Comments	<ul style="list-style-type: none">• Enter any comments regarding this training event. You may enter up to 1000 characters (about 160 words).

Exit Form Guide

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 1 (Revised)	Data elements newly active in SPARQ 3	<ul style="list-style-type: none"> • There are no fields in SPARQ 3 that were not active in SPARQ 2 or were used differently in SPARQ 2.
Form Heading 1	Exit Form	<ul style="list-style-type: none"> • This form is used to record when a participant ends his or her last community service assignment and is no longer being paid wages. • “Exit” has several different meanings for the data collection and reporting system. For the performance measures, an exit recorded on this form 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 2, below. If the participant elects to return to the program, the “exit” will be reversed and will not be counted in the performance measures. You will delete the exit reason and the date of exit. (See description of field 5 below.) • 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. • 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 9 below and new field 6a below.) • 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 discussion of field 5 and Topic 2 below for an exception.)

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		<ul style="list-style-type: none"> • 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.
3	Participant mailing address (if changed)	<ul style="list-style-type: none"> • 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. • 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. • For WebDCS users, updating of participant information (other than name and Social Security number) must be done on the Participant Information screen, which you access from the Enrollments tab on the main page.
4	Phone number of participant (if changed)	<ul style="list-style-type: none"> • If there has been no change, leave this field blank. • 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.
5 (Revised)	Exit due to unsubsidized placement?	<ul style="list-style-type: none"> • 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. 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. • 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. • Check “No” if the participant exited for some reason other than unsubsidized employment

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		<p>(field 6) or if you are closing the participant’s record for one of the 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 from either WebDCS or non-WebDCS users unless field 5 is completed.</p> <ul style="list-style-type: none"> • 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. 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 2 below.)
Topic 2 (Revised)	Right of return and re-enrollment: priorities/preferences	<ul style="list-style-type: none"> • 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 a total of 30 days within the first 90 days of exit. They are allowed to return to the program within 90 days without being subject to the priorities of service. Their exit is reversed, and they are treated 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. If there is no slot available at the time the participant seeks to return, the participant should be placed on an approved break in participation (field 15a of the Community Service Assignment Form) and given the next available assignment. • 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 if you have already recorded entered employment. You also fill out a new Community Service Assignment Form to document the host agency assignment. 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. • 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

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		<p>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.</p>
<p>Topic 3 (Revised)</p>	<p>Entered employment discovered after exit</p>	<ul style="list-style-type: none"> • 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 three follow-ups. • 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. • 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 are excluded from all Common Measures.
<p>6</p>	<p>If exit is not due to unsubsidized employment, other reason for exit</p>	<ul style="list-style-type: none"> • 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 ten specified exit reasons. If you feel that none of the ten reasons applies perfectly, pick the reason that is closest and explain the circumstances in the comments field. • Non-exit reasons for closing your record are recorded in field 6a. • The first six selections in field 6 are negative outcomes that count against the performance measures: <ul style="list-style-type: none"> i) Moved from area ii) For cause <ul style="list-style-type: none"> Cause may include, but is not limited to the following: <ul style="list-style-type: none"> ○ Refusal to cooperate in recertifying eligibility; ○ Inability and/or unwillingness to perform assigned duties; ○ Unreasonable refusal to accept a different community service assignment; ○ Unreasonable refusal to accept job referrals or cooperate with the IEP; ○ Frequent tardiness;

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		<ul style="list-style-type: none"> ○ Falsification by the participant of time sheets or other official records; ○ Insubordination; ○ Obscene/abusive language or behavior; ○ Non-compliance with substance abuse policy; and ○ Failure to cooperate with grantee and/or host agency staff. <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 are optional. However, they must be approved by the national office.</p> <p>vi) Administrative reasons This value has been added to reflect terminations initiated by the sub-grantee for reasons other than cause or durational limit. For example, the sub-grantee may not have been able to find a host agency that can meet the participant’s needs.</p> <ul style="list-style-type: none"> ● 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. <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</p>

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		<p>The participant is residing in an institution or facility providing 24-hour support, such as 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"> Note that there is no value for “other” in SPARQ. 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.
6a	Non-exit reasons for closing the record	<ul style="list-style-type: none"> This field is for closing your record when the applicant or participant has left your project but has not truly exited SCSEP or when you are resolving a dual enrollment. Use field 6a(i) for applicants who withdraw from the waiting list or 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. Field 6a(ii) is generated by the batch change of entity function. 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. 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. Use field 6a(iv) to record a termination by the secondary grantee when a dual enrollment has been detected. Dual enrollments do not result in credit for the SCSEP performance measures.
Topic 4	Exiting participants who have gone missing or fail to return from a leave of absence	<ul style="list-style-type: none"> For missing participants, you should use 6(ii), for cause. Participants have an obligation to keep in touch with you. Their failure to do so justifies your terminating them. Depending on the reason for the participant's failure to return, you may also use 6(ii), for cause, to record the participant's exceeding the maximum duration of a leave of absence.

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Topic 5 (New)	Removing applicants from the waiting list for administrative reasons	<ul style="list-style-type: none"> • 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 some other document. • 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 6 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. • Except in cases of falsification of eligibility information, 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.
Topic 6 (New)	Responsibility to applicants on waiting list	<ul style="list-style-type: none"> • 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. • 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 15 of the Participant Form Guide, Date for Determining Eligibility of Applicant.) Furthermore, an applicant who is over-income at some

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		<p>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 the first recertification would result in termination from the program. Given that information, the applicant might decide to withdraw from the waiting list.</p>
Topic 7	Closing the record of applicants who are determined not eligible	<ul style="list-style-type: none"> • 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.
Topic 8	Transfer vs. re-enrollment	<ul style="list-style-type: none"> • Transfers between grantees are done for a variety of purposes: to reflect the results of a new competitive process for national grantees; to achieve equitable distribution; to avoid disruption of service; to simplify administration when the same host agency has participants assigned from multiple projects; and to allow national grantees to swap slots in the same or different states in order to make their operations more efficient. Transfers require the approval of the state grantee where the slots are located and the national office. • 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. 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. • 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 new project will not be able to accept the transfer if it does not have any slots 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. • 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

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		measures. The true exit occurs when the participant leaves the new project. At that time, both projects will have the outcome reflected in their QPRs.
Topic 9 (Revised)	Transfer vs. change of sub-grantee	<ul style="list-style-type: none"> • 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-grantees 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 grantees into the utility. SPARQ then moves the affected enrollment records from the donor sub-grantee to the recipient sub-grantee. • The hard copy Exit Forms contain 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 system-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 not yet active in SPARQ 3. You should record that date in field 17a of the hard copy form. • For changes of sub-grantee that occur during a program year, the performance of the old sub-grantee will be merged with the performance of the new sub-grantee for all QPRs after the date of the change in sub-grantee and for the Final QPR. 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.
7	Exit date	<ul style="list-style-type: none"> • Enter the date on which you exited the participant. SPARQ will not accept any exit date prior to 7/1/04, the date on which SPARQ 1 was first implemented. • 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 change of sub-grantee, you should record the date on the hard copy form, but it will not appear in SPARQ.

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Form Heading 2	Waiver of Confidentiality	<ul style="list-style-type: none"> • 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. • 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. • 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.
8	Signature of participant	<ul style="list-style-type: none"> • 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.
9	Date of signing	<ul style="list-style-type: none"> • 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.
10	Exit comments	<ul style="list-style-type: none"> • 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).

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 1 (Revised)	Data elements newly active in SPARQ 3	<ul style="list-style-type: none"> • The following fields in SPARQ 3 were not active in SPARQ 2 or were used differently in SPARQ 2. <ul style="list-style-type: none"> ○ Field 8 has been relabeled to delete reference to the Section 502(e) program. ○ Fields 26-30 have been renumbered and relabeled to accommodate the new performance outcome measures. ○ Field 27 has been added to record return to program within 90 days of exit. ○ Field 27a has been renumbered and relabeled to record re-enrollment within 90 days of exit. ○ Field 28 now records Follow-up 1, entered employment. Entered employment was captured as part of Follow-up 2 in SPARQ 2. ○ Field 29 now records Follow-up 2, Common Measures retention and average earnings. These measures had been captured in Follow-up 3 in SPARQ 2. ○ Field 30 is now used to capture Follow-up 3, retention at 1 year. This is a new measure.
Form Heading 1	Unsubsidized Employment Form	<ul style="list-style-type: none"> • 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. • The form is used to capture basic information about: <ul style="list-style-type: none"> ○ the employer and the placement ○ contact information to facilitate the customer service survey ○ information about the survey instrument(s) provided to the employer ○ the employment and earnings information required for the performance measures • A new Unsubsidized Employment Form must be started for each unsubsidized employment that the participant has during the 15-month follow-up period. A participant can have multiple unsubsidized employments at the same time, but only one will count as entered employment or retention for the performance measures. Wages from all employment in the relevant quarters will be counted for average earnings.

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Form Headings 2, 3 and 4 (Revised)	Employer Information, Contact/ Supervisor Information, and Placement Information	<ul style="list-style-type: none"> • 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. • For WebDCS users, 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.
3 (Revised)	Name of employer	<ul style="list-style-type: none"> • Enter the name of the parent organization at which the participant is placed. This will be the entity whose FEIN you enter in field 5. Do not enter the name of a satellite office or branch unless it has a separate FEIN or it is not feasible to treat the parent organization as a single employer. See Topic 2 below and Topics 7 and 8 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. • You should standardize the names of employers so that an employer is not entered multiple times under different names. • 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. • For WebDCS users, there is a drop-down menu from which you can select a previously entered employer. (For Non-WDCS users, there is a similar function on the SPARQ home page. All non-WDCS users must check for the existence of an employer before entering a new one.) 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"> • You cannot save a placement in SPARQ without at least an employer name, a state, and a start employment date.
Topic 2	Rule against entering duplicate organizations into SPARQ database	<ul style="list-style-type: none"> • SPARQ will not permit users to enter an organization into the database if that identical organization already exists. Organizations are considered identical if: (1) they have the same FEIN and state; or (2) 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; non-WebDCS users will have any record with a duplicate organization rejected. • There are circumstances where using the name and FEIN of the parent organization will not be

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		<p>feasible. See Topics 7 and 8 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, Goodwill LA East, if they are entered without any FEIN, are all considered unique organizations even though they are all in the state of California. You should only list the FEIN if you attach it to the parent organization.</p> <ul style="list-style-type: none"> • If a WebDCS 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 change the name of the organization to one that is unique. • The first sub-grantee that enters an organization is considered the “owner” of that organization 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 3. • Field 9b is not unique to the employer and may be different for each grantee using that employer. Fields 7, 8, and 9 belong to a particular placement and thus can be different for each placement. In future releases of the WebDCS, field 7 may be system-generated and will be unique to the employer.
Topic 3	Using stored host agency information in the WebDCS when a host agency becomes an employer	<ul style="list-style-type: none"> • 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. • 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.
4	Employer mailing address	<ul style="list-style-type: none"> • 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.
4a	Number, street, suite number; and/or PO Box	<ul style="list-style-type: none"> • 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.
5	FEIN	<ul style="list-style-type: none"> • Every effort must 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.

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		<ul style="list-style-type: none"> • For self-employed participants, leave this field blank. • The FEIN is used as a unique identifier for employers. The FEIN is also used to ensure that employers are only surveyed once each year.
6	Employer type	<ul style="list-style-type: none"> • 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.
6d	Self-employment	<ul style="list-style-type: none"> • 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. If the participant is working completely under the table and does not want to provide you with any documentation of his 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. • 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. • 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.
Topic 4	Determining whether the participant is self-employed or an employee	<ul style="list-style-type: none"> • There is no simple way to determine if 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 many states, participants are considered employees unless they hold themselves out to the public as being engaged in their occupation and are free from direction and control in the performance of their duties. For unskilled, unlicensed work, this is a very hard standard to meet. • 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 should be sufficient to persuade the employer to

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		<p>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.</p> <ul style="list-style-type: none"> • 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. The follow-up issue for self-employed participants is addressed in Topic 14 below. • 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 both self-employed when they are caring for private clients directly and employed by an agency when placed in a client's home. Again, state labor law officials are your best resource for making this determination.
7	Is employer a host agency?	<ul style="list-style-type: none"> • 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 will not be included in the customer service survey of employers. They will be in the pool for the host agency survey.
8	Did employer provide an OJE training site for this participant?	<ul style="list-style-type: none"> • Check "yes" if the employer provided an on-the-job experience (OJE) for this participant. • OJE placements are a subset of regular program placements in field 10b of the QPR.
9	Employer site name and location	<ul style="list-style-type: none"> • Enter here the site at which the participant is placed. This field is no longer required by SPARQ and is solely for case management purposes. • You need not enter a full address. Merely provide enough information so that you can locate the participant at the employer's facility.
9a	Employer received customer satisfaction survey in PY__	<ul style="list-style-type: none"> • This field will be generated by SPARQ whenever an employer has received a customer satisfaction survey. It is designed to prevent the inadvertent delivery of a survey to an employer twice in a program year. • Because this field is part of the Organizations utility, it will display on all placements, not just the placement that resulted in the delivery of the original customer satisfaction survey.
9b	Employer continued availability	<ul style="list-style-type: none"> • This field is for administrative use by the sub-grantee only and is optional. You may indicate that the organization no longer wishes to serve as an employer 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 training providers. This field will be active in a later version of SPARQ 3.

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Form Heading 5	Contact/ Supervisor Information	<ul style="list-style-type: none"> • This section is used to record information about the employer 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 by phone, by mail, by fax, by e-mail, or in person if necessary. • Additional fields have been added to permit the entry of information about the supervisor if that person is different from the contact person. • 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.
10 (Revised)	Name of contact person	<ul style="list-style-type: none"> • 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 supervisor. • 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. • 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. • Although the first survey should be hand-delivered to the employer contact, the second survey may be mailed.
11 (Revised)	Contact person's mailing address if different from number 4	<ul style="list-style-type: none"> • Enter a business address for the contact person <u>only</u> if it is different from the host agency's main mailing address (field 4). If the contact person's address is the same as the mailing address for the host agency in field 4, you do not need to enter anything into field 11. • 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>
11a	Organization or address field 1	<ul style="list-style-type: none"> • If the supervisor 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 were returned as undeliverable. • Enter this information for all employer contact persons with a separate address in your database.
12	Contact person's title	<ul style="list-style-type: none"> • Enter the title by which the contact person is known at the employer's facility. This may facilitate your contacting the individual.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
12a	Contact person's salutation	<ul style="list-style-type: none"> • Select either Mr. or Ms. as the salutation for the contact person. The salutation will be used for the customer satisfaction survey cover letters. • You should enter this information for <u>all</u> employer contact persons in your database.
13	Contact person's phone number	<ul style="list-style-type: none"> • This field may be used to help you reach the contact person.
13a	Contact person's fax number	<ul style="list-style-type: none"> • This field may be used to help you reach the contact person.
13b	Contact person's e-mail address	<ul style="list-style-type: none"> • This field may be used to help you reach the contact person.
Form Heading 6	Complete fields 13c-13i if supervisor is different from contact person (number 10). If supervisor is the same as contact person, skip to field 14.	<ul style="list-style-type: none"> • New fields 13c-13i are optional. They permit you to 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. • 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 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 no field for the funding source of the unsubsidized employment supervisor.
13c	Name of supervisor	<ul style="list-style-type: none"> • This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second placement screen.
13d	Supervisor's mailing address if different from number 4	<ul style="list-style-type: none"> • This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second placement screen.
13e	Supervisor's title	<ul style="list-style-type: none"> • This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second placement screen.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
13f	Supervisor's salutation	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second placement screen.
13g	Supervisor's phone number	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second placement screen.
13h	Supervisor's fax number	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second placement screen.
13i	Supervisor's e-mail address	<ul style="list-style-type: none"> This optional information may be entered through the Organizations Contacts on the home page of the WebDCS or directly on the second placement screen.
14	Start date	<ul style="list-style-type: none"> Enter the date on which the participant began work with this employer. This will be the date of placement for measurement purposes. 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.
15 (Revised)	End date	<ul style="list-style-type: none"> Enter the date on which the unsubsidized employment with this 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. The end date will determine when follow-up activity for each employer may be terminated. No end date is 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.
16	Starting wage per hour	<ul style="list-style-type: none"> 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. If you update this field, valuable information will be jeopardized.
17	Benefits	<ul style="list-style-type: none"> 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." This information is for management and analysis purposes only. It is not used for the performance measures.

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18	At time of placement, is employment expected to be full- or part-time	<ul style="list-style-type: none"> • Check the appropriate box to indicate whether the employment was expected to be full-time or part-time at the time of hire. • 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. • Under the Common Measures all part-time placements may be counted. There is no requirement that the job provide at least 20 hours of work per week or that it be more favorable than the prior SCSEP assignment. 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.
19	Job title	<ul style="list-style-type: none"> • 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.
19a	Participant’s job code	<ul style="list-style-type: none"> • You may enter one pre-defined code that reflects the particular job that the participant is performing.
19b	High growth placement	<ul style="list-style-type: none"> • Use this field to indicate whether the placement is in one of the 12 high growth industries included in the President’s initiative. You must select one of the 12 listed industries or “none.”
20	Training-related placement?	<ul style="list-style-type: none"> • Check “yes” if the participant is performing work related to the assignment that the participant had with the host agency or to any training provided by the sub-grantee. • 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.
21	Was placement the result of a substantial service provided to the employer by the sub-grantee?	<ul style="list-style-type: none"> • It is understood that 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 question is designed solely to determine whether the employer perceives the sub-grantee as having actively facilitated the placement. • Check “yes” only if the sub-grantee provided a substantial service to the employer as part of the placement process and 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. • If the participant found his or her own job or if the sub-grantee only provided assistance directly

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		<p>to the participant without the employer’s knowledge, check “no.”</p> <ul style="list-style-type: none"> This information will be used to determine which employers will receive the customer service survey. It is not relevant to employers that are host agencies because they are excluded from the employer survey.
22	Unsubsidized employment comments	<ul style="list-style-type: none"> Use this field to record any additional information about the unsubsidized employment. You may enter up to 1000 characters (about 160 words).
Form Heading 7	Customer Service Survey Information	<ul style="list-style-type: none"> This section is used to record the pre-printed number on the survey instrument delivered to the employer and the date on which the instrument was delivered. To obtain the required response rate (70%), sub-grantees will have to deliver a second survey to those employers that do not complete the first survey. The information for this section must be provided by the sub-grantee when the customer service survey is administered to an employer. The information is only provided for those employers selected for the survey. An employer is only selected for the survey once each year at the time of Follow-up 1 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.
Topic 5 (Revised)	Employer survey when sub-grantee works for two grantees	<ul style="list-style-type: none"> 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. If the two placements happened simultaneously, you should flip a coin to determine which grantee’s survey you use. For sub-grantees that work for two grantees, it is no longer necessary to maintain different survey number sequences for each grantee. Credit for surveys is now determined solely by the entry of a survey number and delivery date into field 23 (and 24 for second surveys) of the unsubsidized Employment Form for a particular placement. 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.

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Topic 6 (Revised)	Which employers receive surveys and when should they receive them?	<ul style="list-style-type: none"> • You should deliver the employer survey in person to the employer contact person when you do Follow-up 1. Although for purposes of 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 10 and 90 days after the participant started work with the employer. Before 10 days, the employer has not had sufficient time to assess the placement. After 90 days, the employer's recollection of the circumstances surrounding the placement may be unreliable. • 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. • You are not required to deliver surveys to any employers with which the participant starts employment after the end of the first quarter after the exit quarter; however, you are free to survey all qualifying employers during the entire 15-month follow-up period if you wish. You must be certain, however, that you follow the same rules of administration that are required for surveys at the first follow-up: only survey employers that qualify; do not survey host agencies; do not survey employers more than once in a program year; and survey all qualifying employers – whether or not the participant stays employed with the employer – between 10 and 90 days after the employment starts. You cannot choose to survey only successful placements. If you survey placements after the end of the first quarter after exit, you must still survey both successful and unsuccessful placements. • 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.
23	CS Survey #1; date	<ul style="list-style-type: none"> • Enter in this field the survey number and date for the first survey delivered to a qualified employer. 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. • The survey number and date are essential for computing the response rate and for assigning credit for the survey to the correct grantee. • 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. • If no survey is delivered, leave this field blank.

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24	CS Survey #2; date	<ul style="list-style-type: none"> • 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. • Enter the second survey number and date in this field. If a second survey is not delivered, leave this field blank.
25	CS Survey #3; date	<ul style="list-style-type: none"> • 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. • If a third survey is not delivered, leave this field blank.
Form Heading 8	Follow-up Information	<ul style="list-style-type: none"> • Follow-ups are required in order to obtain information needed for the performance measures, to provide case management to the 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. • <u>If efforts to obtain the information from the employer are unsuccessful, the sub-grantee may obtain the information from the participant.</u> • Failure to conduct required follow-ups may be considered a violation of the administrative requirements of the grant. • 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 performance measures.
Topic 7	Documenting follow-up information	<ul style="list-style-type: none"> • 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. • 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" • 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.

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Topic 8	Follow-up information, how to obtain from employer	<ul style="list-style-type: none"> • 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 must 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. However, even if the participant does not sign the waiver or wish you to contact the employer, you are still required to obtain the information from the employer. • 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.
Topic 9	Follow-up information, inability to obtain	<ul style="list-style-type: none"> • 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. • The national office 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. • 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 this code will not prevent the exiter from being counted negatively in the performance measures, it will

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		<p>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 of the national programs.</p>
Topic 10	Follow-ups for participants working under the table and unwilling to reveal their employers	<ul style="list-style-type: none"> • If the participant refuses to provide any information about the employer, you will not receive any credit at all, either in the performance measures or in Section B of the QPR, which reports non-qualifying placements. A non-qualifying placement is one that does not result in entered employment. Non-qualifying placements must be documented within the data system. • 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. • If the participant is willing to identify the employer and the participant is employed during the first quarter after the exit quarter, the entered employment will count toward your goal regardless of the employer's method of paying the participant. Workers are sometimes compelled to accept illegal working conditions. Neither you nor the participant should be penalized for the employer's actions.
Topic 11	Quarter, definition of	<ul style="list-style-type: none"> • 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. • 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 after the quarter in which the exit occurred. You would not be concerned with whether there were wages from July 5-September 30, which is the quarter of exit. • 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.

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Topic 12 (Revised)	Follow-ups, scheduled dates for completing	<ul style="list-style-type: none"> • The timing rules for the Common Measures follow-ups are greatly simplified in SPARQ 3. 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 varies for each measure. • 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 (the earliest date on which the follow-up can be conducted) 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. • Follow-up 2 captures both Common Measures retention and average earnings. Because we need complete earnings in both the second and third quarters after the exit quarter, the activity period is the second and third quarter 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. • Follow-up 3 captures the new 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. • The following tables illustrate when follow-ups may be conducted and when the measures will be reported.

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		<ul style="list-style-type: none"> • 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. • The following table illustrates the last date for completing each of the follow-ups. <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse; text-align: center;"> <thead> <tr> <th colspan="3"><i>Last Follow-up dates for QPR performance credit in PY2007</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>1</td> <td>4/1/2007 – 3/31/2008</td> <td>9/30/2008</td> </tr> <tr> <td>2 and 3</td> <td>7/1/2006 – 6/30/2007</td> <td>9/30/2008</td> </tr> </tbody> </table>	<i>Last Follow-up dates for QPR performance credit in PY2007</i>			Follow-up(s)	Exit on or between these dates	Last date for completing the Follow-up	1	4/1/2007 – 3/31/2008	9/30/2008	2 and 3	7/1/2006 – 6/30/2007	9/30/2008																																
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Topic 13 (Revised)	SPARQ follow-up reports and scheduled dates	<ul style="list-style-type: none"> • SPARQ 3 contains management reports for pending follow-ups and overdue follow-ups (those pending more that 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. • For Follow-up 1, the scheduled date is the first day of the first quarter after the exit quarter. • For Follow-up 2, the scheduled date is the first day of the fourth quarter after the exit quarter. <p>For Follow-up 3, the scheduled date is the first day of the fourth quarter after the exit quarter</p> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse; text-align: center;"> <thead> <tr> <th colspan="4"><i>Follow-up scheduled dates based on exit quarter in P7 2007-2009</i></th> </tr> <tr> <th style="width: 25%;">Exit Date Between</th> <th style="width: 25%;">Exit Quarter</th> <th style="width: 25%;">Follow-up 1 Scheduled Date</th> <th style="width: 25%;">Follow-ups 2 and 3 Scheduled Date</th> </tr> </thead> <tbody> <tr><td>4/1/07 and 6/30/07</td><td>Q4 PY 2006</td><td>7/1/07</td><td>4/1/08</td></tr> <tr><td>7/1/07 and 9/30/07</td><td>Q1 PY 2007</td><td>10/1/07</td><td>7/1/08</td></tr> <tr><td>10/1/07 and 12/31/07</td><td>Q2 PY 2007</td><td>1/1/08</td><td>10/1/08</td></tr> <tr><td>1/1/08 and 3/31/08</td><td>Q3 PY 2007</td><td>4/1/08</td><td>1/1/09</td></tr> <tr><td>4/1/08 and 6/30/08</td><td>Q4 PY 2007</td><td>7/1/08</td><td>4/1/09</td></tr> <tr><td>7/1/08 and 9/30/08</td><td>Q1 PY 2008</td><td>10/1/08</td><td>7/1/09</td></tr> <tr><td>10/1/08 and 12/31/08</td><td>Q2 PY 2008</td><td>1/1/09</td><td>10/1/09</td></tr> <tr><td>1/1/09 and 3/31/09</td><td>Q3 PY 2008</td><td>4/1/09</td><td>1/1/10</td></tr> <tr><td>4/1/09 and 6/30/09</td><td>Q4 PY 2008</td><td>7/1/09</td><td>4/1/10</td></tr> </tbody> </table>	<i>Follow-up scheduled dates based on exit quarter in P7 2007-2009</i>				Exit Date Between	Exit Quarter	Follow-up 1 Scheduled Date	Follow-ups 2 and 3 Scheduled Date	4/1/07 and 6/30/07	Q4 PY 2006	7/1/07	4/1/08	7/1/07 and 9/30/07	Q1 PY 2007	10/1/07	7/1/08	10/1/07 and 12/31/07	Q2 PY 2007	1/1/08	10/1/08	1/1/08 and 3/31/08	Q3 PY 2007	4/1/08	1/1/09	4/1/08 and 6/30/08	Q4 PY 2007	7/1/08	4/1/09	7/1/08 and 9/30/08	Q1 PY 2008	10/1/08	7/1/09	10/1/08 and 12/31/08	Q2 PY 2008	1/1/09	10/1/09	1/1/09 and 3/31/09	Q3 PY 2008	4/1/09	1/1/10	4/1/09 and 6/30/09	Q4 PY 2008	7/1/09	4/1/10
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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 14	Follow-ups for self-employed participants	<ul style="list-style-type: none"> • Self-employment is counted for SCSEP the Common Measures 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. • 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. • 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.
Topic 15 (Revised)	Follow-ups only required for exited participants who have employment	<ul style="list-style-type: none"> • 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. • If a participant is excluded at the time of exit and does not subsequently begin employment, you do not need to do any follow-up with that participant. However, if the participant becomes employed at any time within the first quarter after the quarter of exit, you do need to create an Unsubsidized Employment Form and conduct the necessary follow-ups. If the participant becomes excluded at Follow-up 1 or Follow-up 2, you do not have to conduct subsequent follow-ups. • 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.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 16	“Orphan exiters”: follow-up for participants who exited before a sub-grantee has gone out of business	<ul style="list-style-type: none"> • 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. • 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. • 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 deregistered in SPARQ. • 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. • 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 deregistered from SPARQ when the outcomes for the orphan exiters were final. • If you let the sub-grantee go out of business and do not make arrangements for some other entity to do the follow-up for the orphan exiters, you 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.
26 (New)	90-day date	<ul style="list-style-type: none"> • 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 the next field) 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. • At the time of starting this form, enter the 90-day date so you will know when to check to see if the participant has received additional services. WebDCS will automatically provide this date.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
27 (New)	Has the participant returned to program within the first 90 days of exit	<ul style="list-style-type: none"> • 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. • 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 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. • 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 this 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. 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.
27a (New)	Has the participant re-enrolled in SCSEP within the first 90 days after exit?	<ul style="list-style-type: none"> • 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. • Additional services for purposes of the Common Measures do not 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"> ○ the payment of reasonable costs of transportation ○ health care and medical services ○ special job-related or personal counseling ○ incidentals (such as work shoes, badges, uniforms, eyeglasses, and tools) ○ child and adult care ○ temporary shelter • These follow-up activities are specifically authorized in the regulations for 180 days after exit in order to help a participant in unsubsidized employment achieve retention.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
28 (New)	Follow-up 1	<ul style="list-style-type: none"> • 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 10 and 90 days after the employment started. See Topic 6 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. • 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. • 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. • 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. • 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 an 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. • 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. • 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.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> • 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 need for this information during an in-person conversation may make the employer more willing to cooperate later. • 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.
28a (New)	Scheduled date	<ul style="list-style-type: none"> • This date is the first day of the first quarter after the exit quarter. • You should enter the scheduled date into this field when the form is first filled out so you will know when to conduct the first follow-up. The WebDCS will automatically provide this date.
28b (New)	Completed date	<ul style="list-style-type: none"> • Enter the date on which the follow-up is conducted by the sub-grantee. • 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. • SPARQ contains case management reports that will help you keep track of follow-ups that are pending or overdue. • 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.
28c (New)	Any wages for first quarter after exit quarter? Please also indicate method of verification	<ul style="list-style-type: none"> • This field indicates if the participant entered employment for the Common Measures. • 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. • If the participant had wages, you will usually check box vi. Only those grantees with permission from the national office to use UI wage records will check any of the other boxes. • Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant. • 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. You will not need to conduct Follow-up 2 or 3 with this employer. • Complete this field for self-employed individuals.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> If you were unable to obtain the information, 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.
Topic 17 (Revised)	Temporary or on-call employment and entered employment	<ul style="list-style-type: none"> 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.
Topic 18	OJE's and entered employment	<ul style="list-style-type: none"> OJE is a type of training. Because it is subsidized at least 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. Therefore, the participant does not exit and is not included in the Common Measures performance measures until the OJE ends and the 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.
Topic 19	Placement credit for participants who do not start community service	<ul style="list-style-type: none"> 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. <ul style="list-style-type: none"> Job-ready applicants should be referred to the One-Stop 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.
Topic 20	Right of return	<ul style="list-style-type: none"> 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. 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. The new employment will be combined with the original employment for purposes of the performance measures. <ul style="list-style-type: none"> If the participant exercises the right of return, you must check "yes" in field 27.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 21	Credit for entered employment where exit was for reason other than unsubsidized employment	<ul style="list-style-type: none"> • The reason for exit on the Exit Form does not determine whether you receive credit for a placement. If the participant exited for some other reason but subsequently started unsubsidized employment, you leave the Exit Form as it was. The Exit Form records the reason for exit at the time of exit. 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.
Topic 22	Re-enrolling participants who quit their jobs	<ul style="list-style-type: none"> • If the participant quit a job, you should 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 for the work or had a health problem, and came back to you for services within 90 days of exit, the participant would be entitled to exercise the right of return. Alternatively, you would be justified in exercising your discretion re-enroll an applicant who ought to return after 90 days. Of course, before taking the participant back into the program, you will want to determine whether another placement would be suitable. If the participant quit a job for which he or she lacked sufficient skill but was otherwise job-ready, you should attempt to find another job for which he or she is better suited. • 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 certainly would not have to permit the participant to re-enroll. Remember, re-enrollment is discretionary, and a participant who has been terminated for cause or has otherwise demonstrated an unwillingness to abide by the program's rules is not entitled to a second enrollment. 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.
Topic 23	Follow-ups for participants with multiple employers	<ul style="list-style-type: none"> • 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 can only enter one "yes," even if the participant has multiple employers. • 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

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		<p>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.</p> <ul style="list-style-type: none"> • 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 measurement fields as "no" once the time for doing the follow-up has passed.
29 (New)	Follow-up 2	<ul style="list-style-type: none"> • Follow-up 2, which captures the Common Measures retention and average earnings measures, is scheduled for the first day of the fourth quarter after the quarter of exit. Because you must wait for the second and third quarter to end to have complete wages for those quarters, you will wind up doing 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. • This follow-up may be conducted in person, by mail, or by telephone. • 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. • 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. • This follow-up is not required for any participant who returned to program or re-enrolled within 90 days of starting employment. This follow-up is also not required if you were unable to obtain employment information from this employer during the second follow-up.
29a (New)	Scheduled date	<ul style="list-style-type: none"> • This date is after the end of the third quarter after the quarter in which the participant exited – i.e., the first day of the fourth quarter after the quarter of exit. For example, if the participant exited the program and entered employment on July 24, the third quarter after the quarter of exit would be April 1-June 30. The follow-up would be scheduled for July 1. • You should enter the date into this field when the form is first filled out so you will know when to conduct the third follow-up. WebDCS will automatically provide this date.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
29b (New)	Completed date	<ul style="list-style-type: none"> • 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. • 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. • SPARQ contains case management reports that will help you keep track of follow-ups that are pending and that are overdue. • 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.
29c (New)	Any wages for second quarter after exit quarter?	<ul style="list-style-type: none"> • <i>Whether there were wages</i> in both the second and third quarters after exit is required for <u>all</u> participants who entered employment for Common Measures retention. For the average earnings measure (fields 29d and 29f), however, you only collect the <i>amount</i> of earnings in these quarters for participants who enrolled on or after July 1, 2005. • If the participant had wages in the second quarter after the exit quarter, you will usually check box vi. Only those grantees with permission from the national office to use UI wage records will check any of the other boxes. • Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant. • 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. The participant will be excluded from the performance measures from this point forward. • Complete this field for self-employed individuals.
29d (New)	If yes, earnings for second quarter after exit quarter	<ul style="list-style-type: none"> • Effective July 1, 2006, you began capturing actual earnings for the second quarter after the quarter of exit for participants who enrolled on or after July 1, 2005. Although these 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 unsubsidized employment in a single follow-up. • You do not capture this information for any participants who enrolled prior to July 1, 2005. • Do not use this field for self-employed participants.

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29e (New)	Any wages for third quarter after exit quarter? Please also indicate method of verification	<ul style="list-style-type: none"> • For new applicants who enrolled on or after July 1, 2005, and who entered employment, you began collecting the <i>amount</i> of earnings in the third quarter after the quarter of exit for the new average earnings measure on July 1, 2006. However, for all participants who entered employment, regardless of when they enrolled, you have always been required to record whether there are any wages in the second and third quarters for Common Measures retention. • 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. • If the participant had wages, you will usually check box vi. Only those grantees with permission from the national office to use UI wage records will check any of the other boxes. • Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant. • 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. • If you were unable to obtain the information, the exit will be counted as having failed the retention measure under the Common Measures, and the earnings for the second and third quarters will be counted as zero. • Complete this field for self-employed participants.
29f (New)	If yes, earnings for third quarter after exit quarter	<ul style="list-style-type: none"> • Effective July 1, 2006, you began capturing actual earnings for the third quarter after the quarter of exit for participants who enrolled on or after July 1, 2005. • You do not capture this information for any participants who enrolled prior to July 1, 2005. • Do not complete this field for self-employed participants.
Topic 24	Temporary or on-call employment, effect on retention	<ul style="list-style-type: none"> • 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.
30 (New)	Follow-up 3	<ul style="list-style-type: none"> • This new 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

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		<p>exit. This follow-up effectively extends the follow-up period to 15 months.</p> <ul style="list-style-type: none"> • As with Follow-up 1, you record only the fact of employment, not the amount of wages earned in this quarter. • Both the activity and reporting periods are the fourth quarter after the exit quarter.
30a (New)	Scheduled date	<ul style="list-style-type: none"> • This date is the first day of the fourth quarter after the exit quarter. • You should enter the scheduled date into this field when the form is first filled out so you will know when to conduct the first follow-up. The WebDCS will automatically provide this date.
30b (New)	Completed date	<ul style="list-style-type: none"> • Enter the date on which the follow-up is conducted by the sub-grantee. • 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. • SPARQ contains case management reports that will help you keep track of follow-ups that are pending or overdue. • 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.
30c (New)	Any wages for fourth quarter after exit quarter? Please also indicate method of verification	<ul style="list-style-type: none"> • This field determines if the participant achieved retention for 1 year. • Indicate whether the participant received <i>any</i> wages in the fourth quarter after the quarter of exit. • 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, 2007, the fourth quarter after the quarter of exit would be July 1-September 30, 2008. • If the participant had wages, you will usually check box vi. Only those grantees with permission from the national office to use UI wage records will check any of the other boxes. • Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant. • 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. • Complete this field for self-employed individuals.