

 COMMONWEALTH OF PENNSYLVANIA DEPARTMENT OF AGING Harrisburg, PA 17101	PENNSYLVANIA DEPARTMENT OF AGING	
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	6. Origin: Bureau of Aging Services	7. Contact: Rocco Claroni (717) 772-2932

AGING PROGRAM DIRECTIVE

SUBJECT: FISCAL YEAR (FY) 16-17 TITLE V ALLOCATION, SLOT LEVEL, FISCAL, PROGRAM AND REPORTING REQUIREMENTS

TO:

EXECUTIVE STAFF
 ALLEGHENY COUNTY AAA
 LEHIGH COUNTY AAA
 LYCOMING/CLINTON BI-COUNTY
 OFFICE OF AGING
 GREATER ERIE COMMUNITY
 ACTION COMMITTEE
 SOUTHWESTERN PA AAA, INC.

LANCASTER COUNTY OFFICE OF AGING
 AAA OF WESTMORELAND COUNTY
 LUZERNE/WYOMING COUNTIES BUREAU
 FOR AGING
 NORTHAMPTON COUNTY AAA
 PHILADELPHIA CORPORATION FOR AGING

FROM:



 Teresa Osborne
 Secretary
 Pennsylvania Department of Aging

PURPOSE: The purpose of this Aging Program Directive (APD) is to transmit to the Area Agencies on Aging (AAAs) the FY 16-17 Title V allocations and number of slots, Title V Budget information, Title V Program Reporting requirements and information about Title V Financial Reporting requirements. This APD also provides citations to the applicable Title V Policy documents that shall govern the AAA's administration of the Title V Program.

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I. Title V Program Background and Requirements

Funding for the Senior Community Service Employment Program comes from the US Department of Labor/Employment and Training Administration. The Catalog of Federal Domestic Assistance (CFDA) number is 17.235. The federal award grant period is 7-1-16 to 6-30-17 and the subaward grant period is also 7-1-16 to 6-30-17. The FAIN number is AD268851555A42.

The Senior Community Service Employment Program (SCSEP), or what is commonly referred to as the Title V Program, is funded under Title V of the Older Americans Act of 1965 as amended and reauthorized in 2016 (P.L. 114-144), 42 U.S.C. §§3001 *et seq.* The SCSEP fosters and promotes useful part-time work-based training opportunities in community organizations for unemployed individuals age 55 and older whose incomes do not exceed 125% of the most recent federal poverty guidelines. Program participants receive on-the-job training at local public agencies operated by units of government or non-profit agencies with certification under Section 501 (c) (3) of the Internal Revenue Code. Eligible individuals that participate in the SCSEP are reimbursed the federal or state minimum hourly wage, whichever is greater, for approximately 20 hours per week during their job training. The ultimate goal of SCSEP is to assist the transition of older individuals into unsubsidized employment that leads to self-sufficiency.

Prior to July 1, 2005, the Department provided all 52 AAAs with a Title V allocation. As of July 1, 2016, 42 of the 52 AAAs have relinquished their Title V funds to the Department and no longer operate a Title V Program. The 10 AAAs that will continue to receive Title V funds from the Department in FY 16-17 are: Philadelphia, Allegheny, Washington/Fayette/Greene, Lancaster, Luzerne-Wyoming, Westmoreland, Erie, Lehigh, Northampton and Lycoming-Clinton.

The AAAs shall make income eligibility determinations pursuant with the USDOL's Training and Employment Guidance Letter No. 12-06 and the most recent federal poverty guidelines issued by the U.S. Department of Health and Human Services. AAAs shall use APD # 07-05-01, SCSEP Eligibility Determination, Assessment, Individual Employment Plan (IEP) and IEP Related Termination Requirements and Forms when determining eligibility, conducting assessments and preparing IEPs. All permissible training activities to be provided by the AAA with Title V funds provided by PDA shall be in accordance with the USDOL's Older Worker Bulletin No. 04-04. AAAs shall follow the Department's Durational Limit Policy that is contained in APD 11-05-03. AAAs shall also follow all of the policies governing federal holidays, necessary sick leave, leave of absences, terminations and grievances that are contained in APD 11-05-04.

The AAAs are required to meet PDA prescribed SCSEP performance goals in FY 16-17 for the following six performance measures: Entered Employment – 48.8%, Retention – 68.8%, Average Earnings - \$7,505, Service Level – 163.5%, Community Service – 75%, and Most-in-Need – 2.75.

II. Program Reporting Instructions

The AAAs are required to enter new participant, host agency and employer data and update data on current participants, host agencies and employers in the SCSEP Data Collection and Reporting System on a regular basis. The AAAs must generate a Quarterly Progress Report (QPR) no later than 30 days after the end of each quarter. The exact due dates for generation of the QPRs for each quarter will be forwarded to the AAAs by the Department during the fiscal year. The AAAs are also responsible for generating Data Quality Reports (DQRs) after the generation of the QPR. All errors starting with durational rejects must be corrected and another QPR must be generated. It is expected that the AAAs generate error free QPRs by the Department's prescribed due dates, which will be sent to the AAAs during the fiscal year.

III. Fiscal Information

The Department issued a SCSEP contract renewal letter to the AAAs on May 4, 2016. Each AAA will extract the U0117XX.XLS file from the BUDZIP17.EXE file in the AS/400 in the AAAEXCEL Folder and complete the file according to the instructions listed below. The files are available in the AAAEXCEL folder. The file will be renamed and macroed according to the instructions contained in the "Procedures for Area Agency on Aging To Submit Program Financial Reports To Pennsylvania Department of Aging Fiscal Year 2016-2017" manual extracted from the BUDZIP16.EXE file. Follow the instructions in the instruction manual for submitting the .prn text file created from the macro to the Department. The Department will provide the AAA with a letter along with the budget approving the budget submission.

Instructions for completing Document U01-17 are as follows:

The line item budget should identify only Title V funds and any matching funds for each line item. The Title V dollar amount to be budgeted for each AAA is contained in Exhibit 1.

The USDOL will pay no more than 90% of the total cost of activities carried out under a Title V grant. Consequently, a 10% non-federal match is required. The non-federal match could include cash and in-kind services including, but not limited to, supervision of participants at host agencies.

The PDA will control Title V expenditures by the following budget categories: Administration, Participant Wages and Fringe Benefits (PWFB) and Other Participant Costs (as identified on the Title V budget). A minimum of 78% of the approved total federal award contained in Exhibit 1 must be allocated and expended for PWFB. No more than 10% of the available funds can be allocated and expended for administrative costs. Functions that are considered administrative for SCSEP purposes are: accounting, financial & cash management, procurement, property management, personnel management, payroll, coordinating the resolution of audit or monitoring findings, audits, legal services, developing systems and procedures and monitoring of administrative functions. Administrative costs include: goods and services required for administrative functions and travel costs to carry out administrative activities. Administrative costs associated with information technology include the costs of information systems related to administrative functions such as payroll, accounting, procurement and purchasing

systems. It also includes the costs associated with the purchase, development and operation of information systems.

Other Participant Costs (OPC) include: intake and eligibility determination, participant assessment, Individual Employment Plan (IEP) preparation, host agency development, outreach and recruitment, classroom training, job placement assistance and participant support services. Participant support services may include: transportation and incidentals, such as work shoes, badges, uniforms, eyeglasses, tools, child and adult care, and temporary shelter. Some information technology costs can also be charged to OPC, such as the cost of tracking and monitoring participant and performance information, developing employment statistics and performance information. Please note that if a Title V participant performs work involving assessment and planning for other participants, those costs should be included in the Participant Wages and Fringe Benefits category.

SCSEP funds can only be used to pay for the following benefits: FICA, the costs of physical examinations and worker's compensation. SCSEP funds shall not be used to pay for pension benefits, annual leave, accumulated sick leave, and unemployment compensation costs for SCSEP participants or bonuses to SCSEP participants.

Monthly Expenditure Report

The expenditure reports are to be completed using a modified accrual system. A modified accrual system accounts for expenditures according to the period in which the benefit for the expenditure occurs. Accounts payable as well as estimated expenditures for invoices not received should be included. Reimbursement for reported expenditures will continue to be paid on a quarterly basis.

The U0117XX.XLS and U1117XX.XLS Excel workbooks are available in the BUDZIP17.ZIP or PFRZIP17.ZIP files respectively in the AAAEXCEL folder on the AS400 drive. The workbooks must be renamed and macroed according to the instructions contained in the "Procedures for Area Agency on Aging to Submit Program Financial Reports to Pennsylvania Department of Aging FY 2016-2017" manual. Follow the instructions in the instruction manual for submitting the .prn text file created from the macro to the Department.

Beginning with this fiscal year, AAAs are now required to submit quarterly expenditure reports instead of monthly reports. The due dates for the quarterly expenditure reports (U11s) are:

<u>Report</u>	<u>Months Covered</u>	<u>Due to PDA</u>
U117CXX.XLS	July-September	October 10 th
U117FXX.XLS	October-December	January 10 th
U117IXX.XLS	January-March	April 10 th
U117LXX.XLS	May-June	August 1st

The Department will monitor and control the AAAs' expenditures at the service cost level (Administration, PWFB and OPC). The AAAs may reallocate funds between service cost centers in an amount up to 10% or \$10,000, whichever is greater, of the amount budgeted in that cost center. Any reallocation of funds between service cost centers in excess of 10% or \$10,000 must receive prior approval from the Department. No reallocation may

cause the budget or expenditure of Title V federal funds to violate the parameters for Administration (no more than 10%) or PWFB (no less than 78%).

The Programmatic Assurances for FY 16-17 SCSEP Funds (see Exhibit 2) must be signed and submitted to Rocco Claroni by June 30, 2016. Program, including program reporting related questions, should be directed to Rocco Claroni at (717) 772-2932 or via e-mail at rclaroni@pa.gov. Fiscal reporting and other fiscal related questions should be directed to Diane Bressler at (717) 772-0189 or via e-mail at dibressler@pa.gov.

EXHIBIT 1		
AAA FY 16-17 SCSEP ALLOCATION & SLOTS (5-16-16)		
AAA	ALLOCATION	SLOTS
01 ERIE	\$122,514	13
06 ALLEGHENY	\$414,663	44
07 WESTMORELAND	\$131,938	14
08 WASHINGTON/FAYETTE/GREENE	\$150,786	16
14 LYCOMING/CLINTON	\$56,545	6
26 LANCASTER	\$150,786	16
31 PHILADELPHIA	\$951,839	101
33 LEHIGH	\$94,242	10
34 NORTHAMPTON	\$56,545	6
37 LUZERNE/WYOMING	\$150,786	16
TOTAL	\$2,280,644	242

EXHIBIT 2

PROGRAMMATIC ASSURANCES FOR FY 16-17 FUNDS

You must certify that you will conform to these assurances throughout the period of the grant by checking each of the assurances below. These assurances also apply fully to any AAA subcontractor involved in the delivery of SCSEP services.

You agree to:

Recruitment and Selection of Participants

- Develop and implement methods to recruit and select eligible participants to assure maximum participation in the program.
- Use income definitions and income inclusions and exclusions for SCSEP eligibility, as described in TEGL No. 12-06, to determine and document participant eligibility.
- Develop and implement methods to recruit minority populations to ensure at least proportional representation in your assigned service area.
- Develop and implement strategies to recruit applicants who have priority of service as defined in OAA section 518(b) (1)-(2) and by the Jobs for Veterans Act (JVA).

Individuals with priority include those who:

- Are covered persons in accordance with the JVA (covered persons who are SCSEP-eligible must receive services instead of or before non-covered persons);
- Are 65 years or older;
- Have a disability;
- Have limited English proficiency;
- Have low literacy skills;
- Reside in a rural area;
- Have low employment prospects;
- Have failed to find employment after utilizing services provided through the One-Stop Delivery System;
- Are homeless or are at risk for homelessness.

Assessment

- Assess participants at least twice per 12-month period.
- Use assessment information to determine the most appropriate community service assignments (CSAs) for participants.

Individual Employment Plan (IEP)

- Establish an initial goal of unsubsidized employment for all participants.
- Update the IEP at least as frequently as assessments occur (twice per 12-month period).
- Modify the IEP as necessary to reflect other approaches to self-sufficiency, if it becomes clear that unsubsidized employment is not feasible.
- For participants who will reach the individual durational limit or would not otherwise achieve unsubsidized employment, include a provision in the IEP to transition to other services.

- Rotate participants to a new host agency (or a different assignment within the host agency) only when an individualized determination determines that the rotation is in the best interest of the participant. Such rotation must further the acquisition of skills listed in the IEP.

Community Service Assignment (CSA)

- Base the initial CSA on the assessment done at enrollment.
- Select only designated 501(c)(3) organizations or public agencies as host agencies.
- Put in place procedures to ensure adequate supervision of participants at host agencies.
- Ensure safe and healthy working conditions at CSA through annual monitoring.

Recertification of Participants

- Recertify the income eligibility of each participant at least once every 12 months, or more frequently if circumstances warrant.

Physical Examinations

- Offer physical examinations to participants upon program entry, and each year thereafter, as a benefit of enrollment.
- Obtain a written waiver from each participant who declines a physical examination.
- Not obtain a copy or use the results of the physical examination to establish eligibility or for any other purpose.

Host Agencies

- Develop and implement methods for recruiting new host agencies to provide a variety of training options that enable participants to increase their skill level and transition to unsubsidized employment.
- Maintenance of Effort:* Ensure that CSAs do not reduce the number of employment opportunities or vacancies that would otherwise be available to individuals who are not SCSEP participants. You must specifically ensure that CSAs do not:
 - Displace currently-employed workers (including partial displacement, such as a reduction in non-overtime work, wages, or employment benefits).
 - Impair existing contracts or result in the substitution of Federal funds for other funds in connection with work that would otherwise be performed.
 - Assign or continue to assign a participant to perform the same work, or substantially the same work, as that performed by an individual who is on layoff.

Orientation

- Provide orientations for its participants and host agencies, including information on:
 - Project goals and objectives
 - Participant rights and responsibilities
 - CSAs
 - Training opportunities
 - Available supportive services
 - Availability of free physical examinations
 - Host agencies

- Local staff must address the topics listed above and provide sufficient orientation to applicants and participants on:
- SCSEP goals and objectives
 - Grantee and local project roles, policies, and procedures
 - Documentation requirements
 - Holiday and sick leave
 - Assessment process
 - Development and implementation of IEPs
 - Evaluation of participant progress
 - Health and safety issues related to each participant's assignment
 - Role of supervisors and host agencies
 - Maximum individual duration policy, including the possibility of a waiver, if applicable
 - Termination policy
 - Grievance procedure

Wages

- Provide participants with the highest applicable required wage (highest of Federal, state, or local minimum wage) for time spent in orientation, training, and community service assignments.

Participant Benefits

- Provide workers' compensation and other benefits required by state or Federal law and the costs of physical examinations.
- Not use grant funds to pay the cost of pension benefits, annual leave, accumulated sick leave, or bonuses.

Procedures for Payroll and Workers' Compensation

- Make all required payments for participant payroll and pay workers' compensation premiums on a timely basis.
- Ensure that host agencies do not pay workers' compensation costs for participants.

Durational Limits

- Maintain average project duration of 27 months or less.

Maximum Individual Participant Duration – 48 Months

- Allow participants to participate in the program no longer than 48 months (whether or not consecutively).
- Notify participants of your policy pertaining to the maximum duration requirement at the time of enrollment and each year thereafter.
- Provide a 12-month, 6-month and 30-day written notice to participants prior to durational limit exit from the program.

Transition Services

- Develop a system to transition participants to unsubsidized employment or other assistance before each participant's maximum enrollment duration has expired.

Termination Policies

- Provide a 30-day written notice for all terminations that states the reason for termination and informs the participants of grievance procedures and right to appeal.
- Adhere to the written termination policies contained in APD #11-05-04 and provide this termination policy to participants at enrollment and specifically explain to them the following reasons for termination:
 - Provision of false eligibility information by the participant
 - Incorrect initial eligibility determination at enrollment
 - Income ineligibility determined at recertification
 - Participant has reached individual durational limit
 - Participant has become employed while enrolled
 - IEP-related termination
 - Cause

Equitable Distribution

- Comply with the authorized position allocations /ED listed in www.scseped.org. You can only make changes in the location of authorized positions within a state with prior PDA and DOL approval.

Over-Enrollment

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

Administrative Systems

- Ensure representation at all PDA required Trainings and meetings.
- Communicate grant policy, data collection, and performance developments and directives to staff and subcontractors on a regular basis.
- Develop a written monitoring tool that lists items you will review during monitoring visits of subcontractors and provides this tool to your subcontractors.
- When appropriate, prescribe corrective action and follow-up procedures for subcontractors to ensure that identified problems are remedied.
- Monitor the financial systems and expenditures, including subcontractors on a regular basis to ensure compliance with cost allocations as specified in the regulations.
- Ensure that subcontractors receive adequate resources to effectively operate local projects.
- Ensure that all financial reports are accurate and submit them in a timely manner, as required.
- Ensure full implementation and monitoring of requirements for customer satisfaction surveys, including participant, host agency and employer surveys.
- Develop a written plan for both disaster response and recovery so that SCSEP may continue to operate and provide services under emergency circumstances.

Collaboration and Leveraged Resources

- Collaborate with other organizations to maximize opportunities for participants to obtain workforce development, education, and supportive services to help them move into unsubsidized employment. These organizations may include but are not limited to: workforce development boards, CareerLink Centers, vocational rehabilitation providers, disability networks, basic education and literacy providers, and community colleges.

Supportive Services

- Provide supportive services, as needed, to help participants participate in their community service assignment and to obtain and retain unsubsidized employment.
- Establish criteria to assess the need for supportive services and to determine when participants will receive supportive services, including after obtaining unsubsidized employment.

Complaint Resolution

- Establish and use written grievance procedures for complaint resolution for applicants, employees and participants.
- Provide applicants, employees and participants with a copy of the grievance policy and procedures.

Maintenance of Files and Privacy Information

- Maintain participant files for three program years after the program year in which the participant received his/her final follow-up activity.
- Ensure that all participant records are securely stored and access is limited to appropriate staff in order to safeguard personal identifying information.
- Ensure that all participant medical records are securely stored separately from all other participant records and access is limited to authorized staff for authorized purposes.
- Establish safeguards to preclude tampering with electronic media, *e.g.*, personal identification numbers (PINs) and SPARQ logins.
- Ensure that the PDA is immediately notified in the event of any potential security breach of personal identifying information, whether electronic files, paper files, or equipment are involved.
- Comply with and ensure that authorized users comply with all SPARQ access and security rules.

Documentation

- Maintain documentation of waivers of physical examinations by participant.
- Maintain documentation of the provision of complaint procedures to participants.
- Maintain documentation of eligibility determinations and recertifications.
- Maintain documentations of terminations and reasons for termination.
- Maintain records of grievances and outcomes.
- Maintain records required for data validation.
- Maintain documentation of monitoring reports for subcontractors and host agencies.

Data Collection and Reporting

- Ensure the collection and reporting of all SCSEP required data according to specified time schedules.
- Ensure the use of the OMB-approved SCSEP data collection forms and the SCSEP Internet data collection and evaluation system, SPARQ.
- Ensure that those capturing and recording data are familiar with the latest instructions for data collection, including USDOL administrative issuances, e.g., TEGs, Data Collection and Data Validation Handbooks, and the Older Worker Community of Practice.
- Ensure data are entered directly into the WDCS/SPARQ.
- Legally obligate subcontractors to turn over complete data files in the specified electronic format, as well as hard copy case files, when the subcontractor ceases to administer SCSEP.
- Legally obligate new subcontractors to enter complete data related to any participants whom they acquire upon becoming subcontractors, including any participants who are still in the follow-up period.

If any box is not checked, you must provide information on a separate attachment indicating what specific steps you are taking to conform to those standard grant requirement(s).

By checking the boxes above, I certify that my organization will comply with each of the listed requirements and will remain in compliance for the program year for which we are submitting this application.

Signature of Authorized Representative

Date