

# SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)

## PROGRAM YEAR (PY) 2015

### TERMS AND CONDITIONS

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# SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP) PROGRAM YEAR (PY) 2015 TERMS AND CONDITIONS

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## 1. Order of Precedence

The terms and conditions of this Notice of Award and other requirements have the following order of precedence if there is any conflict in what they require: (1) Title V of the Older American Act (OAA) Amendments of 2006; (2) 20 CFR Part 641; (3) terms and conditions of award.

## 2. Funding Opportunity Announcement

The Training and Employment Guidance Letter WIOA NO. 25-14 [http://wdr.doleta.gov/directives/attach/TEGL/TEGL\\_25-14\\_Acc.pdf](http://wdr.doleta.gov/directives/attach/TEGL/TEGL_25-14_Acc.pdf) are hereby incorporated into this Grant Agreement. Recipients are bound by the authorizations, restrictions, and requirements contained in the Training and Employment Guidance Letter.

## 3. Approved Statement of Work

The award recipient's project narrative is taken as the Statement of Work. It has been included as Attachment D. If there is any inconsistency between items in this project narrative and any Department of Labor (DOL) regulation, guidance or OMB cost principle, the DOL regulation, guidance or cost principle will prevail.

## 4. Approved Budget

The recipient's budget documents are attached in this Notice of Award Package. The documents are: 1) the SF-424, included at Attachment A; 2) the SF-424 A, included at Attachment B; and 3) the Budget Narrative, included at Attachment C. The recipient must confirm that all costs are allowable before expenditure. Pursuant 2 CFR 2900.1, approval of the budget as awarded does not constitute prior approval of those items specified in the 2 CFR 200 or this grant award as requiring prior approval. The Grant Officer is the only official with the authority to provide such approval.

## 5. Evaluation, Data, and Implementation

The recipient must cooperate with the DOL in the conduct of a third-party evaluation, including providing DOL or its authorized contractor with appropriate data and access to program operating personnel and participants in a timely manner.

## 6. Indirect Costs Rate and Cost Allocation Plan

A. A **current** federally approved Negotiated Indirect Cost Rate Agreement (NICRA) or current federally approved Cost Allocation Plan (CAP) has been provided – copy attached. Regarding only the NICRA:

- (1) Indirect Rate approved: see attached
- (2) Type of Indirect Cost Rate: see attached (i.e. Provisional/Predetermined/Fixed)
- (3) Allocation Base: see attached
- (4) Current period applicable to rate: see attached

Estimated Indirect Costs are shown on the SF-424A budget form. If a new NICRA is issued during the life of the grant, it must be provided to DOL within 30 days of issuance. Funds may be re-budgeted as necessary between direct and indirect costs consistent with institutional requirements and DOL regulations for prior approval, however the total amount of grant award funding will not be increased. Any budget changes impacting the Statement of Work and agreed upon outcomes or deliverables require a request for modification and prior approval from the Grant Officer.

B. (1) \_\_\_\_\_ Latest NICRA or CAP approved by the Federal Cognizant Agency<sup>1</sup> (FCA) is not current, or

(2) \_\_\_\_\_ No NICRA or CAP has ever been approved by an FCA.

**URGENT NOTICE:** Estimated indirect costs have been specified on the SF-424A, Section B, Object Class Category “j”, however only **\$( N/A or 10% of the Personnel line)** will be released to support indirect costs in the absence of a NICRA or CAP approved by the cognizant agency. The remaining funds which have been awarded for Indirect Costs are restricted and may not be used for any purpose until the awardee provides a signed copy of the NICRA or CAP and the restriction is lifted by the Grant Officer. Upon receipt of the NICRA or CAP, ETA will issue a grant modification to the award to remove the restriction on those funds.

The awardee must submit an indirect cost rate proposal or CAP. These documents should be submitted to DOL’s Division of Cost Determination (DCD), or to the awardee’s Federal Cognizant Agency. In addition, the awardee must notify the Federal Project Officer that the documents have been sent. Contact information for the DCD is available at <http://www.dol.gov/oasam/boc/dcd/>. If this proposal is not submitted **within 90 days of the effective date of the award**, no funds will be approved for the reimbursement of indirect costs. Failure to submit an indirect cost proposal by the above date means the grantee will not receive further reimbursement for indirect costs until a signed copy of the federally approved NICRA or CAP is provided and the restriction is lifted by the Grant Officer. All indirect charges must be returned through the Payment Management System and no indirect charges will be reimbursed.

The total amount of DOL’s financial obligation under this grant award **will not be** increased to reimburse the awardee for higher negotiated indirect costs.

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<sup>1</sup> The Federal agency providing the organization the preponderance of direct Federal funds.

- \_\_\_ C. The organization elected to exclude indirect costs from the proposed budget. Please be aware that incurred indirect costs (such as top management salaries, financial oversight, human resources, payroll, personnel, auditing costs, accounting and legal, etc. used for the general oversight and administration of the organization) must not be classified as direct costs; these types of costs are indirect costs. Only direct costs, as defined by the applicable cost principles, will be charged. Audit disallowances may occur if indirect costs are misclassified as direct.
  
- \_\_\_ D. The organization has never received a negotiated indirect cost rate and, pursuant to the exceptions noted at 2 CFR 200.414(f) in the Cost Principles, has elected to charge a de minimis rate of 10% of modified total direct costs (see 2 CFR 200.68 for definition) which may be used indefinitely. This methodology must be used consistently for all Federal awards until such time as you choose to negotiate for an indirect cost rate, which you may apply to do at any time. (See 2 CFR 200.414(f) for more information on use of the de minimis rate.)

If DOL is your FCA, grantees should work with DOL's DCD, which has delegated authority to negotiate and issue a NICRA or CAP on behalf of the Federal Government. More information about DOL's DCD is available at <http://www.dol.gov/oasam/boc/dcd/>. This website has guidelines to develop indirect cost rates, links to the applicable cost principles, and contact information. The DCD also has Frequently Asked Questions providing general information about the indirect cost rate approval process and due dates for provisional and final indirect cost rate proposals at <http://www.dol.gov/oasam/faqs/FAQ-dcd.htm>.

## 7. Federal Project Officer

The DOL/ETA Federal Project Officer (FPO) for this award is:

Name: Gary Lewis  
Telephone: 312-596-5522  
E-mail: lewis.gary@dol.gov

The FPO is not authorized to change any of the terms or conditions of the award or approve prior approval requests. Any changes to the terms or conditions or prior approvals must be approved by the Grant Officer through the use of a formally executed award modification.

## 8. Funding Restrictions

### a. Non-Federal Share (Match or Cost Share)

This award includes match a non-Federal share (match or cost share) of **\$237,223** Per Section 502(c)(1) of the Older Americans Act and 20 CFR 641.809, DOL will pay no more than 90 percent of the total cost of activities carried out under a SCSEP grant. The costs that the recipient incurs in fulfilling its matching or cost-sharing requirement are subject to the same requirements, including the cost principles, that are applicable to the use of Federal funds. Such costs must be reasonable, allocable and allowable to the program. Such costs must be verifiable in the recipient's records, obtain prior approval where required, and adhere to the guidelines

specified in 2 CFR 200.306. The non-Federal share, whether in cash or in-kind, is expected to adhere to the same cost limitations. The recipient cannot claim a cost as both an allowable cost and as a match expenditure. The recipient must meet its cost share commitment over the life of the award. Cost share or match must be reported on the ETA-9130 quarterly financial report under the Recipient Share section.

#### **b. Administrative Costs**

Administrative costs under this grant are not to exceed 13.5% of the grant amount. If necessary, certain exceptions can raise this limit to up to 15% of the grant amount, but necessitate prior approval from the Grant Officer. Administrative costs, as defined in the Older Americans Act 2006 Amendments – Section 502(c)(4), are the costs, both personnel-related and non-personnel-related and both direct and indirect, associated with the following: “(A) The costs of performing general administrative functions and of providing for the coordination of functions, such as the costs of— “(i) accounting, budgeting, and financial and cash management; “(ii) procurement and purchasing; (iii) property management; ‘(iv) personnel management; ‘(v) payroll functions; ‘(vi) coordinating the resolution of findings arising from audits, reviews, investigations, and incident reports; (vii) audits; (viii) general legal services; (ix) developing systems and procedures, including information systems, required for administrative functions; (x) preparing administrative reports; and (xi) other activities necessary for the general administration of government funds and associated programs. ‘(B) The costs of performing oversight and monitoring responsibilities related to administrative functions. (C) The costs of goods and services required for administrative functions of the project involved, including goods and services such as rental or purchase of equipment, utilities, office supplies, postage, and rental and maintenance of office space. (D) The travel costs incurred for official business in carrying out administrative activities or overall management. (E) The costs of information systems related to administrative functions (such as personnel, procurement, purchasing, property management, accounting, and payroll systems), including the purchase, systems development, and operating costs of such systems. (F) The costs of technical assistance, professional organization membership dues, and evaluating results obtained by the project involved against stated objectives.

Administrative costs under this award follow the definition in the Workforce Investment Act at 20 CFR 667.220(b) and (c). In addition, the Office of National Programs (ONP) Bulletin 99-003 (dated December 10, 1999) provides further clarification on ETA’s policy on administrative cost limits for the WIA Section 166 Program (<http://www.doleta.gov/dinap/bulletins/onp9903.cfm>).

#### **c. Consultants**

For the purposes of this award, fees paid to a consultant shall be limited to \$585 per day without additional Grant Officer approval. Regulations regarding the determining of a consultant’s rate of pay are located at 5 CFR 304.104 with the calculation for a maximum amount located at 5 CFR 304.105.

#### **d. Salary and Bonus Limitations**

Under Public Law 113-235, Section 105, none of the funds appropriated under the heading “Employment and Training” shall be used by a recipient or sub-recipient of such funds to pay the

salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. The Executive Level II salary may change yearly and is located on the OPM.gov website (<http://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/2015/executive-senior-level>). The salary and bonus limitation does not apply to contractors providing goods and services as defined in 2 CFR 200.330. Where States are recipients of such funds, States may establish a lower limit for salaries and bonuses of those receiving salaries and bonuses from subrecipients of such funds, taking into account factors including the relative cost-of-living in the State, the compensation levels for comparable State or local government employees, and the size of the organizations that administer Federal programs involved including Employment and Training Administration programs. See Training and Employment Guidance Letter No. 5-06 for further clarification, available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262)

**e. Budget Flexibility**

As directed in 2 CFR 200.308(e), the transfer of funds among direct cost categories or programs, functions and activities is restricted such that if the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget as last approved by the Federal awarding agency, the recipient must receive prior approval from the Grant Officer.

Any changes to personnel costs within the personnel line item do not require a grant modification unless the changes result in a change to the amount listed on the SF 424a Personnel line. It is recommended that your assigned Department of Labor (DOL) Federal Project Officer (FPO) review within-line changes prior to implementation to ensure they do not require a modification.

**f. Mileage Reimbursement Rates**

Pursuant to 2 CFR 200.474(a), recipients must have policies and procedures in place related to travel costs; however, for reimbursement on a mileage basis, this federal award cannot be charged more than the maximum allowable Mileage Reimbursement Rates for Federal employees. The 2015 Mileage Reimbursement Rates are:

Modes of Transportation	Effective/Applicability Date	Rate per mile
Privately owned automobile	January 1, 2015	\$0.575
Privately owned motorcycle	January 1, 2015	\$0.545

Mileage rates must be checked annually at [www.gsa.gov/mileage](http://www.gsa.gov/mileage) to ensure compliance.

**g. Restriction on Health Benefits Coverage**

The recipient must ensure that the use of these funds for health benefits coverage complies with 506 and 507 of Division G of Public Law 113-235, the Consolidated and Further Continuing Appropriations Act, 2015.

Q: Federal law prohibits the use of federal funds to pay for an abortion or for “health benefits coverage” that includes the coverage of abortion, except in limited circumstances. Is a State grantee prohibited from offering a health benefit that covers abortions?

A: While States are prohibited from using federal funds for such purpose, a State may use State funds (other than the State’s contribution of Medicaid matching funds) or other non-federal funds to contract separately with a managed care provider to provide abortion coverage. State grantees that wish to provide abortion coverage must determine how best to ensure compliance with federal law so that federal funds are not used for the cost of abortion coverage.

## 9. Administrative Requirements

### a. System for Award Management and Universal Identifier Requirements

#### 1. Requirement for System of Award Management

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

#### 2. Requirement for unique entity identifier

If you are authorized to make subawards under this award, you:

- i. Must notify potential subrecipients that no entity (see definition in paragraph [3] of this award term) may receive a subaward from you unless the entity has provided its unique entity identifier to you.
- ii. May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

#### 3. Definitions

For purposes of this award term:

- i. *System of Award Management (SAM)* means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <http://www.sam.gov>).
- ii. *Unique entity identifier* means the identifier required for SAM registration to uniquely identify business entities.
- iii. *Entity*, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
  - a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and

e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

iv. *Subaward*:

a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.330).

c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

v. *Subrecipient* means an entity that:

a. Receives a subaward from you under this award; and

b. Is accountable to you for the use of the Federal funds provided by the subaward.

## b. Federal Funding Accountability and Transparency Act

### 1. Reporting of first-tier subawards.

i. *Applicability*. Unless you are exempt as provided in paragraph [4.] of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph [5.] of this award term).

ii. *Where and when to report*.

a. You must report each obligating action described in paragraph [1.i.] of this award term to <http://www.fsrs.gov>.

b. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

iii. *What to report*. You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.

### 2. Reporting Total Compensation of Recipient Executives.

i. *Applicability and what to report*. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

a. the total Federal funding authorized to date under this award is \$25,000 or more;

b. in the preceding fiscal year, you received—

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

- c. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
- ii. *Where and when to report.* You must report executive total compensation described in paragraph [2.i.] of this award term:
  - a. As part of your registration profile at <http://www.sam.gov>.
  - b. By the end of the month following the month in which this award is made, and annually thereafter.

### **3. Reporting of Total Compensation of Subrecipient Executives.**

- i. *Applicability and what to report.* Unless you are exempt as provided in paragraph [4.] of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—
  - a. in the subrecipient's preceding fiscal year, the subrecipient received—
    - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
    - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
  - b. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
- ii. *Where and when to report.* You must report subrecipient executive total compensation described in paragraph [3.i] of this award term:
  - a. To the recipient.
  - b. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

### **4. Exemptions**

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- i. Subawards, and

- ii. The total compensation of the five most highly compensated executives of any subrecipient.

## 5. Definitions.

For purposes of this award term:

- i. *Entity* means all of the following, as defined in 2 CFR part 25:
  - a. A Governmental organization, which is a State, local government, or Indian tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization;
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- ii. *Executive* means officers, managing partners, or any other employees in management positions.
- iii. *Subaward*:
  - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see [2 CFR 200.330]).
  - c. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
- iv. *Subrecipient* means an entity that:
  - a. Receives a subaward from you (the recipient) under this award; and
  - b. Is accountable to you for the use of the Federal funds provided by the subaward.
- v. *Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
  - a. *Salary and bonus.*
  - b. *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - c. *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - d. *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.
  - e. *Above-market earnings on deferred compensation which is not tax-qualified.*
  - f. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

### c. Personally Identifiable Information

Recipients must recognize and safeguard personally identifiable information (PII) except where disclosure is allowed by prior written approval of the Grant Officer or by court order. Recipients must meet the requirements in Training and Employment Guidance letter (TEGL 39-11, Guidance on the Handling and Protection of Personally Identifiable Information (PII)), (located at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7872](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7872) )

### d. Audits

Organization-wide or program-specific audits shall be performed in accordance with the Single Audit Act Amendments of 1996. Recipients that expend \$750,000 or more in a year in Federal awards shall have an audit conducted for that year in accordance with the requirements contained in 2 CFR 200.501. The provisions of 2 CFR Subpart F, Audit Requirements, will apply to audits of non-Federal entity fiscal years beginning on or after December 26, 2014. The revised audit requirements are not applicable to fiscal years beginning prior to that date.

### e. Equipment

Recipients must receive **prior approval** from the DOL/ETA Grant Officer for the purchase of any equipment with a per unit acquisition cost of \$5,000 or more, and a useful life of more than one year. This includes the purchases of Automated Data Processing (ADP) equipment. Equipment purchases must be made in accordance with 2 CFR 200.313 or 2 CFR 200.439.

This grant award **does not** give approval for equipment specified in a recipient's budget or statement of work unless specifically approved above. If not specified above, the recipient must submit a detailed description list to the FPO for review within 90 days of the Notice of Award date. Failure to do so within 90 days may impact the approval of equipment.

Recipients may not purchase equipment in the last year of performance. If any approved acquisition has not occurred prior to the last year of performance, approval for that item(s) is rescinded.

### f. Program Income

The recipient is required to utilize the addition method if any Program Income is generated throughout the duration of this award. The recipient is allowed to deduct costs incidental to generating Program Income to arrive at a Program Income. Additional information about program income is located in 2 CFR 200.307(b).

### g. Pre-Award

All costs incurred by the recipient prior to the start date specified in the award issued by the Department are **incurred at the recipient's own expense**.

### h. Reports (general)

All ETA recipients are required to submit quarterly financial and narrative progress reports for each grant award.

- A. Quarterly Financial Reports. All ETA recipients are required to report quarterly financial data on the ETA 9130. ETA 9130 reports are due no later than 45 calendar days after the end of each specified reporting quarter. Reporting quarter end dates are June 30,

September 30, December 31, and March 31. A final financial closeout report is required to be submitted no later than 90 calendar days after the grant period of performance ends. For guidance on ETA's financial reporting, reference Training and Employment Guidance Letter (TEGL) 13-12.

ETA requires all grant recipients to submit the 9130 form electronically through an on-line reporting system. Expenditures are required to be reported on an accrual basis, cumulative from the beginning of the life of a grant, through the end of each reporting period.

The instructions for accessing both the on-line financial reporting system and the HHS Payment Management System can be found in the transmittal memo accompanying this Notice of Award. To gain access to the online financial reporting system, a request for a password and pin must be submitted via e-mail to [ETApasword.pin@dol.gov](mailto:ETApasword.pin@dol.gov). The Financial Report Access Document, copies of the ETA 9130, and detailed reporting instructions are available at [www.doleta.gov/grants/financial\\_reporting.cfm](http://www.doleta.gov/grants/financial_reporting.cfm).

- B. Quarterly Narrative Progress Reports. Recipients are required to submit a narrative quarterly and final report to the designated Federal Project Officer (FPO) on grant activities funded under this award. All reports are due no later than 45 calendar days after the end of each specified reporting quarter. Reporting quarter end dates are June 30, September 30, December 31, and March 31.
1. The last quarterly progress report that recipients submit will serve as the grant's Final Performance Report. This report should provide both **quarterly and cumulative** information on the grant's activities. It must summarize project activities, employment outcomes and other deliverables, and related results of the project.
  2. The recipient shall use any standard forms and instructions to report on training and employment outcomes and other data relating to the progress reports as provided by ETA.
  3. The recipient shall utilize standard reporting processes and electronic reporting systems to submit their quarterly progress reports as provided by ETA.

#### i. Managing Subawards

*Subaward* means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

The provisions of the Terms and Conditions of this award will be applied to any subrecipient under this award. The recipient is responsible for the monitoring of the subrecipient, ensuring that the Terms and Conditions are in all subaward packages and that the subrecipient is in

compliance with all applicable regulations and the terms and conditions of this award (2 CFR 200.101(b)(1)).

**j. Final Year/Closeout Requirements**

At the end of the grant period, the recipient will be required to close the grant with ETA. The recipient will be notified approximately 15 days prior to the end of the period of performance that the initiation of closeout will begin at the end of the grant. Information concerning the recipient's responsibilities at closeout may be found in 2 CFR 200.343.

**k. Publicity**

No funds provided under this grant shall be used for publicity or propaganda purposes, for the preparation, distribution or use of any kit, pamphlet, booklet, publication, radio, television or film presentation designed to support or defeat legislation pending before the Congress or any state or local legislature or legislative body, except in presentation to the Congress or any state or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any state or local government, except in presentation to the executive branch of any state or local government itself. Nor shall grant funds be used to pay the salary or expenses of any recipient or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive Order proposed or pending before the Congress, or any state government, state legislature, or local legislature body other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a state, local, or tribal government in policymaking and administrative processes within the executive branch of that government.

**l. Public Announcements**

When issuing statements, press releases, requests for proposals, bid solicitation, and other documents describing project or programs funded in whole or in part with Federal money, all recipients receiving Federal funds, shall clearly state (1) the percentage of the total cost of the program or project which will be financed with Federal money, (2) the dollar amount of Federal funds for the project or program, and (3) the percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

**m. Procurement**

The Uniform Administrative Requirements (2 CFR 200.317-36) require all recipient procurement transactions to be conducted in a manner to provide, to the maximum extent practical, open and free competition. If the statement of work identifies a specific entity to provide goods or services, the DOL ETA's award does not provide the justification or basis to sole-source the procurement, i.e., avoid competition.

#### **n. Vendor/Contractor**

The term “contractor”, sometimes referred to as a vendor, is a dealer, distributor, merchant or other seller providing goods or services that are required for the conduct of a Federal program. (2 CFR 200.23) These goods or services may be for an organization's own use or for the use of beneficiaries of the Federal program. Additional guidance on distinguishing between a subrecipient and a contractor (vendor) is provided in 2 CFR 200.330. When procuring contractor provided goods and services, DOL ETA recipients and subrecipients must follow the procurement requirements 2 CFR 200.319, which call for free and open competition.

#### **o. Intellectual Property Rights**

The Federal Government reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use for federal purposes: i) the copyright in all products developed under the grant, including a subgrant or contract under the grant or subgrant; and ii) any rights of copyright to which the recipient, subrecipient or a contractor purchases ownership under an award (including but not limited to curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. Federal funds may not be used to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work, although they may be used to pay costs for obtaining a copy which is limited to the developer/seller costs of copying and shipping. If revenues are generated through selling products developed with grant funds, including intellectual property, these revenues are program income. Program income must be used in accordance with the provisions of this grant award and 2 CFR 200.307.

If applicable, the following needs to be on all products developed in whole or in part with grant funds:

This workforce product was funded by a grant awarded by the U.S. Department of Labor’s Employment and Training Administration. The product was created by the recipient and does not necessarily reflect the official position of the U.S. Department of Labor. The Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it. Internal use by an organization and/or personal use by an individual for non-commercial purposes is permissible. All other uses require the prior authorization of the copyright owner.”

#### **p. Creative Commons License Requirement**

Pursuant to 2 CFR 2900.13, to ensure that the Federal investment of DOL funds has as broad an impact as possible and to encourage innovation in the development of new learning materials the recipient will be required to license to the public all work created with the support of this grant under a Creative Commons Attribution 4.0 (CC BY) license. Work that must be licensed under the CC BY includes both new content created with the grant funds and modifications made to pre-existing, recipient-owned content using grant funds.

This license allows subsequent users to copy, distribute, transmit, and adapt the copyrighted Work and requires such users to attribute the Work in the manner specified by the recipient. Notice of the license shall be affixed to the Work. For general information on CC BY, please visit <http://creativecommons.org/licenses/by/4.0>.

Instructions for marking your work with CC BY can be found at [http://wiki.creativecommons.org/Marking\\_your\\_work\\_with\\_a\\_CC\\_license](http://wiki.creativecommons.org/Marking_your_work_with_a_CC_license).

Only work that is developed by the recipient in whole or in part with grant funds is required to be licensed under the CC BY license. Pre-existing copyrighted materials licensed to, or purchased by the recipient from third parties, including modifications of such materials, remains subject to the intellectual property rights the recipient receives under the terms of that particular license or purchase. In addition, works created by the recipient without grant funds do not fall under the CC BY license requirement.

The purpose of the CC BY licensing requirement is to ensure that materials developed with funds provided by this award result in work that can be freely reused and improved by others. When purchasing or licensing consumable or reusable materials, the recipient is required to respect all applicable Federal laws and regulations, including those pertaining to the copyright and accessibility provisions of the Federal Rehabilitation Act.

**q. Requirements for Conference and Conference Space**

Conferences sponsored in whole or in part by the recipient of Federal awards are allowable if the conference is necessary and reasonable for the successful performance of the Federal Award. Recipients are urged to use discretion and judgment to ensure that all conference costs charged to the grant are appropriate and allowable. For more information on the requirements and allowability of costs associated with conferences, refer to 2 CFR 200.432. Recipients will be held to the requirements in 2 CFR 200.432. Costs that do not comply with 2 CFR 200.432 will be questioned and may be disallowed.

**r. Funding for Travel to and from Meetings with an Executive Branch Agency**

Grant funds may not be used for the purposes of defraying the costs of a conference held by any Executive branch department, agency, board, commission, or office unless it is directly and programmatically related to the purpose for which the grant or contract was awarded.

No funds made available through DOL appropriations may be used for travel and conference activities that are not in compliance with Office of Management and Budget Memorandum M-12-12 dated May 11, 2012. (P.L. 113-6, 3003 (c)(d)(e)).

## **10. Program Requirements**

The Training and Employment Guidance Letter No. 25-14 contains the program requirements for this award.

## 11. Public Policy

### a. Executive Orders

**12928:** Pursuant to Executive Order 12928, the recipient is strongly encouraged to provide subcontracting/subgranting opportunities to Historically Black Colleges and Universities and other Minority Institutions such as Hispanic-Serving Institutions and Tribal Colleges and Universities; and to Small Businesses Owned and Controlled by Socially and Economically Disadvantaged Individuals.

**13043:** Pursuant to Executive Order 13043, Increasing Seat Belt Use in the United States, dated April 16, 1997, recipients are encouraged to adopt and enforce on-the-job seat belt policies and programs for their employees when operating company-owned, rented, or personally owned vehicles.

**13513:** Pursuant to Executive Order 13513, Federal Leadership On Reducing Text Messaging While Driving, dated October 1, 2009, recipients and subrecipients are encouraged to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or GOV, or while driving POV when on official Government business or when performing any work for or on behalf of the Government. Recipients and subrecipients are also encouraged to conduct initiatives of the type described in section 3(a) of this order.

**13166:** As clarified by Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, dated August 11, 2000, and resulting agency guidance, national origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI, recipients must take reasonable steps to ensure that LEP persons have meaningful access to programs in accordance with DOL's Policy Guidance on the Prohibition of National Origin Discrimination as it Affects Persons with Limited English Proficiency [05/29/2003] Volume 68, Number 103, Page 32289-32305. Meaningful access may entail providing language assistance services, including oral and written translation, where necessary. Recipients are encouraged to consider the need for language services for LEP persons served or encountered both in developing budgets and in conducting programs and activities. For assistance and information regarding your LEP obligations, go to <http://www.lep.gov>.

### b. Veteran's Priority Provisions

The Jobs for Veterans Act (Public Law 107-288) requires recipients to provide priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service can be found at 20 CFR part 1010. In circumstances where a grant recipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans priority of service provisions require that the grant recipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet

the program's eligibility requirements. Recipients must comply with DOL guidance on veterans' priority. ETA's Training and Employment Guidance Letter (TEGL) No. 10-09 (issued November 10, 2009) provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL. TEGL No. 10-09 is available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816).

**c. Flood Insurance**

The Flood Disaster Protection Act of 1973, as amended, 42 U.S.C. 4001 *et seq.*, provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within 1 year of the identification. The flood insurance purchase requirement applies to both public and private applicants for DOL support. Lists of flood-prone areas that are eligible for flood insurance are published in the Federal Register by FEMA.

**d. Architectural Barriers**

The Architectural Barriers Act of 1968, 42 U.S.C. 4151 *et seq.*, as amended, the Federal Property Management Regulations (see 41 CFR 102-76), and the Uniform Federal Accessibility Standards issued by GSA (see 36 CFR 1191, Appendixes C and D) set forth requirements to make facilities accessible to, and usable by, the physically handicapped and include minimum design standards. All new facilities designed or constructed with grant support must comply with these requirements.

**e. Drug-Free Workplace**

The Drug-Free Workplace Act of 1988, 41 U.S.C. 702 *et seq.*, and 2 CFR 182 require that all organizations receiving grants from any Federal agency maintain a drug-free workplace. The recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for suspension or debarment.

**f. Hotel-Motel Fire Safety**

Pursuant to 15 U.S.C. 2225a, the recipient must ensure that all space for conferences, meetings, conventions or training seminars funded in whole or in part with federal funds complies with the protection and control guidelines of the Hotel and Motel Fire Safety Act (P.L. 101-391, as amended). Recipients may search the Hotel Motel National Master List at <http://www.usfa.dhs.gov/applications/hotel/> to see if a property is in compliance, or to find other information about the Act.

**g. Buy American Notice Requirement**

Pursuant to 15 U.S.C. 2225a, the recipient must ensure that all space for conferences, meetings, conventions or training seminars funded in whole or in part with federal funds complies with the

protection and control guidelines of the Hotel and Motel Fire Safety Act (P.L. 101-391, as amended). Recipients may search the Hotel Motel National Master List at <http://www.usfa.dhs.gov/applications/hotel/> to see if a property is in compliance, or to find other information about the Act.

## **h. Prohibition on Trafficking in Persons**

### **a. Provisions applicable to a recipient that is a private entity.**

1. You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—
  - i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
  - ii. Procure a commercial sex act during the period of time that the award is in effect; or
  - iii. Use forced labor in the performance of the award or subawards under the award.
2. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —
  - i. Is determined to have violated a prohibition in paragraph a.1 of this award term; or
  - ii. Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either—
    - A. Associated with performance under this award; or
    - B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 29 CFR Part 98.

### **b. Provision applicable to a recipient other than a private entity.**

- We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—
1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or
  2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either—
    - i. Associated with performance under this award; or
    - ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 29 CFR Part 98.

**c. Provisions applicable to any recipient.**

1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.
2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:
  - i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
  - ii. Is in addition to all other remedies for noncompliance that are available to us under this award.
3. You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.

**d. Definitions.**

For purposes of this award term:

1. *“Employee”* means either:
  - i. An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
  - ii. Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
  
2. *“Forced labor”* means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
  
3. *“Private entity”*:
  - i. Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.
  - ii. Includes:
    - A. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
    - B. A for-profit organization.
  
4. *“Severe forms of trafficking in persons,” “commercial sex act,”* and *“coercion”* have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102)

**i. Buy American Notice Requirement**

None of the funds made available under Titles I or II of the Workforce Innovation and Opportunity Act (Public Law 113-128) or under the Wagner-Peyser Act (29 U.S.C. 49 et seq.) may be expended by an entity unless the entity agrees that in expending the funds it will comply with sections 8301 through 8303 of title 41, United States Code (commonly known as the “Buy American Act”).

**j. Prohibition on Providing Federal Funds to ACORN**

These funds may not be provided to the Association of Community Organizations for Reform now (ACORN), or any of its affiliates, subsidiaries, allied organizations or successors.

**k. Prohibition on Contracting with Corporations with Felony Criminal Convictions**

The recipient may not knowingly enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that was convicted of a felony criminal violation under any Federal law within the preceding 24 months.

**l. Prohibition on Contracting with Corporations with Unpaid Tax Liabilities**

The recipient may not knowingly enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

**m. Prohibition on Contracting with Inverted Domestic Corporations**

No funds made available under a Federal Act may be used for any contract with any foreign incorporated entity which is treated as an inverted domestic corporation under section 835(b) of the Homeland Security Act of 2002 (6 U.S.C. 395(b)) or any subsidiary of such an entity. Waivers to this regulation may be granted by the Secretary of Labor if the Secretary determines that the waiver is required in the interest of national security.

**n. Violation of the Privacy Act**

These funds cannot be used in contravention of the 5 USC 552a or regulations implementing that section.

## **12. Attachments**

**Attachment A: SF-424**

**Attachment B: SF-424A**

**Attachment C: Budget Narrative**

**Attachment D: Statement of Work**

**Attachment E: Indirect Cost Rate Agreement, if applicable**

**Application for Federal Assistance SF-424**

\* 1. Type of Submission:

- Preapplication  
 Application  
 Changed/Corrected Application

\* 2. Type of Application:

- New  
 Continuation  
 Revision

\* If Revision, select appropriate letter(s):

[Redacted]

\* Other (Specify):

[Redacted]

\* 3. Date Received:

[Redacted]

4. Applicant Identifier:

[Redacted]

5a. Federal Entity Identifier:

[Redacted]

5b. Federal Award Identifier:

[Redacted]

State Use Only:

6. Date Received by State:

[Redacted]

7. State Application Identifier:

[Redacted]

**8. APPLICANT INFORMATION:**

\* a. Legal Name:

State of Missouri

\* b. Employer/Taxpayer Identification Number (EIN/TIN):

[Redacted]

\* c. Organizational DUNS:

8780926000000

d. Address:

\* Street1:

920 Wildwood Drive

Street2:

[Redacted]

\* City:

Jefferson City

County/Parish:

Cole

\* State:

MO: Missouri

Province:

[Redacted]

\* Country:

USA: UNITED STATES

\* Zip / Postal Code:

65109-5796

e. Organizational Unit:

Department Name:

Health and Senior Services

Division Name:

Senior and Disability Services

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

Mr.

\* First Name:

Michael

Middle Name:

[Redacted]

\* Last Name:

Brewer

Suffix:

[Redacted]

Title: Bureau Chief and Title V State Coordinator

Organizational Affiliation:

[Redacted]

\* Telephone Number:

573-526-8601

Fax Number:

573-522-3024

\* Email:

michael.brewer@health.mo.gov

Application for Federal Assistance SF-424

\* 9. Type of Applicant 1: Select Applicant Type:

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

\* 10. Name of Federal Agency:

Department of Labor, Employment and Training Administration

11. Catalog of Federal Domestic Assistance Number:

17.235

CFDA Title:

Senior Community Service Employment Program

\* 12. Funding Opportunity Number:

\* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Attachment B - Areas Served.docx

Add Attachment

Delete Attachment

View Attachment

\* 15. Descriptive Title of Applicant's Project:

Senior Community Services Employment Program

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

\* a. Start Date:

\* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="2,135,004.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text" value="7,463.00"/>
* d. Local	<input type="text" value="229,764.00"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text" value="2,372,231.00"/>

\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment)

- Yes
- No

If "Yes", provide explanation and attach

21. "By signing this application, I certify (1) to the statements contained in the list of certifications" and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances" and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

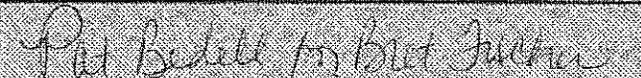
Authorized Representative:

Prefix:  \* First Name:   
 Middle Name:   
 \* Last Name:   
 Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative: 

\* Date Signed:

**BUDGET INFORMATION - Non-Construction Programs**

OMB Number: 4040-0006  
Expiration Date: 06/30/2014

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. SCSEP	17.235	\$ 2,135,004.00	\$	\$ 2,135,004.00	\$ 237,227.00	\$ 2,372,231.00
2.						
3.						
4.						
<b>5. Totals</b>		\$ 2,135,004.00	\$	\$ 2,135,004.00	\$ 237,227.00	\$ 2,372,231.00

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	SCSEP				
a. Personnel	\$ 28,843.00	\$	\$	\$	\$ 28,843.00
b. Fringe Benefits	14,435.00				14,435.00
c. Travel	5,805.00				5,805.00
d. Equipment	0.00				
e. Supplies	630.00				630.00
f. Contractual	2,067,868.00				2,067,868.00
g. Construction					
h. Other	8,378.00				8,378.00
i. Total Direct Charges (sum of 6a-6h)	2,125,959.00				\$ 2,125,959.00
j. Indirect Charges	9,045.00				\$ 9,045.00
k. TOTALS (sum of 6i and 6j)	\$ 2,135,004.00	\$	\$	\$	\$ 2,135,004.00
7. Program Income	\$	\$	\$	\$	\$

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SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS	
8. SCSEP	\$	\$	\$ 237,227.00	\$ 237,227.00	
9.					
10.					
11.					
12. TOTAL (sum of lines 8-11)	\$	\$	\$ 237,227.00	\$ 237,227.00	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal	\$				
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)				
	(b)First	(c) Second	(d) Third	(e) Fourth	
16. SCSEP	\$	\$	\$	\$	
17. Grant Funds Remaining after first year estimates are entered: \$2,372,231.00					
18. Grant Funds Remaining after future funding periods are estimated: \$2,372,231.00					
19.					
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges: See Budget Narrative	22. Indirect Charges: See Budget Narrative				
23. Remarks: See Budget Narrative					

	Amount	Calculated Level	Budgeted Level	Budget in Compliance ?
Federal Grant Award	2,135,004	2,135,004	2,135,004	Yes
Maximum Total Administration	13.50%	288,225	273,955	Yes
Minimum Participant Wages & Fringe	75.00%	1,601,253	1,601,253	Yes
Maximum Contractor Administration	10.00%	206,783	206,783	Yes
Minimum Non-Federal Match	10.00%	237,223	237,227	Yes

**MISSOURI**  
**SCSEP Budget Narrative**  
 FY 2015 - State Fiscal Year 2016

Section B 6. Total    Federal    State GR    In-Kind

**a. Personnel: (Rate x %)** **32,049    28,843    3,206    0**

	Salary Rate			FTE	Total				
	Monthly	Months	Annual						
Title V State Coordinator - Brewer	5,350	12	64,200	0.30	19,260	19,260	17,334	1,926	0
APSII - Ulstad	3,495	12	41,940	0.20	8,388	8,388	7,549	839	0
AOSA - Rowland	2,378	12	28,536	0.03	856	856	770	86	0
APSII - Barton	3,692	12	44,304	0.03	1,329	1,329	1,196	133	0
Fiscal & Admin Mgr B1- Dixon	4,617	12	55,404	0.04	2,216	2,216	1,994	222	0
				0.60	32,049				

**b. Fringe Benefits (Fringe Rate x Personnel Cost)** **16,040    14,435    1,605    0**

	Salary	Fringe %	Total					
Title V State Coordinator - Brewer	19,260	50.050%	9,640	9,640	8,676	964		0
APSII - Ulstad	8,388	50.050%	4,198	4,198	3,778	420		0
AOSA - Rowland	856	50.050%	428	428	385	43		0
APSII - Barton	1,329	50.050%	665	665	598	67		0
Fiscal & Admin Mgr B1- Dixon	2,216	50.050%	1,109	1,109	998	111		0

7.65% Social Security & Medicare, 16.97% Moser (retirement), 4.95% LID, 20.53 % Medical Ins (employee), 3.97 % Medical Ins (Retiree), 435 % Life Ins

**c. Travel:** **6,450    5,805    645    0**

Trips	Total Miles	Rate &			Total
		Rate & Mileage	Rate & Meal Costs	Lodging Costs	
		\$ 0.37	\$ 40.00	\$ 99.00	
Monitoring Subrecipients	3 500	185	120	297	602
Data Validation	3 500	185	120	297	602
Technical Assistance	1 210	78	40	99	217
	1,210	448	280	693	1,421

Older Worker Event mileage:  
 (Participants and employers often travel together.) 1,465

Rate	Avg. Miles	Persons
0.37	110	36

Older Worker Event lodging 2,664

Rate	Persons
\$ 74	36

Older Worker event local transport 900

**d. Equipment:** **0    0    0    0**

**e. Supplies:** **700    630    70    0**

Office supplies, meeting supplies, Older Worker event supplies \$ 700

**SCSEP Budget Narrative  
PY 2015 - State Fiscal Year 2016**

				Total	Federal	State GR	In-Kind
<b>f. Contractual:</b>				<b>2,297,592</b>	<b>2,067,832</b>	<b>0</b>	<b>229,760</b>
		Federal	In-kind	Total			
Administration (Federal Contractual x 10%)		206,783		206,783			
PWFB (Statewide Federal Grant x 75%)		1,601,253		1,601,253			
Other Participant Costs (recruitment, orientation, supportive services, background)		259,796	229,760	489,556			
		<u>2,067,832</u>	<u>229,760</u>	<u>2,297,592</u>			
<b>h. Other:</b>				<b>9,349</b>	<b>8,414</b>	<b>935</b>	<b>0</b>
	Rate Per FTE	FTE					
Network charges	\$ 1,976	0.60	\$ 1,186				
Membership NASUAD			\$ 3,183				
Meals for Older Worker Event (\$83 per person x 60 persons)			\$ 4,980				
<b>i. Total Direct Charges</b>				<b>2,362,180</b>	<b>2,125,959</b>	<b>6,461</b>	<b>229,760</b>
	Rate	Personnel / Fringe	Total				
<b>j. Indirect Charges</b>	20.90%	48,089	\$ 10,051	<b>10,051</b>	<b>9,045</b>	<b>1,006</b>	<b>0</b>
<b>k. Total</b>				<b>2,372,231</b>	<b>2,135,004</b>	<b>7,467</b>	<b>229,760</b>



DEPARTMENT OF HEALTH & HUMAN SERVICES

Program Support Center  
Financial Management Portfolio  
Cost Allocation Services

January 08, 2015

Ms. Pat Bedell  
Deputy Director of Division of Administration  
Missouri Department of Health & Senior Services  
P. O. Box 570  
Jefferson City MO, 65102-0570

1301 Young Street, Room 732  
Dallas, TX 75202  
PHONE: (214) 767-3261  
FAX: (214) 767-3264  
EMAIL: CAS-Dallas@psc.hhs.gov

Dear Ms. Bedell:

A copy of an indirect cost Rate Agreement is being faxed to you for signature. This agreement reflects an understanding reached between your organization and a member of my staff concerning the rate(s) that may be used to support your claim for indirect costs on grants and contracts with the Federal Government.

Please have the agreement signed by an authorized representative of your organization and fax it to me, retaining a copy for your files. Our fax number is (214) 767-3264. We will reproduce and distribute the Agreement to the appropriate awarding organizations of the Federal Government for their use.

The fixed rate for the fiscal year ending June 30, 2015 is based on actual costs for the fiscal year ended June 30, 2013. They include over-recovery amount of \$2,629,851. The fixed rate for fiscal year June 30, 2013 is considered final.

The fixed rate for the fiscal year ending June 30, 2016 is based on actual costs for the fiscal year ended June 30, 2014. They include over recovery amount of \$666,611. The fixed rate for fiscal year June 30, 2014 is considered final.

An indirect cost proposal, together with supporting information, is required each year to substantiate claims made for indirect costs under grants and contracts awarded by the Federal Government. Thus, your next indirect cost plan based on actual costs for the fiscal year ending June 30, 2015 are due in our office on December 31, 2015.

Thank you for your cooperation. If you have any questions, please call Wanda Rayfield at (214) 767-5249.

Sincerely,  
  
Arif Karim  
Director  
Cost Allocation Services

Enclosures

ACCEPTANCE

Name  
Deputy Director of Administration  
Title  
1/28/15  
Date

STATE AND LOCAL GOVERNMENTS RATE AGREEMENT

EIN: [REDACTED]  
ORGANIZATION:  
Missouri Department of Health & Senior  
Services  
P.O. Box 570  
Jefferson, MO 65102-0570

DATE: 01/08/2015  
FILING REF.: The preceding  
agreement was dated  
01/23/2014

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

SECTION I: INDIRECT COST RATES

RATE TYPES: FIXED FINAL PROV. (PROVISIONAL) PRED. (PREDETERMINED)

EFFECTIVE PERIOD

TYPE	FROM	TO	RATE(%) LOCATION	APPLICABLE TO
FIXED	07/01/2014	06/30/2015	19.20 On Site	All Programs
FIXED	07/01/2015	06/30/2016	20.90 On Site	All Programs
PROV.	07/01/2016	06/30/2018	20.90 On Site	All Programs

\*BASE

Direct salaries and wages including all fringe benefits.

ORGANIZATION: Missouri Department of Health & Senior Services

AGREEMENT DATE: 1/8/2015

SECTION II: SPECIAL REMARKS

TREATMENT OF FRINGE BENEFITS:

The fringe benefits are specifically identified to each employee and are charged individually as direct costs. The directly claimed fringe benefits are listed below.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

Fringe Benefits

FICA

Retirement

Disability Insurance

Life Insurance

Health Insurance

Worker's Compensation

Unemployment Insurance

Your next indirect cost rate proposal based on actual costs for the fiscal year ending 06/30/2015 is due in our office by 12/31/2015.

Equipment means article of nonexpendable, tangible personal property having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit.

ORGANIZATION: Missouri Department of Health & Senior Services

AGREEMENT DATE: 1/8/2015

SECTION III: GENERAL

A. LIMITATIONS:

The rates in this Agreement are subject to any statutory or administrative limitations and apply to a given grant, contract or other agreement only to the extent that funds are available. Acceptance of the rates is subject to the following conditions: (1) Only costs incurred by the organization were included in its indirect cost pool as finally accepted; such costs are legal obligations of the organization and are allocable under the governing cost principles; (2) The same costs that have been treated as indirect costs are not claimed as direct costs; (3) Similar types of costs have been accepted consistently throughout the period; and (4) The information provided by the organization which was used to establish the rates is not later found to be materially incomplete or inaccurate by the Federal Government. In such situation the rate(s) would be subject to renegotiation at the discretion of the Federal Government.

B. ACCOUNTING CHANGES:

This Agreement is based on the accounting system purported by the organization to be in effect during the agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency, such changes include, but are not limited to, changes in the charging of a particular type of cost from indirect to direct. Failure to obtain approval may result in cost disallowances.

C. FIXED RATES:

If a fixed rate is in this Agreement, it is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined, an adjustment will be made to a rate of a future year(s) to compensate for the difference between the costs used to establish the fixed rate and actual costs.

D. USE BY OTHER FEDERAL AGENCIES:

The rates in this Agreement were approved in accordance with the authority in Office of Management and Budget Circular A-87, and should be applied to grants, contracts and other agreements covered by this circular, subject to any limitations in A above. The organization may provide copies of the Agreement to other Federal agencies to give them early notification of the Agreement.

E. OTHER:

If any Federal contract, grant or other agreement is reimbursing indirect costs by a means other than the approved rate(s) in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the approved rate(s) to the appropriate base to identify the proper amount of indirect costs allocable to these programs.

BY THE INSTITUTION:

Missouri Department of Health & Senior Services

(INSTITUTION)

(SIGNATURE)

(NAME)

(TITLE)

(DATE)

ON BEHALF OF THE FEDERAL GOVERNMENT:

DEPARTMENT OF HEALTH AND HUMAN SERVICES

(AGENCY)

(SIGNATURE)

Aziz Karim

(NAME)

Director, Cost Allocation Services

(TITLE)

1/8/2015

(DATE) 7077

HHS REPRESENTATIVE:

Wanda Rayfield

Telephone:

(214) 767-3261

**Senior Community Services Employment Program**  
**Program Year 2015 Narrative**

**Service Delivery and Training Strategies**

There have been no substantive changes to service delivery and training strategies since the Modified State Plan was approved on March 27, 2015.

**Service to Minorities (Older Americans Act, Title V, Section 515)**

The Missouri Senior Community Services Employment Program (SCSEP) program has increased the overall enrollment and outcomes for minorities from PY 2013 to PY 2014. In particular, the percentages for minority participation for 2014 have improved for Black, Asian, and Hispanic participants. For participation by American Indian or Alaskan Native enrollees, the percentage decreased slightly from PY 2013 to PY 2014, but the overall percentage is still higher than the census percentage for this category. The other participant category, Native Hawaiian or Pacific Islander, did not change from PY 2013 to PY 2014, but the census percentage for this category is less than 1-percent.

The number of persons who identify as being from ethnic minority groups is tracked through the SCSEP Participant/Host Agency (PHA) database and is accessible through the Quarterly Progress Report, which is used to ensure minority participants are equitably served and placed. The strategies described in the PY 2014 grant have resulted in an increase in the number of minority participants being served.

The Missouri SCSEP contractors continue to engage in outreach to potential participants in historically underserved minority communities.

Each sub-grantee is skilled in outreach and recruitment efforts. They will continue to engage in outreach to potential minority participants that have proven successful such as participating at health fairs, speaking at community events, networking with community and faith-based leaders, and participating in job fairs, senior expos, and multi-cultural events.

The types of strategies employed by each SCSEP contractor used to recruit participants from minority populations are largely dependent upon the geographic area. The majority of Missouri's minority population resides in urban areas, which often can be reached through community not-for-profits, career centers, and perhaps most successfully, by word of mouth. Along with its sub-grantees, the Missouri SCSEP maintains a strong working relationship with the Area Agencies on Aging and the Community Action Centers, in addition to community based nonprofits, including organizations that specifically target services to immigrants and refugees. In addition, the SCSEP State Director is housed within the Department of Health and Senior Services (DHSS) along with the Office of Minority Health, which allows regular communication regarding strategies to target outreach to traditionally underserved minorities, including seniors, with the goal being to offer improved opportunities and well-being through equitable access to health programs and other services.

New outreach materials such as posters, flyers, and brochures have been developed by the DHSS and have been distributed statewide by the State Director and the sub-grantees at specific locations such as Senior Day at the Missouri State Fair, the Institute on Minority Aging Conference, the Multicultural

Festival for Seniors, and the Village of Many Colors event for seniors. In addition, the outreach material has also been distributed at job fairs, health fairs, churches, food pantries, social service agencies, the Missouri Show Me Summit on Aging and Health, and other events intended to reach seniors.

Catholic Charities has made targeted outreach efforts in the Hispanic and the Asian-American communities. They are working with Don Bosco Community Center and Jewish Family Services to reach Asian American immigrants and their families through community newsletters in the Old North East, City Market and Columbus Park region in Kansas City, MO. Catholic Charities is also working with the Guadalupe Center, a community center for persons who speak Spanish, and advertising through Dos Mundos, one of the local bilingual (Spanish and English) language newspapers in the Kansas City metropolitan area. They have also placed information in news bulletins of worship centers that serve non-English speaking populations and ethnic minorities.

Experience Works reaches out to potentially eligible minority participants, persons with limited English language proficiency, persons who have a tribal affiliation or American Indian ancestry, as well as priority populations such as veterans or those who have the greatest economic need. To reach these populations, Experience Works Employment and Training Counselors (ETC) work with churches, migrant centers, minority businesses/organizations, publications serving minority communities and senior health, and job and multi-cultural fairs. Experience Works also has a Diversity and Inclusion Committee and one of the local ETCs is assigned to this committee.

At Experience Works, each ETC has a goal to identify and contact at a minimum two agencies per county that work with diverse individuals to assist with recruitment of minorities and to develop training opportunities. Some of these agencies include: the Veterans Administration, the Northeast Missouri Sheltered Workshop, Learning Opportunities Quality Works, Disabled Veterans Administration, MERS Goodwill, Perryville Higher Education Center, Voluntary Action Center, Food Bank of Central and Northeast MO, Salvation Army, Department of Social Services, Heartland Independent Living, Alliance for Farm Workers and Missouri Career Centers. The ETCs also contact thrift stores, local health departments, food pantries, ministerial alliances, libraries, housing authorities, community action centers, and nutrition/senior centers.

The main strategy for MERS Goodwill to successfully recruit minority participants is partnering with agencies that provide social services directly or indirectly to these potential participants. In most cases, these agencies are also potential community service host agencies for SCSEP. Often, because of their participation in SCSEP as host agencies, these agencies have a good understanding of the program to pass along to their clients/customers.

English as a Second Language classes have been targeted at Parkway Adult Education and the International Institute. Grand Oak Hill Community Center is a housing organization located in south St. Louis County that serves both the Bosnian & Vietnamese communities. Bilingual International Assistant Services (BIAS) serves individuals from almost thirty nationalities, and is a valuable outreach partner for finding potential participants. The Urban League of

St. Louis and the Kingdom House in St. Louis are two other examples of SCSEP community services sites that will offer increased program exposure to potential minority participants.

In addition to the existing strategies, MERS Goodwill SCSEP keeps abreast of any new social organization and agencies that serve minorities. Flyers, applications, and brochures are given to these agencies to help recruit participants. Also, newspapers or newsletters that are focused on minority groups are evaluated for advertisement. Community churches in areas that have a high population of minorities often have newsletters or other publications that offer an opportunity to advertise SCSEP. Case managers continuously recruit new community service agency sites that will support the goals of SCSEP participants, ensuring that the host agencies are accessible to the participants and are supportive of the participants needs.

The Missouri SCSEP and sub-grantees will continue to update recruitment materials to appeal to the broadest possible audience of potentially eligible participants. Posters, flyers, brochures, newsletters, and news articles are distributed by the Missouri SCSEP to the sub-grantees who in turn distribute them to venues that older individuals from racially and ethnically diverse populations visit. In addition, as specific populations are identified whose primary language is other than English, materials can be customized and presented in other languages. There has been a positive upward trend in the enrollment of minority participants over the past program year. Missouri intends to maintain this increase through continuing outreach efforts.

The following steps will be continued or expanded to increase participation of under-serviced minorities as revealed in Volume-II of the PY 2013 Minority Report. Particular focus will be paid to the finding that blacks entered employment significantly less often than whites and that minorities entered employment significantly less often than non-minorities:

- Develop an effective Individual Employment Plan (IEP) with each participant;
- Develop training assignment that matches with participant's job goal;
- Develop/enhance skills through on-the-job training and online skill based training;
- Work readiness training will be provided one on one or in a group setting to suit the needs to the participant;
- Sub-grantee staff will work with participants one on one to assist them in finding/applying for jobs available in their local communities;
- Assist participants to locate resources to help them overcome barriers to employment (such as transportation, disabilities, poor work history, criminal backgrounds, etc.);
- Recruit businesses in areas of high minority population for host agency placement and employment opportunities; and
- Assist participants with resume writing, on-line applications, interviewing skills, and networking with local area businesses.

Even with the success of the previous described approaches in serving minority populations, there are social and economic barriers which must be addressed in order to fully meet the needs of the minority populations. As with all participants, the SCSEP contractors will continue to develop supportive services plans that address obstacles experienced by participants that might present a barrier to employment.

In summary, ensuring the availability of supported employment services to eligible seniors in minority populations will continue to be a program focus in the state of Missouri. The grantee will continue providing technical assistance and feedback to the sub-grantees to increase services to eligible members of minority cultural groups.

### **Organizational Structure**

The Missouri SCSEP is administered by the DHSS, the Division of Senior Disability Services, Bureau of Senior Programs (BSP). BSP staff is responsible for specific areas of the program (See Attachment A, Organizational Chart). The BSP Bureau Chief is the Title V State Coordinator and also supervises the staff that supports the program. As Coordinator, the Bureau Chief is responsible for the coordination and development of the Title V state plan and the annual grant. The Bureau Chief is also responsible for writing and updating SCSEP policies and procedures, conducting meetings with sub-grantees, and providing technical assistance while tracking performance. The Bureau Chief also attends statewide meetings with various agencies and organizations that focus on employment and workforce development.

In January 2015, the Bureau Chief was appointed to the Missouri Statewide Workforce Investment Board as the representative for the DHSS. The Bureau Chief also works with staff to organize and promote the annual Outstanding ~~Old Worker~~ event that raises awareness and promotes involvement of Missouri businesses in the Missouri SCSEP.

The Aging Program Specialist II (APSII) duties include reviewing the annual and durational limits and IEPs, completing data validation, providing technical assistance regarding SPARQ, assisting with the development of the SCSEP State Plan and updates, as well as the annual grant, and notifying the Missouri SCSEP contractors of the availability of new supportive services that may be of interest to the SCSEP participants.

The Fiscal & Administrative Manager Band I provides fiscal support to ensure budgeted funds for each sub-grantee contract are being expended appropriately.

The Administrative Support staff is responsible for communicating with the sub-grantees regarding mailings and general communication. The Administrative Support staff also coordinates all activities during the survey process, including ensuring the addresses for returned documents are updated and the documents are sent to the correct address. The Administrative Support staff ensures that completed grant and contract documents conform to applicable formats and standards and are executed through financial procurement.

The grant budget allocation for personnel is thirty percent for the State Coordinator, twenty percent for one Aging Program Specialist II, three percent for

a second Aging Program Specialist II, four percent for the Fiscal & Administrative Manager Band I, and three percent for the Administrative Support staff person.

### **Sub-Grantees**

As previously mentioned, the DHS utilizes a competitive bid process to contract with sub-grantees, who in turn administer the program for the State of Missouri. The sub-grantees for the Missouri SCSEP at this time are MERS Goodwill, Experience Works, and Catholic Charities (See Attachment B, Areas Served).

MERS Missouri Goodwill Industries and Affiliates is a nonprofit corporation that has 95 years of experience providing vocational assessment and placement services for people with disabilities and disadvantages. The agency is a significant provider of vocational rehabilitation services in Missouri. Revenue from the MERS Goodwill stores assist with funding their employment and training programs. Other funding sources are through contract services, employment and training, sheltered workshop, and contributions.

Experience Works is a nonprofit corporation, whose mission is to strengthen families and communities by providing disadvantaged and older individuals with opportunities to learn, work, and serve others. The organization operates job training and placement projects funded through federal grant awards, either made directly to the organization or through sub-grantee awards. Experience Works is a national grantee, as well as a State grantee.

Catholic Charities of Kansas City-St. Joseph, Inc. is a nonprofit organization whose mission and principal activities are to provide for the

vulnerable, honoring the life and dignity of all persons. Supports are derived through the Diocese, United Way, state and federal grants, and engaging the community in providing social services and advocacy.

The State Coordinator is responsible for assuring the sub-grantees receive all policy, program, technical assistance, and regulatory updates in order to effectively and efficiently administer the program in the sub-grantees' respective areas. The State Coordinator communicates regularly with the sub-grantees to ensure program updates are implemented throughout the service areas and performance measure expectations are met. These meetings are an opportunity to provide technical assistance, provide information on performance objectives, develop strategies to facilitate success within the program and provide support for continued successful program performance. In addition to annual on-site data validation, the State Coordinator conducts an on-site monitoring of each sub-grantee annually.

The sub-grantees are required to submit monthly reports of agency activities detailing outreach efforts in order for the State to track progress towards performance measures. Any sub-grantee failing to meet the required performance measures is provided intensive technical assistance.

The State is responsible for the procurement and approval of all sub-grantees and contracts. As previously mentioned, all sub-grantees are monitored on-site annually. The monitoring review includes, but is not limited to, local office operations and procedures for eligibility, enrollment, orientation, office records of staff, and participant and host agency files.

Oversight and monitoring of sub-grantees promotes good management and leadership and assists grantees in clarifying objectives. This in turn promotes continuous improvement in program operations and in meeting performance measures established by the Department of Labor.

**ATTACHMENT D**  
**Programmatic Assurances**

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 apply fully to any sub-recipient, local project, or grantee staff involved in the delivery of 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) based on a rotation policy approved by DOL in the grant agreement and 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 (such as unemployment insurance), and the costs of physical examinations.
- Establish written policies relating to compensation for scheduled work hours during which the participant's host agency is closed for Federal holidays.
- Establish written policies relating to approved breaks in participation and any necessary sick leave that is not part of an accumulated sick leave program.
- 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

#### *Maximum Average Project Duration – 27 Months*

- Maintain average project duration of 27 months or less, unless ETA approves an extension to 36 months.

#### *Maximum Individual Participant Duration – 48 Months*

- Allow participants to participate in the program no longer than 48 months (whether or not consecutively), unless your approved policy allows for an extension and the participant meets extension criteria.
- Notify participants of your policy pertaining to the maximum duration requirement, including the possibility of an extension if applicable, at the time of enrollment and each year thereafter, and whenever ETA has approved a change of policy.
- Provide 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.
- Maintain written termination policies in effect and provide to participants at enrollment for:
  - 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 (must be approved by the ETA prior to implementation)

#### Equitable Distribution

- Comply with the equitable distribution (ED) plan for each state in which grantee operates and only make changes in the location of authorized positions within a state in accordance with the state ED plan and with prior ETA approval.
- Comply with the authorized position allocations /ED listed in [www.scseped.org](http://www.scseped.org).
- Collaborate with all grantees authorized to serve in your state to achieve compliance with authorized positions while minimizing disruption to the participants.

#### Over-Enrollment

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

#### Administrative Systems

- Ensure representation at all ETA-sponsored required grantee meetings.
- Communicate grant policy, data collection, and performance developments and directives to staff, sub-recipients, and local project operators on a regular basis.
- Develop a written monitoring tool that lists items you will review during monitoring visits, and provides this tool to sub-recipients and local project operators.
- Develop an annual monitoring schedule, unless the FPO approves a different standard; notify sub-recipients and local project operators of monitoring plans; and monitor sub-recipients and local project operators on a regular basis.
- Develop and provide training to increase sub-recipients' and local project operators' skills, knowledge, and abilities.
- When appropriate, prescribe corrective action and follow-up procedures for sub-recipients and local project operators to ensure that identified problems are remedied.
- Monitor the financial systems and expenditures, including sub-recipients and local project operators on a regular basis to ensure compliance with cost allocations as specified in the regulations.
- Ensure that sub-recipients and local project operators receive adequate resources to effectively operate local projects.
- Train sub-recipients and local project operators on SCSEP financial requirements to help them effectively manage their own expenditures, and provide general financial training as needed.
- 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 investment boards, American Job Centers (One-Stop 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.

#### Sub-Recipient Selection (if Applicable)

- In selecting sub-recipients in areas with a substantial population of individuals with barriers to employment, national grantees should give special consideration to organizations with demonstrated expertise in serving individuals with barriers to employment (including former recipients of national grants), as defined in the statute.

#### Complaint Resolution

- Establish and use written grievance procedures for complaint resolution for applicants, employees, sub-recipients, and participants.
- Provide applicants, employees, sub-recipients, 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 by grantee or sub-recipient and access is limited to appropriate staff in order to safeguard personal identifying information.
- Ensure that all participant medical records are securely stored separately by grantee or sub-recipient 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 ETA/SCSEP national office is immediately notified by grantee 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 under its grant 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 sub-recipients 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 at the grantee or sub-recipient level that those capturing and recording data are familiar with the latest instructions for data collection, including ETA 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 WDGS/SPARQ.
- Legally obligate sub-recipients to turn over complete data files in the specified electronic format, as well as hard copy case files, to the grantee when sub-recipients cease to administer SCSEP.
- Legally obligate new sub-recipients to enter complete data related to any participants whom they acquire upon becoming sub-recipients, including any participants who are still in the follow-up period.

*If any box is not checked, the grantee must provide information on a separate attachment indicating what specific steps the grantee is 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.

Pat Bedell for Bret Fischer

MAY 12 2015

Signature of Authorized Representative

Date

**SENIOR COMMUNITY SERVICE  
EMPLOYMENT PROGRAM**

**Summary of PY 2015 Goals**

Grantee: Missouri

Entered Employment: 44.4%

Retention: 78.0%

Average Earnings: \$7,177

Most-in-Need: 2.57

Service Level: 158%

Community Service: 82%