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UNITED STATES DEPARTMENT OF LABOR

Division of Older Worker Programs

SCSEP Data Collection Handbook

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Introduction to SCSEP Data Collection Handbook

Revision 3

This Handbook contains revised guides for each of the four data collection forms. The guides, which follow the order of the forms, provide descriptions of the data elements, explanations of how best to capture and record the required information, and discussions of how the data elements relate to the SCSEP performance measures. Some of the descriptions and explanations contain additional comments. These comments do not always pertain directly to completing the data field but will give you a fuller understanding of the data element. The data elements contained in the four hard copy forms must be reported for all participants in the specified format regardless of whether a grantee uses the SCSEP Data Collection System (DCS). Therefore, all grantees and sub-grantees, including those that are using their own data collection systems, will need to be familiar with and follow the information in this Handbook.

There are “Topics” at various points throughout the guides. These topics provide more extended discussion of important issues for the data collection and reporting system. Topics generally address broad concepts like what “exit” means, when follow-ups must be completed, and what services may be provided before assigning an applicant to community service. Data elements or topics that have been revised or are new since the second revision of the Handbook are so indicated in the first column (and are in shaded text). All relevant information that was contained in the postings on the SCSEP *Ask the Experts* Internet forum through June 23, 2005, has been incorporated into this revision of the Handbook. This revision also includes all relevant information from Older Worker Bulletins and TEGL’s that have been issued since the last revision.

This version of the Handbook includes information about new data elements that will be effective on July 1, 2005. In some instances, the data elements replace existing elements. In other instances, the elements are entirely new. Both the first column and the third column indicate the date on which an old data element is discontinued or a new element is to be implemented. **NOTE:** The new elements will not be available in the data application until SPARQ 2 (the Internet-based replacement for the DCS) is implemented at the end of the first quarter of PY 2005. Sub-grantees will have to capture the new data elements on the hard copy forms starting July 1, 2005, and enter the new data elements into SPARQ 2 when it is available.

In addition, the Handbook references some of the edits in the SCSEP DCS and in SPARQ that control how and in what form data must be entered. For complete information on the requirements for the data system, you should see the DCS Users’ Guide and other relevant information on the Mathematica web site, <http://SCSEP.Mathematica-MPR.com>. For information on the management reports contained in the DCS, you should see the Data Collection System Management Reports Handbook, which is available at the SCSEP web page, <http://charteroakgroup.org/resources/scsep.shtml>.

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This Handbook is also available at the Charter Oak SCSEP web page. The Handbook has a revision number and a date on the bottom of each page. Neither the hard copy version of the Handbook that users may have been given nor the version included in the data collection software may contain the most up-to-date version of the guides. However, the version on the Internet will always be the most recent, and users are encouraged to check the Internet regularly. Additions and clarifications to the Handbook will be posted on the SCSEP *Ask the Experts* Internet forum as they occur.

This Handbook is designed to be printed in landscape format, back-to back, “military” style, that is, with the binding along the top. The Handbook has been organized so that the text for each guide starts on an upper page when the Handbook is opened flat, affording the reader a view of two full pages. Where possible, breaks were inserted at the end of each bottom page to avoid having material run over to the next page. To facilitate this full two-page view, extra pages have been inserted where required. These pages are identified as being intentionally left blank. The Charter Oak Group SCSEP web site contains the entire printable Handbook.

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Participant Form Guide

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 1 Form Heading 2 Form Heading 3 (Revised)	Sub-Grantee* ¹ Local Site Case Worker	<ul style="list-style-type: none"> Only the sub-grantee field is required. You may use the local site if the sub-grantee has multiple sites and the name of the case worker if applicable. You will be able to use these two fields and the sub-grantee field as filters when you generate the management reports. Mathematica has given grantees standardized names and codes for each sub-grantee so that sub-grantees can be consistently listed in the desktop application. Sub-grantees should also standardize the local site and case worker names if they intend to use them. The local site and case worker fields are optional and may be used in addition to the mandatory entry of grantee and sub-grantee names and codes in the Grantee Data tab under Manage Utility Data on the main page. These two optional fields will not be available in the data application until SPARQ 2. The information should be captured now on the hard copy forms, however, so that it can be entered into the application when the fields are available. Those grantees using their own automated systems may begin using these fields immediately.
Topic 1 (New)	New data elements effective July 1, 2005	<ul style="list-style-type: none"> Wages prior to participation are recorded in new elements 13a and 13b. These fields replace existing field 14a. The new fields are required for the new Common Measure earnings gain. Total includable family income is recorded solely in new element 14. This field replaces existing fields 14b and 14c. Change in sub-grantee is recorded in new element 16b. Date of last physical is recorded in new element 17. Date of last IEP is recorded in new element 17a. All data for a recertification are recorded in new elements 44-51. These fields replace existing field 17.
Topic 2	Modifying OMB-approved data collection forms	<ul style="list-style-type: none"> You are free to modify the forms to add data elements, but if you do so, you must remove all of the OMB information and the SCSEP form numbers from those modified forms. OMB and SCSEP have authorized only the collection of the data on the approved forms. If you modify the forms, you must retain all of the data elements on the official versions. We recommend that you keep the elements in the same order as the data application. You could also use the official forms and collect the additional information on a separate form.

¹ All items with an asterisk must be filled out regardless of eligibility.

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Topic 3 (Revised)	Ineligible applicants: When is an application required?	<ul style="list-style-type: none"> • An asterisk designates a field that must be completed for all applicants regardless of eligibility. • Sub-grantees and local projects are required to take an application from any individual who indicates a desire to apply – even if project staff persons believe that the individual is ineligible. However, sub-grantees and local projects may provide information about the program and its eligibility requirements without taking an application if the individual is only making an inquiry and does not ask to make application. • If someone calls and inquires about the program, it is entirely appropriate to inform the individual of the eligibility requirements and to ask if the individual thinks he or she is eligible and would like to proceed with an application. It is even appropriate to assist the individual with calculating his or her income to determine if the individual's 6-month annualized income meets the guidelines. You must, however, be willing to take an application at the individual's request even if your preliminary discussion suggests that the individual is ineligible. • In addition to protecting applicants' rights, taking applications from ineligible applicants may help to document unmet need and provide a basis for Congress to expand the program.
Topic 4	Ineligible applicants: Why you might want to take an application	<ul style="list-style-type: none"> • Field 11a of Section B of the QPR reports non-SCSEP-eligible applicants who were placed in employment by the sub-grantee. Such activity is authorized if provided for in the MOU with the local One-Stop system. See discussion of field 36d below. Although these placements do not count toward the SCSEP placement goal, the QPR acknowledges sub-grantees' efforts as One-Stop partners. The QPR cannot report these non-eligible placements unless applications are taken. • When completing an application for an ineligible participant, it is not necessary to have the individual sign the certification if you are certain that the applicant accepts the eligibility determination and will not challenge it. Eliminating the signature may facilitate your taking applications for ineligible applicants where you plan to provide placements. See Topic 23 and the discussion of field 32 below.
Topic 5 (New)	Entering N/A or "dummy" data into the data system	<ul style="list-style-type: none"> • Do not enter <u>anything</u> into the data system except valid data. If you cannot obtain the information – or even if you think the field should not have any data in it – just leave the field blank. This is very important to the integrity of the data system and to our ability to extract data. There are many applications where we need to know if someone has a valid name, address, Social Security number, etc. If you enter N/A or make up a value, we will wind up selecting that record and then will need to find some way to manually delete it when we discover the data are

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		not valid. This happened extensively with the customer satisfaction survey samples when sub-grantees put N/A or some other invalid value into critical fields like contact person name or FEIN.
Topic 6 (New)	Missing data error reports	<ul style="list-style-type: none"> The data system provides missing data information on the main page of the DCS, in the DCS management reports, and in the DQR. The missing data message identifies fields that are blank when they could have data in them. The edits for missing data in both the DCS and QPR cannot tell whether a field is blank because you forgot to enter the data or you could not obtain the data. Since these reports are informational only and do not result in the rejection of any data, you should ignore them when you know that you have properly entered all the data you can obtain. The QPR edits are being refined so that you will only get missing data reports for fields that are required to be filled under all conditions. That will eliminate some of the missing data “errors” like the ones encountered for participants whose placement is self-employment.
1	Last name*	<ul style="list-style-type: none"> A last name is required to create a valid record. The three fields for the applicant’s name will be used to generate letters and mailing labels for the customer satisfaction survey.
2	First name*	<ul style="list-style-type: none"> A first name is not required for a valid record. If the applicant only uses one name, list that name as the last name and leave this field blank.
3	Middle initial*	<ul style="list-style-type: none"> You should leave this field blank if the individual does not have a middle initial.
4 (Revised)	Social Security Number*	<ul style="list-style-type: none"> It is necessary to record the Social Security number even if the applicant is determined ineligible. The Social Security number serves as a unique identifier and will be used to obtain the UI wage records once they become available for all grantees for calculating employment and wage change measures. Records without a Social Security number will be rejected by SPARQ. SPARQ will also reject records that contain the same Social Security number as that used for a currently active participant. This will prevent the entry of duplicate participations and incorrect Social Security numbers. All personally identifying information in the DCS, including Social Security numbers, is encrypted to ensure confidentiality.
5 (Revised)	Home phone number*	<ul style="list-style-type: none"> If no home phone, try to obtain a number where a message can be left with a friend, neighbor or family member. If none, leave blank. Do not enter N/A or dummy data into this field.

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6	Mailing address*	<ul style="list-style-type: none"> If the applicant does not have a residence, try to obtain an address at which the applicant can receive mail. The mailing address fields will be used to generate letters and mailing labels for the customer service survey. Be sure to enter the information as you want it to appear on the envelope. County will not be used for mailing.
6a	Number and street; apt. #; PO Box*	<ul style="list-style-type: none"> If the address has a rural route number or post office box rather than a street, use field 6a to record that information. If there are both a street and a post office box, record both in field 6a.
6c (New)	County	<ul style="list-style-type: none"> Applicants must reside in the state in which they apply unless the state has an approved cross-border agreement with another grantee, but there is no requirement that applicants reside in the county in which they apply. County is listed in the forms solely for planning and equitable distribution purposes. It will not be used for mailing.
7	State of residence if different from mailing address*	<ul style="list-style-type: none"> Residence is defined as an individual's primary dwelling place or address as demonstrated by appropriate documentation. No minimum length of residence is required. A homeless individual is considered a resident of the state in which he or she is applying. Grantees may accept residents of other states if there is an approved multi-state agreement.
8	Homeless*	<ul style="list-style-type: none"> A homeless individual is one who lacks a fixed, regular, adequate night time residence; and any individual who has a primary night time residence that is a publicly or privately operated shelter for temporary accommodation; an institution providing temporary residence for individuals intended to be institutionalized; or a public or private place not designated for or ordinarily used as a regular sleeping accommodation for human beings. This definition does not include a person imprisoned or detained under an act of Congress or state law. Participants who may temporarily be sleeping in a shack or in their vehicle while away from home should not, as a result of that alone, be recorded as homeless.
8a	Urban/rural*	<ul style="list-style-type: none"> You may use the definitions of urban and rural that you currently use for your state plan. For your information, the Census definition of "urban" is an Urbanized Area (density of 1,000 people per square mile and a minimum population of 50,000) or an Urban Cluster (densely settled area of at least 2,500 people). Urban/rural is being captured so that grantees will have this information for the Equitable Distribution Report and the Title V Coordination Plan.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
9 (Revised)	Application date*	<ul style="list-style-type: none"> Enter the date on which the initial application was filled out. If the information is provided over several different dates, enter the first date on which information is recorded. SPARQ will reject any record that does not have an application date.
Topic 7 (New)	Use of application date to determine age; change in application date	<ul style="list-style-type: none"> The application date is used to determine age for purposes of eligibility and the performance measures. It is a critical date and is the only fixed time anchor in the database. It is true that the date of eligibility determination would be a more logical date for determining age. However, since the date of eligibility determination changes with each recertification, we cannot use it. There is one circumstance – and only one – where you will need to change the application date to equal the date of the original eligibility determination: When you start an application for someone who is not quite 55 years old and wait until the applicant has turned 55 to determine eligibility, you will have to change the application date. If you leave the original application date, the record will be rejected because you cannot enroll someone younger than 55. To fix this problem, you must “correct” the application date to equal the date on which you found the applicant eligible. You obviously do not change the application date when you are determining the applicant to be ineligible. This problem will be corrected in SPARQ 2, which will contain a separate set of fields for recertifications, thereby allowing the date of the original eligibility determination to be fixed and unchanged. See elements 44-51 below. Once SPARQ 2 is implemented, you will no longer need to change the application date under the circumstances described above.
10 (Revised)	Date of birth*	<ul style="list-style-type: none"> Since age is a SCSEP eligibility requirement, this information is required for all applicants. SPARQ will reject any record where you have determined an applicant under the age of 55 to be eligible.
Topic 8 (New)	Timeframe for determining age and other characteristics for performance measures	<ul style="list-style-type: none"> For purposes of the QPR and the performance measures, age and other relevant characteristics, like poverty level, are determined at the time of enrollment. The statute and regulations require you to give priority of service to those 60 and over if you have more applicants than you have slots. This can only be measured at the time you decide which eligible applicants to enroll and which to place on the waiting list. Someone who was under 60 at the time of enrollment will never be counted in the most in need category.
11 (Revised)	Number in family*	<ul style="list-style-type: none"> Enter the number of individuals in the applicant’s family. A “family” is defined in TEGL 13-04 as husband, wife and dependent children; parent or guardian and dependent children; or husband and wife. (If the applicant is claimed as a dependant on someone else’s tax return, you must use the broader CPS definition of family. See Topic 9 below.) Count only current family

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>members living together. Do not include deceased or separated spouses who are living separately. In addition, consistent with 20 CFR 641.500, a person with a disability may be treated as a 'family of one' for income eligibility determination purposes.”</p> <ul style="list-style-type: none"> Documentation is required for all applicants. This information must be updated at each recertification by writing over the old data.
Topic 9 (Revised)	Counting family members when the applicant is claimed as a dependant	<ul style="list-style-type: none"> According to TEGL 13-04, if the applicant is claimed as a dependant on someone else's tax return, you must include in the applicant's family all individuals currently residing with the applicant who are related by blood, marriage or adoption. You need not include these family members if the applicant lives independently of them; pays all her own expenses, including rent and utilities; does not share meals; and has separate living quarters, including a separate entrance. The mere fact that the applicant pays rent and is financially independent is not sufficient if the applicant does not have separate living quarters.
12	Receiving public assistance*	<ul style="list-style-type: none"> If the applicant is receiving any form of public assistance, check the appropriate box(es) b-g. If the applicant is receiving some form of public assistance other than those listed in boxes b-g, check box h and specify the type of assistance. If the applicant is not receiving any form of public assistance, check box a. This data element applies to the applicant only, not the entire family.
13	Employed prior to participation	<ul style="list-style-type: none"> Enter 1 if the participant was employed at or prior to the time of participation. An individual employed at or prior to the date of participation is one who, during the seven consecutive days prior to the date of participation: <ul style="list-style-type: none"> Did any work at all as a paid employee (except the individual is NOT considered employed if: a) he/she has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or b) he/she is currently on active military duty and has been provided with a firm date of separation from military service); Did any work at all in his/her own business, profession, or farm; Worked 15 hours or more as an unpaid worker in an enterprise operated by a member of the family; or Was not working, but has a job or business from which he/she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time off, and whether or not seeking another job.

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		<ul style="list-style-type: none"> • Since SCSEP participants are supposed to be unemployed at the point of enrollment, you should only record 1 for someone whose employment ceased prior to your eligibility determination but within 7 days of your determination of eligibility. • Enter 2 if the participant is a person who, although employed, has received notice of termination of employment. • Enter 3 if the individual does not meet the definitions listed above, i.e., was not employed prior to participation. • This information is required for the Common Measures. The participant will provide this information. Documentation is not required.
Topic 10 (Revised)	Employment prior to participation, timeframe for determining	<ul style="list-style-type: none"> • The determination of employment status is a Common Measures requirement. It only applies to eligible applicants who are assigned to community service. The point of determination is the date of participation, which would be the date of assignment to community service. The determination is complicated, however, by the SCSEP requirement that only unemployed applicants are eligible for SCSEP services. • An applicant who is employed at the time of eligibility determination may or may not be considered employed prior to participation for the Common Measures if this person were determined eligible but not assigned to community service for several days or more. However, an applicant who is employed at the time of eligibility determination is ineligible by virtue of being employed so the issue of employed prior to participation would not arise. • As a practical matter, since only unemployed applicants are eligible for SCSEP and you are going to need employment status at the time you make the eligibility determination, you will be able to determine at the time of eligibility determination whether an eligible applicant meets the Common Measures definition of employed at or in the seven days prior to participation. In those rare instances where the participant was employed at the time of application but will shortly be unemployed, e.g., the applicant has received a layoff notice, you may delay the eligibility determination until the applicant is unemployed. If you assign the applicant immediately, you would code the applicant 2. If for some reason you were unable to assign the applicant within 7 days of the date you made the eligibility determination, you would then go back at the time of assignment and code the applicant 3. Such situations will be so rare, however, that as a general rule, the determination of employment status can be made at the time of eligibility determination. (Furthermore, an applicant with a layoff notice is presumed to be job ready and thus ineligible for SCSEP.)

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
13a Effective July 1, 2005 (New)	Total participant wages for second quarter before participation quarter	<ul style="list-style-type: none"> This new data element is effective July 1, 2005. It replaces the existing element 14a. Enter the participant's wages in the second quarter prior to the quarter of participation. Total <u>participant</u> (not family) wages in the second and third quarters prior to the quarter of participation are required for the new Common Measures earnings gain measure. If the participant had no wages in this quarter, enter \$0. If you are unable to obtain this information, leave the field blank. Entering a value, including \$0, means that you have determined that there were no wages for that period. A blank field means that you do not know if there were wages. You do not include any unearned income, such as Social Security or unemployment compensation, regardless of whether it is included in or excluded from the total family income for eligibility purposes. You should obtain this information from the applicant. Fields 13a and 13b are only required for eligible applicants. Documentation is not required.
13b Effective July 1, 2005 (New)	Total participant wages for third quarter before participation quarter	<ul style="list-style-type: none"> This new data element is effective July 1, 2005. It replaces the existing element 14a. Enter the participant's wages in the third quarter prior to the quarter of participation. Total <u>participant</u> (not family) wages in the second and third quarters prior to the quarter of participation are required for the Common Measures. If the participant had no wages in this quarter, enter \$0. If you are unable to obtain this information, leave the field blank.
14 Discontinued June 30, 2005 (Revised)	Family income*	<ul style="list-style-type: none"> Effective June 30, 2005, fields 14b and 14c are replaced by new field 14. <u>Family</u> income is used to establish eligibility. It includes the income of current family members identified in field 11 above. Sub-grantees may use any income worksheet they wish for capturing and calculating income. Although the worksheet is not part of the database, the worksheet must be retained in the file for all applicants. When entering the family income for existing participants, use their income at the time of their last eligibility determination. Thus, for a recertified participant, enter the family income at the time of the last recertification, not the family income at the time of the original application. In the data application, you update the income at recertification by writing over the old data.
14 Effective July 1, 2005 (New)	Total includable family income for last six months, annualized	<ul style="list-style-type: none"> This new data element is effective July 1, 2005. It replaces existing elements 14b and c. Use this field to record the six-month annualized income for all new applicants. Do not use this field for recording income at recertification. All recertification data are entered in new fields 44-51. Field 14 will always reflect the income at the time of initial enrollment. Do not write over this field. <u>Family</u> income is used to establish eligibility. It includes the income of current family

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>members identified in field 11 above. Sub-grantees may use any income worksheet they wish for capturing and calculating income. Although the worksheet is not part of the database, the worksheet must be retained in the file for all applicants.</p> <ul style="list-style-type: none"> The new procedure for validating income for eligibility purposes is set out in TEGL 13-04. There are no exceptions to this rule. You must calculate the includable family income for the 6 months prior to application and annualize it. If the applicant is ineligible because of income in the six-month period that is not truly typical, the applicant will have to wait until that atypical income drops out of the six-month calculation and reapply at that time.
14a Discontinued May 20, 2005 (Revised)	Total participant wages for quarter before participation	<ul style="list-style-type: none"> This field is discontinued effective May 20, 2005. Effective June 30, 2005, field 14a is replaced by new fields 13a and 13b. Total participant (not family) wages in the quarter prior to the quarter of participation are required for the Common Measures. If the participant had no wages in this quarter, enter \$0. If you are unable to obtain this information, leave the field blank. Entering a value, including \$0, means that you have determined the amount of wages for that period and there were none. Leaving the field blank means that you do not know if there were wages. You do not include any unearned income, such as Social Security or unemployment compensation, regardless of whether it is included in or excluded from the total family income for eligibility purposes. You should obtain this information from the applicant. Field 14a is only required for eligible applicants. Documentation is not required.
Topic 11	Quarter, definition of	<ul style="list-style-type: none"> For purposes of the data collection system and the performance measures, a quarter always means a calendar quarter: July 1-September 30; October 1-December 31; January 1-March 31; and April 1-June 30. Most of the performance measures refer to the quarter after or before the quarter in which something happens. For example, the Common Measures earnings gain requires the participant's wages in the first quarter after the quarter of exit. Therefore, if the participant exited and started unsubsidized employment on July 5, you would need the wages for the period October 1-December 31, the first quarter after the quarter in which the exit occurred. You would not be concerned with the wages from July 5-September 30, which is the quarter of exit. Similarly, the Common Measures require the participant's earnings in the quarter before the quarter of participation. If the participant enrolled on June 15, the quarter before the quarter of participation would be the previous calendar quarter, January 1-March 31.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 12 Discontinued May 20, 2005 (Revised)	Pre-program income when converting records for existing participants, determination of	<ul style="list-style-type: none"> • This Topic is discontinued effective May 20, 2005. • The Common Measures require you to record the participant's earnings (not total income) for the quarter prior to the quarter of participation. For new participants, you must obtain the required pre-program earnings information when you obtain the income information for the eligibility determination. Because you have the applicant in front of you and are reviewing income information for the last 12 months, this should be fairly simple. Documentation is not required. • For converting the records of participants enrolled before July 1, 2004, you should also attempt to obtain accurate earnings information for the quarter prior to the quarter of participation. To convert the participant's record, you will need to contact the participant for other missing information and will have the opportunity to ask the participant to check his or her financial records. If the participant is unable to find these records, you can ask the participant whether earnings during the relevant quarter were consistent with earnings throughout that year. In the absence of any better information, you may, as a last resort, use the eligibility earnings that you have on file by dividing the 12-month earnings by 4 or the 6-month earnings by 2 to arrive an estimate of the pre-program earnings. If you do this, be sure to use only the applicant's earnings for the 6 or 12 months, not the total income, which you used to determine eligibility. • Do not enter \$0 into field 14a of the Participant Form if you do not know whether a grandfathered participant had wages in the quarter prior to participation. Entering any value including \$0 means that you have determined the amount of wages and there were none. Leaving the field blank means that you do not know if there were wages. • If, despite your best efforts, you are unable to determine these wages, leave this field blank and use the comments field to record your efforts. • Like follow-up, this is a temporary burden only. Once DOL obtains access to the UI wage records for the national programs, it will not be necessary to obtain this information from participants.
14b Discontinued June 30, 2005 (Revised)	Total includable family income for last six months, annualized	<ul style="list-style-type: none"> • Effective June 30, 2005, fields 14b and 14c are replaced by new field 14. • The new procedure for validating income for eligibility purposes is set out in TEGL 13-04. For new applicants starting January 7, 2005, you must record only the 6-month annualized family income in field 14b. Starting July 1, 2005, you will use only this field for all recertifications.

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		<ul style="list-style-type: none"> There are no exceptions to the rule contained in TEGL 13-04. You must calculate the includable family income for the 6 months prior to application and annualize it. If the applicant is ineligible because of income in the six-month period that is not truly typical, the applicant must wait until that atypical income drops out of the six-month calculation and reapply then.
Topic 13 (New)	Effect of public assistance on eligibility	<ul style="list-style-type: none"> For all new applicants starting July 1, 2004, eligibility is governed by Older Worker Bulletin 04-05. For new applications starting January 7, 2005, TEGL 13-04 governs eligibility. Under both the Bulletin and the TEGL, public assistance is excluded from income for purposes of SCSEP eligibility. However, the applicant must still meet the income limit with regard to all includable family income for the annualized 6 months prior to the eligibility determination. Receipt of public assistance does not make an applicant automatically eligible. Furthermore, the determination of a state or local welfare agency to treat an applicant as a family of one is not determinative of family size for SCSEP purposes. Under TEGL 13-04, if the applicant has family members who are included for income determination purposes, you will exclude public assistance benefits received by the applicant, but you must count the includable income of all other family members.
14c Discontinued June 30, 2005 (Revised)	Total includable family income for last 12 months*	<ul style="list-style-type: none"> Effective June 30, 2005, fields 14b and 14c are replaced by new field 14. You may only use this field during the remainder of PY 2004 for annual recertifications of participants. You may not use this field for new applicants. For PY 2004 only, recertification of participants is governed by the criteria in OWB 95-05. That means you must list the 12-month income in field 14c or the annualized 6-month income in field 14b, whichever is more favorable to the participant. For recertifications starting July 1, 2005, you must follow TEGL 13-04 and use only new field 45 to record family income.
Topic 14 (Revised)	Exclusion from income: foster care and other types of child support payments	<ul style="list-style-type: none"> TEGL 13-04 excludes from income all forms of child support, including payments made to an applicant by the government for the care of children who are not the applicant's own children, such as foster care or adoptive grandparent's subsidies. The exclusion also applies to all Social Security payments that an applicant receives for the benefit of a child for whom he or she serves as legal guardian. All such payments are considered for the benefit of the children, not the applicant. If the payments are considered public assistance for the applicant's own children, they would also be excluded. TEGL 13-04 explicitly excludes child support and welfare payments. If the payments are excluded, the applicant may still count the children as members of the applicant's family for purposes of establishing family size and income limits only if the dependent children are related by blood, marriage, or adoption.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 15 (Revised)	Exclusion from income: wages or stipends from employment and training	<ul style="list-style-type: none"> It is the intent of TEGL 13-04 to exclude from family income any wages or stipends received from any employment and training program by the applicant or the applicant's family members. This exclusion applies to SCSEP regular program wages, OJE wages (even if paid by the employer), and Section 502(e) wages, as well as to stipends paid by other government programs, such as the VA's "compensated work therapy." This exclusion also applies to Trade Readjustment Allowances (TRA). TRA is provided to workers who have lost their jobs due to foreign imports. A condition of receiving TRA benefits is that the claimant enroll in training provided by Trade Adjustment Assistance (TAA). Both OWB 04-05 and TEGL 13-04 exclude from income for purposes of SCSEP eligibility all stipends from employment and training programs. Therefore, TRA benefits should be excluded. This exclusion applies to all new applications and recertifications effective July 1, 2004. It is highly unlikely, however, that a recipient of TRA benefits would be otherwise eligible for enrollment in SCSEP. First, TRA recipients typically have extensive work histories and thus are likely to be job ready. Second, to the extent that TRA recipients need retraining to become job ready, such training is provided by the TAA program. Although there may be exceptions, most TRA recipients do not need and would not benefit from the type of training provided by community service
Topic 16	Exclusion from income: lottery winnings	<ul style="list-style-type: none"> Consistent with the Census and the CPS, the main rule for determining whether to include certain income for eligibility purposes is based on whether the income is received on a <u>regular</u> basis. If lottery winnings are collected in one lump sum as a one-time payment, then the winnings are not considered income for SCSEP eligibility. However, if the winnings are collected from periodic payments and the applicant receives the income on a regular basis – annually, monthly, bi-weekly, every two months, etc. – then the winnings are considered income for purposes of SCSEP eligibility.
Topic 17 (New)	Deduction of Medicare premiums from Social Security	<ul style="list-style-type: none"> You deduct Medicare premiums from the income of the applicant and all family members, including the applicant's spouse, age 65 and over. (You do not deduct the Medicare premium if an applicant or family member under age 65 is receiving Social Security retirement or SSDI benefits.) You include as SCSEP income the net Social Security benefits, in addition to any other includable income as defined in TEGL 13-04. Medicare benefits, regardless of the age of the recipient, are not considered income for SCSEP eligibility purposes.

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Topic 18 (New)	Inclusion of interest income	<ul style="list-style-type: none"> TEGL 13-04 requires that you include all interest income. There is no exclusion. OWB 95-05 has been superseded by TEGL 13-04 effective January 7, 2005 (and by OWB 04-05 from July 1, 2004-January 6, 2005), for all new applicants. Only grandfathered participants are entitled to use OWB 95-05, and they can only use it for recertifications during PY 2004.
Topic 19 (Revised)	Grandfathered participants: Who are they and what rights do they have?	<ul style="list-style-type: none"> A grandfathered participant is a participant who was active in the program on June 30, 2004. Someone who exited the program and could have re-enrolled prior to July 1, 2004, but did not do so, is not grandfathered. Grandfathered participants have their income eligibility determined by OWB 95-05 for any and all recertifications that are done during PY 2004. See discussion of field 17 below. Grandfathered participants who were working part-time while enrolled prior to July 1, 2004, are allowed to continue their part-time work while you transition them to unsubsidized employment during PY 2004. In special cases, grandfathered participants who are not truly job ready may continue their part-time employment beyond PY 2004. See Topic 22 below. There is no requirement at all to terminate these participants just because they enrolled in the program prior to July 1, 2004. You should follow your rotation and duration of enrollment policies for these participants as you do for all other participants.
Topic 20	Grandfathered participants: updating the forms when converting the records for	<ul style="list-style-type: none"> You do not have to make any changes in existing hard copy forms for grandfathered participants. Leave those hard copy forms in your case files and supplement them with the new forms containing any information that needs to be added or updated. For example, the new forms ask questions about employment and wages prior to participation (fields 13 and 14a) and have new coding for characteristics like veterans status and education (fields 25 and 21) that are not on your old forms. Enter the information from both old and new forms into the data system. You do not need a new certification from the participant when you convert the old records if you have a signature on file certifying the most recent eligibility information. See Topic 36.
Topic 21 Discontinued July 1, 2005 (Revised)	Grandfathered participants: what dates to use when converting records	<ul style="list-style-type: none"> This Topic is discontinued effective July 1, 2005. There are four date fields in the Participant Form (in addition to the applicant's date of birth): <ul style="list-style-type: none"> Field 9, application date, is the date of the initial application, no matter how long ago that may have been. Field 17, date of most recent recertification, is the date of the last recertification done for a participant who has been in the program for more than 12 months. If the participant has not yet had a recertification, leave field 17 blank until the recertification occurs.

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		<ul style="list-style-type: none"> ○ Field 33, date of participant’s signing of the application (“Certification”), is either the signing of the initial application if the participant has been in the program for less than 12 months, or the signing of the last recertification if the participant has been in the program more than 12 months. ○ Field 43, date of eligibility determination, is the date of the original eligibility determination if the participant has been in the program less than 12 months or is the date of the eligibility determination made at the last recertification. ○ Each time you do a recertification, it will be necessary to update fields 17, 33, and 43. Field 9 does not change. You update these fields by writing over the old information. At the time of recertification, you will also update other fields related to eligibility: 11; 14b or 14c; 32; 34; 35 and 36 if relevant; and 42.
Topic 22 (Revised)	Documentation	<ul style="list-style-type: none"> • Documentation is required only for items that determine eligibility and for veteran’s status. It is not required for participant characteristics, including those that relate to preferences. • If an applicant is claiming disability for purposes of income eligibility (a disabled applicant is treated as a family of one), documentation is required. Acceptable documentation would include proof of a government disability determination. If no such formal determination has been made, you may accept a doctor’s certification. If the applicant is not claiming disability for purposes of income eligibility, then disability is an EO item, and disclosure is voluntary. In that case, documentation is not required. See field 26 below. • An applicant can obtain a Social Security or Supplemental Security Income (SSI) benefit verification letter by using one of the following methods: making the request online at http://www.socialsecurity.gov/beve; calling SSA toll-free at 1-800-772-1213, or visiting a local SSA office. This last method is often the quickest. <ul style="list-style-type: none"> • If you are unable to make copies when taking an application, TEGL 13-04 permits you to document the sources that were relied on to establish eligibility. You should create a form to use for documenting income and other eligibility factors. Both the applicant and the eligibility reviewer must sign the form. Required information includes: <ol style="list-style-type: none"> 1. Name of reviewer 2. Date of review 3. Title or descriptive name of source documents 4. Other pertinent information • If an applicant is claiming status as a family of one because of disability, you must retain a copy of the appropriate medical documentation even if you do not have a copier.

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Topic 23	Documentation for ineligible applicants	<ul style="list-style-type: none"> In general, you must document eligibility information for all applicants. For ineligible applicants, documentation is especially important if the applicant is unhappy with the eligibility determination and may wish to contest it. There are circumstances, however, where an ineligible applicant readily accepts your determination and merely wishes to take advantage of other services, such as your assistance in job placement under an MOU. If there truly is no doubt about the ineligibility and you are certain that the applicant will not later decide to challenge your determination, you do not have to document the applicant's age or income, nor do you have to obtain the applicant's signature on the Participant Form. You should, however, use the comment field to explain what you have done and why. Because of the potential for misunderstanding, you should also require that the eligibility determination be made by the sub-grantee's director rather than a staff person.
Topic 24 (New)	Maintaining participant case files; access to files	<ul style="list-style-type: none"> You need not maintain all case notes in hard copy; electronic case notes are acceptable. Case managers must take detailed notes that include the date and their name. (Obviously, paper records will be required for the new data elements that are collected before they can be entered into SPARQ 2.) It is critical that the notes contain solid information and be attributable to someone for accountability. Sub-grantees should clearly understand that they must provide access to this electronic information to the grantee and to DOWP monitors. Furthermore, sub-grantees should be informed in their sub-contract agreements of their legal obligation to turn over their complete electronic records to the grantee at the time that they cease to be involved in the program or when the grantee otherwise requires them. The grantee is legally responsible for ensuring complete and accurate data collection and for the maintenance of all required documentation. As a practical matter, the local site with the most contact with the client should maintain the primary case file with all the documentation. This will typically be the sub-grantee or the sub-sub-grantee. However, there should be agreements in place so that the sub-grantees know these files will be validated and that both the grantee and DOWP have the right to view the information in the files wherever they are maintained. The procedures for ensuring that information and documentation are properly collected, stored, and made accessible must be set forth in the grant application.
Topic 25	Income when converting records of existing participants	<ul style="list-style-type: none"> You are required to enter only the 12-month or the annualized 6-month income for existing participants when you convert their records. You do not record both. You will use whichever income is more favorable, as you did when you made the last eligibility determination. Enter only the most recently used income information. See discussion of field 14 above.

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15	Family income at or below 100% of poverty level*	<ul style="list-style-type: none"> Use the federal poverty level for the applicant's family size and check the appropriate box. This information is required for the performance measures, not for eligibility (which is based on 125% of poverty level).
16 (Revised)	Formerly a participant in any SCSEP project*	<ul style="list-style-type: none"> Check "yes" if the applicant reports that he or she was ever enrolled in any SCSEP project. Re-enrollments are entirely new records. All dates are based on the conditions at the time of re-enrollment without regard to anything that occurred during the prior enrollment. The application date is the date of the application for re-enrollment, and the eligibility determination date is the date on which eligibility for re-enrollment was determined. A new Participant Form is required for each new enrollment. The data system uses Social Security number and application date to distinguish multiple enrollments by the same individual. Re-enrollment is at the discretion of the sub-grantee. Former participants do not have an automatic right to re-enroll. You should consider the circumstances of the participant's prior exit from SCSEP, e.g., whether she was terminated for cause, and whether the participant is now job ready. Former participants who have had employment since leaving SCSEP may be presumed to be job ready and thus ineligible. They should be referred to the One-Stop center.
Topic 26 (New)	Re-enrolling a participant who quit unsubsidized employment	<ul style="list-style-type: none"> See Topic 2 of the Exit Form Guide in the revised Handbook for a discussion of the right of return and re-enrollment after placement. (The right of return is limited to participants who terminate to enter unsubsidized employment, fail to achieve a placement, and return to the program within 90 days of exit. Those who do not meet all three criteria for the right of return may seek to re-enroll.) Either option may be available depending upon whether the placement failed or succeeded, when the participant attempts to re-enter the program, why the participant is now unemployed, and whether the participant is job-ready. If the participant quit her job, you will obviously want to take that into consideration in deciding whether to take the participant back into the program. If the participant quit with good cause, e.g., she was unsuited to the work or had a health problem, the participant would be entitled to exercise the right of return. Alternatively, you would be justified in exercising your discretion to permit her to re-enroll. Of course, before taking the participant back into the program, you will want to determine whether another placement would be suitable. For example, if the participant quit a job for which she lacked sufficient skill but she was otherwise job-ready, you should attempt to find her a job for which she was more suited. On the other hand, if the participant quit under conditions that would have amounted to a failure to comply with her IEP, e.g., the job was suitable but she decided that she really did not

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		<p>want to work in any job, you might let her exercise the right of return only if she agreed to cooperate in the future and you could treat the quitting as a failure to accept a job referral under the IEP. You certainly would not have to permit her to re-enroll. Re-enrollment is discretionary; a participant who has been terminated for cause or has demonstrated an unwillingness to abide by the program's rules is not entitled to a second enrollment.</p> <ul style="list-style-type: none"> • Furthermore, if the participant has worked a sufficient time to demonstrate that she is job-ready, she would no longer be eligible for re-enrollment. • If you do decide to re-enroll a participant who left unsubsidized employment, you will have to count all income earned in unsubsidized employment in the six months prior to re-enrollment.
<p>Topic 27 (New)</p>	<p>Entering re-enrollments into the data system</p>	<ul style="list-style-type: none"> • Re-enrollment requires the completion of a new Participant Form and the creation of a new record in the database. The data system will use the participant's Social Security number and application date to distinguish the original enrollment from the re-enrollment. • The current version of the DCS does not have the ability to capture new participant information at the time of re-enrollment in addition to the information already in the system. Instead, the DCS allows you to change the existing participant information if the participant's circumstances have changed since the original enrollment. When you update a field, e.g., at or below poverty level, the old information is lost. For some participant characteristics, this will not be a serious problem. Nor will there be a problem where the re-enrollment occurs in a different program year from the original enrollment. A problem does arise when the re-enrollment occurs in the same program year as the original enrollment. Updating characteristics that affect eligibility, preferences, and the performance measure for service to the most in need overwrite the data from the original enrollment, and the original enrollment data needed for the current program year are lost. • This problem will be fixed in SPARQ 2. Until then, you should not update any of the participant information in the DCS when you enter a re-enrollment. You should create the record, enter the eligibility information, and proceed with assignment, exit, and placement as you would for an initial enrollment. Retain the participant information for the re-enrollment in your case file so that you can correct the re-enrollment record in the DCS when the database changes have been made. Those grantees that use their own data systems do not have this problem. They should submit an entirely new record for each re-enrollment. • To enter a re-enrollment in the DCS, on the main page, select the participant from the list at the top of the page. The participant's name and identifying information will display in the

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		<p>middle of the page. Just below this display is the Enrollments section for this participant. All enrollments for a given participant are listed here by date of application. To enter a re-enrollment, select "ADD." This will bring you to the Participant Information screen for this participant. All of the participant's information will be displayed here except date of application. Select "Edit" and enter the date of the new application in field 9.</p> <ul style="list-style-type: none"> All of the participant's characteristics are also displayed under the first three sub-tabs for Eligibility. <u>You should not change any of this information</u> until SPARQ 2 is available. The Eligibility Determination screen, the last sub-tab, will be blank. You should enter the appropriate information here and proceed to assign the applicant if he or she is eligible.
16a (Revised)	Transferred from another project*	<ul style="list-style-type: none"> If the participant was transferred into your project from another project, check “yes” and enter the name and code of the transferring grantee. If the participant is transferred from another project, the participant will not be included in the performance measures until the participant exits from the receiving project. At that time, the participant’s outcomes will be reflected in the performance measures of both the transferring and receiving projects. The data collection system will automatically track these outcomes. The current data application does not contain a field for the code of the transferring grantee (the grantee from whom you received the participant). All grantees must begin collecting this code now, however, because you will have to enter this code into the data application when SPARQ 2 goes on line.
Topic 28 (Revised)	Transfer vs. re-enrollment	<ul style="list-style-type: none"> Transfers between grantees are done for a variety of purposes: to achieve equitable distribution; to avoid disruption of service; to simplify administration when the same host agency has participants assigned from multiple projects; and to allow national grantees to swap slots in the same or different states in order to make their operations more efficient. Transfers require the approval of the state grantee where the slots are located and DOWP. Transfers must be done by agreement of two grantees, not the unilateral action of a participant. When a participant has been transferred, the participant retains the status that he or she had at the transferring project. The participant does not have to be recertified (as long as the last eligibility check was within the last 12 months), nor is the participant subject to priority of service and preferences at the new project. A participant can always terminate from one project and seek to re-enroll in another project. However, such unilateral action requires a new application with an eligibility determination and is subject to the priority/preferences in effect at the new project at the time of application.

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		<ul style="list-style-type: none"> Typically when a participant moves from the area, the participant terminates from the first project and seeks to re-enroll in the new project. However, nothing prevents the project that the participant is leaving from contacting the new project and seeing if a transfer is possible. The new project will not be able to accept the transfer if it does not have any slots available. Furthermore, it is not obligated to accept the transfer, and it may not be willing to accept the transfer if it has higher preference applicants on its waiting list. When there has been a transfer (as opposed to an exit and a re-enrollment), the first project does not have a true exit and thus does not have an outcome that is reflected in its performance measures. The true exit occurs when the participant leaves the new project. At that time, both projects will have the outcome reflected in their QPRs. At the time of the transfer, the first project selects field 6(e) of the Exit Form and enters the name and code of the project to which the participant is transferring. The receiving project then creates a new record for the participant and indicates in field 16a of the Participant Form the name and code of the transferring grantee. (These fields are not yet available in the current release of the data application. They will be available in SPARQ 2.) When the participant exits the new project, the new project does the follow-up and the data system assigns the outcome to both projects when the data are transmitted for the QPR.
Topic 29 (New)	Transfer vs. change of sub-grantee	<ul style="list-style-type: none"> The change of a sub-grantee – whether for an entire project or for a single participant – is neither a transfer nor a re-enrollment. A transfer can only occur between grantees. A change of sub-grantees occurs within a single grantee. The current version of the DCS does not make provision for such a change. To track these changes, allow the old sub-grantee to close its records, and avoid duplicate counts in the QPR, we have added two fields to the hard copy forms: field 16b on the Participant Form for the new sub-grantee to indicate that it is inheriting the participant from the old sub-grantee; and field 6a(3) of the Exit Form for the old sub-grantee to indicate that the participant is moving to the new sub-grantee. To ensure accurate reporting at the grantee level, the new (receiving) sub-grantee must enter the entire record of the affected participant(s) into its database. This is true whether the new sub-grantee is acquiring a single participant or all the participants from the old project. There should be no change to any of these records unless the participant's situation has changed, e.g., the participant has a new address or phone number. The grantee should ensure that the old sub-grantee provides a copy of the records to the new sub-grantee. (Where the old sub-grantee is no longer participating in the SCSEP system, the old sub-grantee should give the new sub-grantee a back-up of its entire database. If the grantee is unable to obtain these records from the old sub-grantee, it may be

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		<p>possible to obtain them from Mathematica.)</p> <ul style="list-style-type: none"> • Until we can make the database changes, when only a single participant changes sub-grantee, the old sub-grantee will have to manually delete the participant's record from its database once the new sub-grantee has entered the record. On the other hand, when a new sub-grantee is taking over the entire project from the old sub-grantee, the new sub-grantee can use the sub-grantee code of the old sub-grantee, thus ensuring that the records from the old sub-grantee are replaced by the records submitted by the new sub-grantee. • For changes of sub-grantee that occur during a program year, the performance of the old sub-grantee will be merged with the performance of the new sub-grantee for all QPRs after the date of the change in sub-grantee and for the Final QPR. Although this may lead to some inaccuracy in the reported performance of the new sub-grantee for the balance of the program year, the QPR for the grantee, which is all that is used for official monitoring of performance, will be accurate. The new fields in the database will allow us, at a later time, to separate out inherited performance from performance by the new sub-grantee. In the meantime, as long as everyone understands that the QPR for the new sub-grantee includes performance by the old sub-grantee, the new sub-grantee should not be unfairly evaluated. • We will be adding the fields to the hard copy forms and to the spreadsheets for the non-DCS users before we can make the changes to the DCS database. DCS users will capture the information on the hard copy forms and will go back and data enter the information when the database changes have been made in SPARQ 2. Non-DCS users should implement the new fields as soon as they receive the revised spreadsheets. • Summary: <ol style="list-style-type: none"> 1. <i>Change of sub-grantee for a single participant.</i> <ul style="list-style-type: none"> *The new sub-grantee enters into its database the participant's entire record exactly as it was entered into the DCS by the original sub-grantee. *At that point, the original sub-grantee manually deletes the participant's record. *There is no need to notify Mathematica. 2. <i>Change in sub-grantee for an entire project.</i> <ul style="list-style-type: none"> *The grantee informs Mathematica that the new sub-grantee is taking over the sub-grantee code of an old sub-grantee. *Mathematica changes the sub-grantee name in the database registration tables and QPR. *The new sub-grantee obtains a back-up copy of the original sub-grantee's database from the grantee or Mathematica and enters all the data into its own database

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Topic 30 (New)	Moving slots	<ul style="list-style-type: none"> When you move a slot – whether for a transfer or a change of sub-grantee – you must inform DOWP so it can adjust the slot table that is used in the QPR. If the move involves a transfer, you are required to obtain DOWP's approval, as well as the approval of the state grantee where the slot was located.
Topic 31 (New)	“Orphan exiters”: follow-up for participants who exited before a sub-grantee has gone out of business	<ul style="list-style-type: none"> Whenever a change of sub-grantee occurs, there may be exited participants who are still in the follow-up period, typically 12 months after the date of exit. Since these “orphan exiters” are not active participants, the question arises as to which entity will handle their follow-up once the old sub-grantee goes out of business. You cannot transfer participants who exited from a closing sub-grantee. Once an exit has occurred for any reason, you can no longer enter a transfer into the database. You have three options for addressing this situation: <ol style="list-style-type: none"> Let the sub-grantee go out of business, ignore the orphan exiters, and lose any remaining outcome credit for exited participants. DOWP strongly discourages this option because it will negatively affect performance at the grantee and nationwide levels. Arrange for the new sub-grantee that is receiving all the active participants from the closing sub-grantee to take responsibility for the orphan exiters as well. The easiest way for this to occur is for the receiving sub-grantee to receive the entire database of the closing sub-grantee. (SPARQ 2 will facilitate the entry of the database by the receiving sub-grantee.) The receiving sub-grantee would treat the orphan exiters, like the active participants, as though they had always been enrolled with the new sub-grantee rather than the old. At the time the records are re-entered, the database registration of the old sub-grantee would be deleted. Otherwise, the state grantee would get credit twice for whatever performance measures, e.g., placement, most in need, had already occurred at the time of the change of sub-grantee. Have the grantee perform the follow up activities for the orphan exiters. The grantee would essentially take over the database of the sub-grantee that is going out of business and would update the records of only the orphan exiters. The records of the active participants would be deleted from the database of the old sub-grantee at the time they are re-entered by the new receiving sub-grantee, and the entire database for the old sub-grantee would be deregistered from SPARQ when the outcomes for the orphan exiters was final. Assign the follow-up for the orphan exiters to a sub-grantee other than the one that is

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		<p>receiving the active participants from the old sub-grantee. This sub-grantee would have to re-enter the entire records of only the orphan exiters. Again, SPARQ 2 will facilitate this administrative action. Under this option, the records of the active and orphan exiters would be deleted from the database of the old sub-grantee at the time they are re-entered by the new sub-grantees, and the entire database for the old sub-grantee would be deregistered from SPARQ at the end of the program year once all reporting for the remaining exiters was final.</p> <ul style="list-style-type: none"> When SPARQ 2 is implemented, the re-entering of records discussed above will be eliminated. Grantees and sub-grantees will be able to access the records of the sub-grantee that went out of business without reentering any data.
16b Effective July 1, 2005 (New)	Change of sub-grantee*	<ul style="list-style-type: none"> This new data element is effective July 1, 2005. If the participant has changed sub-grantee, enter here the code of the sub-grantee from which the participant has moved. Be sure to enter the code as provided to you by your grantee. This field is for changes within the same grantee only. For the transfer of a participant from one grantee to another, use field 16a. See Topics 28 and 29 above.
17 Discontinued June 30, 2005 (Revised)	Date of most recent recertification	<ul style="list-style-type: none"> Effective June 30, 2005, field 17 is replaced by new fields 44-51. The date of the most recent annual <u>recertification</u> of an existing participant is the date on which you start the recertification process. As with initial applications, there are separate dates for the participant's certification of the accuracy of the recertification information (field 33) and for the date on which you make the eligibility determination based upon the information provided at the recertification (field 43). If these events take place on the same day, all three dates may be the same. If the participant has been in the program for less than 12 months and has not yet had a recertification, leave this field blank. Do not use this date to record the date of the original eligibility determination. That is captured in field 43, "Date of eligibility determination." At the time of recertification, fields 11, 14b or 14c, 17, 32, 33, 34, 35 and 36 (if relevant), 42, and 43 will have to be updated. You do not create a new record for a recertification in the data application, and it is not necessary to fill out a complete Participant Form. You should merely complete the fields listed above and obtain the participant's certification. If the participant is no longer income eligible, you will then proceed to exit the participant using the Exit Form. Do not update any other data elements that identify participant characteristics but do not

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		<p>impact eligibility, like fields 12 and 15, as well as fields 18-30. Many of these characteristics are part of the performance measure for most in need. Like age, these characteristics are defined at the time of eligibility determination. In contrast, a few data elements that deal with services, like field 40, should be updated whenever something new occurs. You should also update the participant's address and phone number whenever those change.</p> <ul style="list-style-type: none"> • A recertification must be done at least every 12 months and is valid for 12 months. If a grandfathered participant is recertified during PY 2004, the old rules contained in OWB 95-05 apply. See Topic 19 above. The recertification is valid for 12 months even if the participant is recertified twice in PY 2004. (For example, you might recertify on the participant's anniversary date and then decide later in the program year to recertify all participants on the same date.)
17 Effective July 1, 2005 (New)	Date of last physical	<ul style="list-style-type: none"> • This new data element is effective July 1, 2005. • Enter in this field the date of the last physical the participant received or the date on which the participant waived the physical. • If the participant has not yet had a physical, leave this field blank. • This field is solely for case management purposes.
17 Effective July 1, 2005 (New)	Date of last IEP	<ul style="list-style-type: none"> • This new data element is effective July 1, 2005. • Enter in this field the date of the participant's last IEP. • If the participant has not yet had an IEP, leave this field blank. • This field is solely for case management purposes. • IEPs must be conducted at least twice in each 12-month period and more often if the circumstances warrant. If there are no changes in the participant's circumstances, grantees are free to determine when, within the 12-month period, IEPs must be revised.
Topic 32 (New)	Revision to IEP; failure of participant to cooperate	<ul style="list-style-type: none"> • The IEP is the responsibility of the sub-grantee. Section 641.535(a)(2) and (3) sets forth the requirement for conducting the assessment of the participant and updating the IEP. The participant should participate in the drafting of the IEP and agree to it, but you cannot compel the participant to sign the document. • If the participant fails to participate in the development or carrying out of the IEP or refuses to accept provisions that are required by the rules, e.g., the requirement to move grandfathered participants who are working part-time to self-sufficiency and unsubsidized employment, you may terminate the participant for failure to cooperate with the IEP process.

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Topic 33 (Revised)	Equal Opportunity (EO) information	<ul style="list-style-type: none"> Applicants must be informed that EO information – gender, ethnicity, race, and disability – is voluntary and that the refusal to provide it will have no effect on any decision to provide services to them. EO information must be requested from all applicants regardless of their eligibility.
Topic 34	Coding on forms and QPR	<ul style="list-style-type: none"> The coding for many of the data elements, including most of the EO and demographic items, was prescribed by ETA as part of the Standardized Individual Record (SIR) initiative. The coding is what SCSEP must use to report to ETA. Grantees using their own systems can use any coding they want on their own forms as long as they submit the data in the proper format. The QPR does not contain codes. It reports information in various categories, most of which are broader than the individual data elements on the forms. In some cases, data elements from the forms are combined and calculations made to produce the item reported in the QPR.
18	Gender*	<ul style="list-style-type: none"> Gender, like all other EO information, is voluntary and is self-reported.
19	Ethnicity*	<ul style="list-style-type: none"> Record “yes” if the individual is a person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race. Applicants must be informed that this information is voluntary and that the refusal to provide it will have no effect on any decision to provide services to them. Previously, ethnicity and race were often combined. This is no longer allowable. The question about ethnicity must be asked before the question on race.
20	Race*	<ul style="list-style-type: none"> Check the appropriate box(es). More than one box may be checked for a single participant: <ul style="list-style-type: none"> American Indian/Alaskan Native A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment. Asian A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam. Black/African American A person having origins in any of the black racial groups of Africa. Native Hawaiian/Pacific Islander

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		<p>A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.</p> <ul style="list-style-type: none"> ○ White <p>A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.</p> <ul style="list-style-type: none"> ○ Did not voluntarily report <p>Use this field for an applicant who did not select any of the above racial categories.</p> <ul style="list-style-type: none"> ● Applicants must be informed that this information is voluntary and that the refusal to provide it will have no effect on any decision to provide services to them.
21	Education	<ul style="list-style-type: none"> ● Enter the appropriate code that corresponds with the participant's highest level of education. Enter only one code for each participant. For those with 1-11 years of school, <u>enter the single number that corresponds to the highest grade completed</u>. For example, for someone who has completed the tenth grade, enter 10. ● Codes 13 to 15 include college or full-time technical or vocational school. Codes 13 to 15 should not be used for individuals who are not high school graduates or do not have a GED. <u>Enter the single number that corresponds to the number of years of college completed</u>. For example, 14 = two years of college completed. ● Note: Individuals who completed 12th grade but did not receive a diploma or equivalent should be coded A11.
22 (Revised)	Limited English Proficiency (LEP)	<ul style="list-style-type: none"> ● Check "yes" if the participant cannot speak or read English well enough to fully participate in all aspects of the program. ● An LEP individual is one who has limited ability in speaking, reading, writing or understanding the English language and (a) whose native language is a language other than English or (b) who lives in a family or community environment where a language other than English is the dominant language. If you are in doubt, ask the participant. ● Sub-grantees should use this information to provide language assistance to the participant. It may also be used to send the participant a survey in his or her primary language.

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23	If LEP, please specify primary language	<ul style="list-style-type: none"> • If the participant is identified as LEP, it is necessary to specify the participant's primary language. This can be determined by asking the participant what language is primarily spoken at home or what language the participant primarily speaks with friends and family. • If the participant's language is not on the list, select "other" and record the language. If the participant speaks a dialect of a listed language, use the comments field to record the dialect.
24 (Revised)	Literacy skills deficient	<ul style="list-style-type: none"> • Check "yes" if the participant computes or solves problems, reads, writes, or speaks English at or below the 8th grade level or is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job, in the individual's family, or in society. • Asking the participant about literacy is likely to embarrass the participant and is unlikely to produce accurate information. As part of the IEP, you may wish to test all participants who have less than some college. Standard tests include Test of Adult Basic Education (TABE), Adult Basic Learning Exam (ABLE), and Test of Applied Literacy Skills (TALS). Your local One-Stop center can administer any of these tests for you. You should not design your own test.
25 (Revised)	Veteran (or qualified spouse of veteran)	<ul style="list-style-type: none"> • Enter 1 if the individual is a person who served in the active U.S. military, naval, or air service for a period of less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable. Do not use this code for an applicant who qualifies under Code 2B or 2C below regardless of the applicant's length of service. • Enter 2 if the individual: <ul style="list-style-type: none"> A) served on active duty for a period of more than 180 days and was discharged or released with other than a dishonorable discharge, OR B) was discharged or released because of a service connected disability, OR C) as a member of a reserve component under an order to active duty pursuant to section 167 (a), (d), or, (g), 673 (a) of Title 10, U.S.C., served on active duty during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged or released from such duty with other than a dishonorable discharge • Enter 3 if the individual is a person who is (a) the spouse of any person who died on active duty or of a service-connected disability, (b) the spouse of any member of the Armed Forces serving on active duty who at the time of application for assistance under this part, is listed, pursuant to 38 U.S.C 101 and the regulations issued thereunder, by the Secretary concerned, in one or more of the following categories and has been so listed for more than 90 days: (i) missing in action; (ii) captured in the line of duty by a hostile force; or (iii) forcibly detained or

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		<p>interned in the line of duty by a foreign government or power; or (c) the spouse of any person who has a total disability permanent in nature resulting from a service-connected disability or the spouse of a veteran who died while a disability so evaluated was in existence.</p> <ul style="list-style-type: none"> • Enter 4 if the individual does not meet any of the conditions described above. • Documentation is required. The Defense Department issues a DD-214, identifying the veteran's condition of discharge – honorable, general, other than honorable, dishonorable or bad conduct – and the dates of service. See http://usgovinfo.about.com/bldd214.htm for information. If there is a delay in obtaining the DD-214, you can accept the applicant's statement, coupled with a military ID card or VA ID card, and enroll the applicant pending receipt of the DD-214. The state Veterans Affairs office may assist in obtaining the DD-214. • Veterans discharged prior to 1950 received predecessor forms that were similar to the DD-214. If a pre-1950 veteran does not possess a predecessor form, it is possible to obtain it from the centralized repository of military records in St Louis, Missouri. However, the delay in obtaining such records is so significant that DOWP and ETA will accept self-attestation in these cases.
26	Disability*	<ul style="list-style-type: none"> • Section 101(8) of the OAA defines “disability” as: a condition attributable to mental or physical impairment, or a combination of mental and physical impairments, that results in substantial functional limitations in one or more of the following areas of major life activity: (A) self-care, (B) receptive and expressive language, (C) learning, (D) mobility, (E) self-direction, (F) capacity for independent living, (G) economic self-sufficiency, (H) cognitive functioning, and (I) emotional adjustment. • Check “yes” if the participant has such an impairment, has a record of such an impairment, or is regarded as having such an impairment. • Applicants must be informed that this information is voluntary and that the refusal to provide it will have no effect on any decision to provide services to them.
Topic 35 (New)	Disabled applicants who cannot take advantage of the program	<ul style="list-style-type: none"> • The preamble to the regulations at Section 641.520 makes it clear that you are not required to enroll an applicant “who cannot take advantage of the available service.” However, care should be taken in determining an applicant ineligible on the basis of physical or mental disability. As the recipient of federal funds, SCSEP grantees and sub-grantees are subject to the anti-discrimination provisions of Section 504 of the Rehabilitation Act. (State grantees are also covered by Title II of the ADA.) In addition, applicants with physical or mental disabilities are part of the target population for SCSEP and are entitled to preference in enrollment. Community service is designed to take applicants with barriers to employment and make them job ready.

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		<p>This may take more time for some participants than for others.</p> <ul style="list-style-type: none"> • Grantees should have written policies describing their enrollment policies. These policies should give due weight to the statutory preferences and priorities and should reflect grantees' obligation under Section 504 to make reasonable efforts to find host agency assignments that accommodate qualified individuals with physical or mental disabilities. • Medical documentation from a qualified source is needed where the sole reason for not enrolling an otherwise eligible individual is the applicant's disability. The documentation would have to show that the person's participation could potentially cause harm to him or herself or to others, or that the person was incapable of participating in the program. Essentially, the grantee is making a determination that the eligible individual is not a qualified person with a disability with respect to participation in the program. Because SCSEP's emphasis is to serve those most in need, a decision not to enroll a disabled person will be difficult to sustain. • If an applicant has such severe physical or mental limitations, as documented by competent medical opinion, that you cannot find any suitable host agency assignment, you would be entitled to determine the applicant ineligible. As an alternative, however, under these limited circumstances (see Topic 9 of the Community Service Assignment Form Guide), you could assign the individual to a trial assignment at the project office while you did a full assessment of the participant's needs and limitations and conducted an intensive search for a suitable host agency that could accommodate the participant's disability. If you ultimately determined that there were no suitable host agencies and that the participant could not be served by the program, you could terminate the participant. You will need detailed documentation of performance during the trial period to support your action.
27	Cultural, social, or geographical isolation	<ul style="list-style-type: none"> • Check "yes" if the participant's ability to perform normal daily tasks or capacity to live independently is hindered by cultural, social, or geographical isolation, including isolation caused by racial or ethnic status. • Cultural, social, or geographic isolation is not a matter of objective criteria alone. In fact, someone can live in a house many miles out of town and away from any other neighbors without being isolated. Isolation is based on the individual's perception and is associated with loneliness, sadness, and other forms of emotional distress. Isolation often comes about as the result of the loss of a spouse or other significant family member or loss of a job, among other precipitating life events. • This assessment is probably best conducted as part of the IEP.

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28	Displaced homemaker	<ul style="list-style-type: none"> A displaced homemaker is an individual who has been providing unpaid services to family members in the home and who: (1) has been dependent on the income of another family member but is no longer supported by that income; and (2) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.
29	Other social barriers	<ul style="list-style-type: none"> Enter in this field a brief description of any other social barriers the participant may have that would lead to the participant's being considered in greatest social need. These barriers may include addiction, prior felony conviction, transgender, personal hygiene issues, and certain phobias. These and other personal circumstances may keep someone from easily connecting with others or may present barriers to employment. Do not use this field to record social barriers that have been identified elsewhere on the Participant Form, e.g., fields 30, 28, 27, 24.
30	Poor employment history or prospects	<ul style="list-style-type: none"> Check "yes" if the participant's employment prospects are poor. Poor employment prospects means the likelihood that an individual will not obtain employment without the assistance of SCSEP or any other workforce development program. Persons with poor employment prospects include, but are not limited to, those without a substantial employment history; basic skills and/or English-language deficiency; displaced homemakers; school dropouts; persons with disabilities, including disabled veterans; homeless individuals; and individuals residing in socially and economically isolated rural or urban areas where employment opportunities are limited. Some but not all of these characteristics are captured on the application form. If relevant, you will have to ask the applicant about other characteristics that might fit the definition of poor employment history or prospects. This may best be done as part of the IEP.
31	Personal characteristics comments	<ul style="list-style-type: none"> Use this field to enter any relevant comments on the application. You will be able to enter 1000 characters (about 160 words) into the database. You may enter into this field additional contact information such as cell phone number, e-mail address, or an emergency contact person.
32 (Revised)	Signature of applicant*	<ul style="list-style-type: none"> Make sure the applicant reads and understands the certification. Intentional falsification of eligibility information requires immediate removal from the program. The applicant's signature appears on the hard copy form only. It must be retained in the file. Under the circumstances described in Topic 23 above, you do not have to obtain a signature from an ineligible applicant who you are sure will not contest your eligibility determination.

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Topic 36	Signature of existing participants on certification when converting records	<ul style="list-style-type: none"> An applicant is required to sign the form to certify to the accuracy of the eligibility information. The new Participant Form does not collect any eligibility information that is different from the eligibility information that was obtained when the participant was last determined eligible. Therefore, as long as you have an intake form signed by an existing participant, it is not necessary to have the participant sign the new form when you obtain the additional information that is required for the data system. However, a signature will be required when you conduct a recertification of an existing participant whose record you have converted.
33 (Revised)	Date of signing*	<ul style="list-style-type: none"> Enter the date on which the applicant signed the certification of the accuracy of the eligibility information. At the time of recertification, enter the date on which the participant signed the certification of the accuracy of the information.
34	Eligibility determination*	<ul style="list-style-type: none"> Check the appropriate box to indicate whether the applicant is eligible or ineligible. This field must be updated at the time of recertification. Sub-grantees and local projects are required to take applications from any individual who indicates a desire to apply, even if they believe the individual is ineligible. Sub-grantees and local projects need not take applications from individuals who merely inquire about the eligibility requirements of the program. The regulations provide that an individual who is determined ineligible has the right to appeal that determination. If the determination is not made formally and documented in an application, the right of appeal may be meaningless.
Topic 37 (Revised)	Why must applicants be unemployed at time of eligibility determination?	<ul style="list-style-type: none"> The requirement that applicants be unemployed is contained in both the statute and the regulations: § 641.120 What are the purposes of the SCSEP? The purposes of the SCSEP are to foster and promote useful part-time opportunities in community service activities for unemployed low-income persons who are 55 years of age or older and who have poor employment prospects; to foster individual economic self-sufficiency; and to increase the number of older persons who may enjoy the benefits of unsubsidized employment in both the public and private sectors. The preamble to the regulations at § 641.120 makes it clear that the Department does not have the authority to expand upon the statutory purposes and permit the enrollment of

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		<p>individuals who are underemployed, as opposed to unemployed. Employed participants who were enrolled prior to July 1, 2004, have been grandfathered and should be assisted to find unsubsidized employment that will allow them to be self-sufficient.</p> <ul style="list-style-type: none"> • In addition, employed and recently laid off applicants are presumed to be job ready and thus ineligible for SCSEP. SCSEP is solely for those applicants who need community service in order to become job-ready. Job-ready applicants should be referred to the One-Stop center.
<p>Topic 38 (New)</p>	<p>What constitutes employment?</p>	<ul style="list-style-type: none"> • The no-employment rule does not apply to casual, non-recurring labor for which a participant may be compensated. For example, if a participant occasionally shovels a neighbor's sidewalk or occasionally baby-sits for a friend's child and receives payment, that would not constitute disqualifying employment unless the participant were regularly engaged in the business of snow removal or providing child care. • Furthermore, even for regularly performed labor, such as maintenance of an apartment complex in exchange for free rent, as long as the applicant receives no cash for the work, the arrangement does not constitute employment for purposes of SCSEP eligibility. If the applicant becomes a participant, he may continue this arrangement while enrolled, assuming it does not interfere with his community service or job search activity. In addition, the in-kind payment he receives (the value of his rent) is not considered includable income under TEGL 13-04. • On the other hand, the receipt of a "stipend" from a non-profit organization for performing regular duties in a social services program is employment and the "stipend" constitutes wages. Calling wages a stipend does not change their nature; nor does it matter that the work is performed for a non-profit or government organization. While participation in a job training program is not employment and the wages received are not includable income, regular employment by a social service program renders an applicant employed and thus ineligible. • Participation in the Foster Grandparent Program (FGP), the Senior Companion Program (SCP), the Senior Demonstration Programs (SDP), and the Retired and Senior Volunteer Program (RSVP) is not considered employment. These programs are all funded by the Senior Corp of the Corporation for National and Community Services. The authorizing legislation, the Domestic Volunteer Service Act, establishes these programs and VISTA as volunteer service, not employment, and further provides that the stipend paid to participants in these programs should not be considered income from employment. Therefore, you do not consider participants in these programs to be employed and you do not include any stipend paid by these programs when determining income for purposes of SCSEP eligibility.

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Topic 39	Participants who are working part-time while enrolled	<ul style="list-style-type: none"> • Participants must be unemployed at the time of enrollment. If they become employed, either full-time or part-time, while enrolled, they must exit the program. You should make sure that all participants are aware of this requirement. • If you discover that a participant who enrolled prior to July 1, 2004, has been working part-time, you must make every effort to place the individual in unsubsidized employment, either with the existing part-time employer or with a new employer. As a general rule, participants who enrolled prior to July 1, 2004, have until July 1, 2005, to resolve the issue of employment while enrolled in SCSEP. Generally, a participant who is working part-time should be considered job-ready and should be assisted to increase the hours of unsubsidized employment to a level where the participant can be self-supporting without SCSEP wages. Alternatively, the participant should be assisted in finding a full-time job. The PY 2004 IEP should be modified to reflect the goal of self-sufficiency by the end of the program year. Failure to comply with the IEP could be grounds for termination unless the failure was beyond the control of the participant. • If, despite the participant's part-time job, the participant is not job-ready, e.g., the job was an accommodation from a friend or relative, or the hours and duties were too minimal to indicate an ability to work at a level of self-sufficiency, the participant may have beyond July 1, 2005, to resolve the employment issue. In this case, however, the IEP should include the steps necessary to make the participant job-ready. Only in rare cases should the participant have to quit the part-time job to remain in the program. Before taking this step, you should consult with your federal project officer. • All new participants who enter the program on or after July 1, 2004, must inform you when they accept employment, either full-time or part-time, so that you can exit them. If you discover that a new participant is working while enrolled, you must immediately take steps to exit the individual and claim a placement. If the individual refuses to cooperate in the placement, you must issue a 30-day letter of termination.
Topic 40 (New)	Exiting participants who start employment while enrolled	<ul style="list-style-type: none"> • The rules regarding employment of participants are clear: No participant may begin a job on or after July 1, 2004, while enrolled in SCSEP. A participant who does so must be exited for unsubsidized employment. Grantees' rules and procedures should explicitly spell out this eligibility requirement, and all participants, including grandfathered participants, should have been informed in writing. (Only those grandfathered participants who were working prior to July 1, 2004, are exempt from the requirement.) When you are informed that a participant has commenced or is about to commence unsubsidized employment, you should follow your normal

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		<p>procedures to exit the participant. Normally, the last day in the program would be the day before unsubsidized employment commences. If you learn of the employment after it has commenced, you must immediately exit the participant.</p> <ul style="list-style-type: none"> You complete an unsubsidized employment form for the participant regardless of how or when you learned of the employment. The start work date (field 14 of the UE Form) must be after the date of exit from the program. (By definition, unsubsidized employment for purposes of SCSEP placement can only exist after the participant has left the program.) In cases where you learn of the employment after it has commenced, the start work date must be the day after exit, not the actual date on which the participant began the employment.
Topic 41	Can participants work limited part-time hours while they move transition to employment?	<ul style="list-style-type: none"> Participants enrolled on or after July 1, 2004, may not work any hours at all in unsubsidized employment (except for occasional and casual employment, such as shoveling a neighbor's sidewalk) while they are enrolled in the program. You may, however, use the OJE to structure a transition to unsubsidized employment. See Topic 19 of the Community Service Assignment Form.
Topic 42	Is employment treated consistently in all data elements of the Participant Form?	<ul style="list-style-type: none"> There are many similar terms in the SCSEP forms that are used differently for different purposes. The key is understanding why an element is in the forms and how it will be used for reporting. The use of "employed" and "unemployed" is a good example. The SCSEP eligibility rule requires that the applicant be unemployed when you make the eligibility determination, regardless of the participant's employment status before that time. The Common Measure "employed prior to participation" looks at the participant's status in the seven days prior to participation. A participant unemployed on the day of the eligibility determination may have been employed at some point in the seven days prior to participation. Similarly, a displaced homemaker must have been unemployed or underemployed prior to enrollment. An underemployed displaced homemaker could lose her job and then be eligible for SCSEP because she is unemployed at the time of eligibility determination.
35	If ineligible, reason	<ul style="list-style-type: none"> If the applicant is ineligible, you must check the appropriate box or boxes to indicate why. This field must be updated at the time of recertification if the participant is no longer eligible. If the applicant is employed at the time of the eligibility determination, check "other" and enter "employed." You may also use the comment section in field 41 to enter additional information.

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36	If ineligible, action taken	<ul style="list-style-type: none"> If the applicant is ineligible, you must check the appropriate box(es) to indicate what, if any, action was taken on behalf of the applicant. If “other” is checked, specify the action. If no action was taken, check “none.” This field must be updated at the time of recertification if the participant is no longer eligible. Sub-grantees may not conduct placement activity for ineligible applicants unless the placement is done as a One-Stop partner pursuant to an MOU. They may, however, refer ineligible applicants to the One-Stop or to other appropriate service providers without limitation. Such activity on behalf of ineligible applicants may be conducted by permanent sub-grantee staff or by participants assigned to the sub-grantee’s office.
37 (Revised)	Placed on waiting list	<ul style="list-style-type: none"> If the applicant is eligible but there were no authorized positions available or there were no suitable community assignments available, check “yes.” If a community service assignment is available but administrative processing causes a delay of 14 days or less, check “no.” When converting the records of existing participants, always check “no” even though the participant may have been on your own waiting list prior to assignment. Once you have coded your answer to this question, do not change it. When you assign someone who is on the waiting list to community service, you create an assignment for the individual just as you would for any other eligible applicant. Do not change the answer to “no.” If you change the indicator, there will be no way to tell how many participants have been placed on the waiting list. If you want to see how many applicants are currently on the waiting list, you can use Waiting List management report. It will only display those individuals who have not been assigned to community service as of the date the report is run. If an applicant on the waiting list decides not to continue waiting for an assignment, you close your record by checking box 6k on the Exit Form. Again, you do not change the waiting list indicator to “no” when the applicant withdraws.
Topic 43	Recognition for placement of individuals who are on waiting list	<ul style="list-style-type: none"> There is currently no direct way to be recognized for placing an individual who is on the waiting list. The data system currently has no way to record such activity. It only counts placements of ineligibles and participants. A person on the waiting list is neither. In general, you should not be putting job-ready applicants on the waiting list. If the applicant is capable of obtaining unsubsidized employment without a community service assignment, you should be referring the applicant to the one-stop. You can also do placement of such applicants yourself if it is done pursuant to an MOU. In that case, you would determine the

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		<p>applicant ineligible in field 34 of the Participant Form; check box (e) in field 35, "Other," and indicate in the space that the applicant was job-ready; and check box (d) in field 36 to record the placement pursuant to MOU. The QPR recognizes placement of non-SCSEP-eligible participants in Section B.</p> <ul style="list-style-type: none"> If you put someone on the waiting list without realizing that the person was job-ready and you subsequently assisted this person in obtaining employment before an assignment became available, you could modify the person's record by removing the individual from the waiting list and determining the individual ineligible. You could then follow the steps above to get recognition for the placement. In that case, you should use the comments field to document what you have done and why. Of course, this recognition would appear only in Section B of the QPR and would not be reflected in your placement rate, which is reported in Section E of the QPR. Such modifications should be rare.
38	Community service assignment	<ul style="list-style-type: none"> No applicant can receive SCSEP services or wages until assigned to community service. (The applicant need not actually begin the community service assignment before receiving services such as training or orientation but must be assigned to a bona fide position.) When the applicant is assigned to community service, you must complete a Community Service Assignment Form. At that time, the applicant becomes a participant. For users of the data application, it will be necessary to close out of the Participant Form and add a Community Service Assignment to start this process.
Topic 44 (New)	Are participants employees of the sub-grantee?	<ul style="list-style-type: none"> Whether participants are considered employees of the sub-grantee or the host agency is a matter of state law. The regulations provide that participants are not federal employees but do not take a position on whether they might be considered employees of some other entity. You may wish to consult with the appropriate state authorities, such as the attorney general or the Department of Labor.
Topic 45 (New)	Are participants entitled to unemployment compensation benefits?	<ul style="list-style-type: none"> Section 641.565(b)(4) of the SCSEP regulations provides that grantees may not pay the cost of unemployment insurance for participants <u>unless required by law</u>. Federal law, Section 3309(b)(5) of FUTA, excludes from mandatory UI coverage any service "as part of an unemployment work-relief or work-training program assisted or financed in whole or in part by any Federal agency or an agency of a State or political subdivision thereof, by an individual receiving such work relief or work training." SCSEP qualifies for this exemption. However, states are free to extend coverage to such programs and a few states do so. If your state is

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		<p>among them, the regulation permits you to use SCSEP funds to meet your UI tax obligation.</p> <ul style="list-style-type: none"> • There are two separate issues regarding UI benefits for participants. Former participants who are collecting UI benefits may or may not be receiving benefits based upon their participation in SCSEP. Depending upon when they last worked in covered employment and when they were enrolled in SCSEP, their UI benefits may be based on their prior employment and not on their SCSEP participation. Current participants collecting UI are probably collecting on the basis of prior employment, not current SCSEP enrollment. Federal law provides that a UI claimant who is otherwise eligible for benefits cannot be denied benefits because he or she is currently enrolled in a job training program. • You should contact your state UI agency to learn what the law is in your state and which wage credits were used to establish UI claims for SCSEP participants. If the wage credits came from prior employment, you have no tax liability. If the wage credits came from SCSEP participation, then you should discuss with the UI officials whether there is a basis under state law for exempting participants from coverage because they are trainees under a job training program and not employees. (You may also wish to confer with other state and national sub-grantees in your state. UI determinations are often inconsistent, especially for issues that seldom occur. Another sub-grantee may have gotten a different result.) You have the right to appeal any adverse determination made by the UI agency. If you are ultimately unsuccessful, you should discuss with the UI officials the options you have as a non-profit organization to minimize your tax burden. • You can use this link to find the UI agency for your state: http://workforcesecurity.doleta.gov/map.asp • There is one final issue. If participants had recent work in an employment relationship prior to applying for SCSEP, they may well have been job ready. Job ready applicants are not eligible for SCSEP and should be referred to the One-Stop center. If job-ready participants were enrolled, their IEPs should reflect the goal of unsubsidized employment as soon as possible.
Topic 46	Permissible activities prior to assignment	<ul style="list-style-type: none"> • Only eligible applicants who have been assigned to an authorized community service position may receive any SCSEP services. At the point of assignment, the applicant becomes a participant; may receive services such as orientation, an IEP, and training; and may be paid wages. The date of participation for the Common Measures is the date of assignment. Note that the participant is not required to physically commence the assignment with the host agency prior to receiving SCSEP services. The Community Service Assignment Form has two dates, one for the date of initial assignment and one for the date on which the participant actually commences

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		<p>the assignment.</p> <ul style="list-style-type: none"> Obviously, sub-grantees must assess applicants' work histories, aptitudes, abilities, and interests in order to make an effective assignment. This determination of suitability for assignment is part of the intake and eligibility process and does not conflict with the regulations. Moreover, in many situations, it may be necessary for the sub-grantee, as part of the intake process, to do a more complete assessment of certain characteristics, such as illiteracy, social isolation, or other social barriers, that determine preferences for service before determining whether to provide service to an applicant. Sub-grantees are authorized to do as complete an assessment as necessary to determine preferences for service and make an appropriate assignment. However, the participant may not be paid for taking part in this assessment, and the process should stop short of the formal drafting of an IEP. The assessment of suitability and determination of characteristics may form the foundation for the formal IEP that takes place after the assignment (and at which time the participant may be paid). For many participants, the assessment and assignment process will not be extended or complicated. In such cases, nothing prohibits a sub-grantee from conducting an assessment, completing the formal IEP, and assigning a participant to a community service position in one sitting all on the same day. Since the date of the assignment in the data system and the date on the assessment instrument and IEP will be the same, there would be no violation of the regulation. The point of the regulation is that only those individuals who are in need of and who actually receive a community service position are entitled to other SCSEP services. It is not permissible to assign an applicant to the sub-grantees' project office as a placeholder in order to pay the applicant wages and conduct a formal assessment prior to assigning the applicant to his or her real community service position. Applicants can be assigned to the project office only when there is a bona fide community service position available and the applicant will be performing legitimate work at the project office. On the other hand, as long as the original assignment was made in good faith, nothing prohibits a sub-grantee from changing a participant's initial community service assignment if a more complete assessment or the formal IEP reveals that the initial assignment was not optimal.
39 (Revised)	Grantee name*	<ul style="list-style-type: none"> Enter the name and code of the grantee for the position to which this applicant is being assigned. This is required even if the sub-grantee only has authorized positions under one grant. For users of the data application, the grantee name and code and sub-grantee name and code are first entered into the Grantee Data tab under Manage Utility Data on the main page. They are then available in a drop-down menu in the Enrollments tab. The names and codes entered

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		<p>into the system must be those assigned by Mathematica.</p> <ul style="list-style-type: none"> • This field is required for all records, even if the application is incomplete or the applicant is ineligible. SPARQ will not accept a data file if the grantee/sub-grantee relationship is missing or incorrect. If you are a sub-grantee for two grantees, you will have to choose which grantee to “credit” for an ineligible applicant. You can do this randomly or in proportion to the number of slots you have for each grantee.
40	Co-enrollment	<ul style="list-style-type: none"> • Check the appropriate box(es) to indicate any co-enrollment of the participant. Co-enrollment applies to any individual who meets the requirements for SCSEP participation, as well as the requirements for any other relevant program identified in the Individual Employment Plan, and is enrolled in both the SCSEP and another relevant program, including the Section 502(e) program. If “other” is checked, specify the name of the additional entity or entities with which the participant is enrolled. If there is no co-enrollment, check “none.” • If the participant is co-enrolled with the Section 502(e) program, indicate whether the Section 502(e) program is administered by this grantee or a different grantee. If a different grantee, give the name and code of the grantee. This information is necessary to properly credit placements of Section 502(e) participants. • This field should be updated whenever there is a change in enrollment status. Do not indicate a co-enrollment until it actually occurs. Do not delete any co-enrollment when that co-enrollment ceases. • SCSEP co-enrollments, whether they are with WIA, the Employment Service, or any other entity, do not require documentation. You can accept the participant's self-report or you can call the one-stop. It's a good idea to use the comment field to record the source of the information, however.
Topic 47 (New)	WIA and SCSEP	<ul style="list-style-type: none"> • Co-enrollment with WIA is strongly encouraged. Registration in WIA core or intensive services should in no way suggest by itself that an applicant is not suitable for SCSEP. The SCSEP regulations facilitate co-enrollment in a number of ways. For example, Section 641.220 says that participants assigned to community service can receive wages while participating in WIA intensive services or training; Section 641.230 says that WIA and SCSEP IEPs are entitled to reciprocity; and Section 641.240 provides that SCSEP participants may be deemed automatically eligible for WIA intensive or training services. On the other hand, if an applicant is job-ready and does not need community service, then the applicant should be referred to WIA for job search assistance and placement.

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		<ul style="list-style-type: none"> There are a number of resources regarding coordination with WIA in addition to the regulations cited above. At the regulations training last spring, there was a presentation on this topic, and all grantees received copies of the materials. In addition, the Older Worker web site contains the following tools under Technical Assistance, and then Technical Assistance Guides: <i>Assessing Workforce Development Systems</i> <i>Implications and Opportunities in the WIA for the SCSEP</i> <i>One-Stop Training Curriculum for Older Worker Specialist</i> <i>Resource Sharing for Workforce Investment Act One Stop Centers</i> <i>Using the Workforce Investment Act to Serve Mature and Older Workers</i> <i>Protocol for Serving Older Workers</i>
41	Enrollment comments	<ul style="list-style-type: none"> Enter here any comments regarding the applicant's status on the waiting list or assignment to community service. You will be able to enter 1000 characters (about 160 words) into the database.
42	Signature*	<ul style="list-style-type: none"> The authorized individual who made the eligibility determination must sign here, and the signature must be retained in the case file. This field must be updated at the time of recertification.
43	Date of eligibility determination*	<ul style="list-style-type: none"> Enter here the date on which the authorized individual made the eligibility determination. This field must be updated at the time of recertification with the date on which the sub-grantee made the determination of eligibility based upon the information provided at the recertification.
Form Heading 4 Effective July 1, 2005 (New)	Recertification	<ul style="list-style-type: none"> This new section is effective July 1, 2005. Existing field 17 is replaced by new fields 44-51. You must enter all information regarding a recertification in this section of the Participant Form. You no longer write over any prior fields in the form. You do write over the information in fields 44-51 each time you do a new recertification. SPARQ will only carry information about the latest recertification. You may update the participant's mailing address, telephone number, and residence at any time. You do not update any participant characteristics at the time of a recertification. Elements that affect the most in need measure, like at or below poverty level, homeless, displaced homemaker, remain fixed at the time of initial application. You do not update them at recertification or at any other time. If the participant is newly enrolled and has not yet had a recertification, leave the fields in this section blank. SCSEP requires that participants be recertified at least every 12 months, not annually.

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		Programs are free to recertify on the participants' anniversary dates or to recertify all participants at the same time each year. If your program requires that all participants be recertified at a specific time, you would have to recertify new participants as well. Otherwise, they would go more than 12 months between the time of enrollment and their first recertification.
44 Effective July 1, 2005 (New)	Number in family	<ul style="list-style-type: none"> This new field is effective July 1, 2005. Enter the number of individuals in the applicant's family. Use the same instructions as for field 11. A "family" is defined in TEGL 13-04 as husband, wife, and dependent children; parent or guardian and dependent children; or husband and wife. (If the applicant is claimed as a dependant on someone else's tax return, you must use the broader CPS definition of family. See Topic 9 above.) Count only current family members. Do not include deceased or separated spouses. In addition, consistent with 20 CFR 641.500, a person with a disability may be treated as a 'family of one' for income eligibility determination purposes." Documentation is required.
45 Effective July 1, 2005 (New)	Total includable family income for last six months, annualized	<ul style="list-style-type: none"> This new field is effective July 1, 2005. Enter the six-month annualized family income. Use the same instructions as for new field 14. <u>Family</u> income is used to establish eligibility. It includes the income of current family members identified in field 11 above. Sub-grantees may use any income worksheet they wish for capturing and calculating income. Although the worksheet is not part of the database, the worksheet must be retained in the file for all applicants.
46 Effective July 1, 2005 (New)	Signature of participant on recertification	<ul style="list-style-type: none"> This new field is effective July 1, 2005. Make sure the applicant reads and understands the certification. Intentional falsification of eligibility information requires immediate removal from the program. The applicant's signature appears on the hard copy form only. It must be retained in the file.
47 Effective July 1, 2005 (New)	Eligibility determination	<ul style="list-style-type: none"> This new field is effective July 1, 2005. Check the appropriate box to indicate whether the participant remains eligible based upon the information obtained during the recertification process.

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48 Effective July 1, 2005 (New)	If ineligible, reason	<ul style="list-style-type: none"> This new field is effective July 1, 2005. If the applicant is ineligible, you must check the appropriate box or boxes to indicate the reason(s). You will also need to complete an Exit Form and indicate the appropriate reason for exit in field 6. If the participant has moved out of state since the last certification, you are expected to have an cross-state agreement in effect to permit continued eligibility.
49 Effective July 1, 2005 (New)	Signature of director or authorized representative on recertification	<ul style="list-style-type: none"> This new field is effective July 1, 2005. The authorized individual who made the eligibility determination must sign here, and the signature must be retained in the case file.
50 Effective July 1, 2005 (New)	Date of recertification determination	<ul style="list-style-type: none"> This new field is effective July 1, 2005. Enter here the date on which the authorized individual made the eligibility determination based upon the information obtained during the recertification process. This is the only date that will be used to identify the recertification.
51 Effective July 1, 2005 (New)	Recertification comments	<ul style="list-style-type: none"> This new field is effective July 1, 2005. Enter any comments regarding the recertification. You will be able to enter 1000 characters (about 160 words) into the database.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 1	Community Service Assignment Form	<ul style="list-style-type: none"> An applicant does not become a participant and is not eligible to receive any SCSEP services, including orientation, training or placement activity, until the applicant has been assigned to community service and this form has been filled out. A new form must be filled out for each community service assignment of a participant. A participant can have only one community service assignment at a time.
Topic 1 (New)	New data elements effective July 1, 2005	<ul style="list-style-type: none"> Field 10a has been added to record the name of the organization at which the host agency contact receives mail. This is part of the contact person's mailing address. Field 11a has been added to record the contact person's salutation for the customer satisfaction survey cover letters. Field 15a has been added to record an approved break in service, including a leave of absence or a delay in assigning a participant to a new host agency.
Topic 2 (New)	Maintenance of effort; assigning participants to host agencies that have had layoffs	<ul style="list-style-type: none"> SCSEP participants cannot be used to replace workers who are on layoff. Section 502(B)(1)(G) of the Older Americans Act specifically provides that each project funded under the act "will not employ or continue to employ any eligible individual to perform work the same or substantially the same as that performed by any other person who is on layoff." The same requirement is contained in Section 641.844(b)(5) of the SCSEP regulations. The statute and regulations also prohibit substituting "SCSEP-funded positions for existing Federally assisted jobs." See Section 641.844(b)(4). Therefore, you cannot assign SCSEP participants to a host agency if they will be doing work substantially similar to that performed by regular employees who have been laid off.
Topic 3	Entering information about all prior host agencies when converting records of prior participants	<ul style="list-style-type: none"> Obtaining full information about all prior host agencies can be very burdensome. However, you only need to complete host agency information for all host agencies to which the participant was assigned in the last 12 months. These host agencies will be included in the customer satisfaction survey protocol. The older host agency assignments will only be used in the analysis of the national database to determine, among other things, the average number of host agency assignments and the average time in each assignment, and to relate that information to outcomes like placements and wages in unsubsidized employment. For this analysis, we do not need complete information on prior host agencies. The needed information for any host agency that has not been active for the last 12 months consists of the following fields: <ul style="list-style-type: none"> #4, Host agency name #6, FEIN (but only if available)

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>#7, Host agency type #8, Host agency site name and location #13, Assignment date #15, End date #20, Types of training (but only if available)</p> <ul style="list-style-type: none"> As with other missing historical information, you can reconstruct it. You are not required to go to unreasonable lengths. Whatever you have in your files or can reconstruct will suffice. In the data application, there is a separate table for host agency information, which means that you only have to enter information about a host agency once and can then link to that information each time there is an assignment to that host agency. Therefore, if you put a host agency into the data system because it currently has a participant assigned to it, that host agency information is available for the future and prior assignments of all other participants.
Topic 4 (New)	Entering new assignment into data system	<ul style="list-style-type: none"> To enter a new community service assignment, you enter the end date for the old assignment into field 15 of the Community Service Assignment Form and complete a new CSA Form for the new assignment. (Do not end the old assignment until you start the new one.) In the data system, you enter the new host agency information into the host agency table that you access from the main page. You then select your participant on the main page and go to the Assignment tab at the bottom of the page and click "Add." You then associate the new host agency and contact information with the participant and fill out the host agency assignment screen for the new assignment. You do not delete anything associated with the first host agency assignment. You do have to enter the end date for the first assignment into the data system. Remember, too, that you will have to go back to the assignment screen for the first assignment and fill in the total paid hours (field 19) and hours of paid training (field 21) at the end of the quarter even though the assignment ended before the end of the quarter. You will also have to enter this information for the new assignment.
3	Grantee	<ul style="list-style-type: none"> Enter here the name of the grantee that owns the slot the participant is occupying. For users of the data application, the grantee name and code and sub-grantee name and code are entered from the Grantee Data tab under Manage Utility Data on the main page. Once you have entered the grantee information, you select the appropriate grantee from the drop-down menu on the Enrollment tab of the Participant Enrollment Information screens.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 2	Host Agency Information	<ul style="list-style-type: none"> For users of the data application, elements 4-11 are entered from the Host Agency tab under Manage Utility Data on the main page.
4	Name of host agency	<ul style="list-style-type: none"> Enter the name of the parent organization at which the participant is assigned. This will be the entity whose FEIN you enter in field 6. Do not enter the name of a satellite office or branch unless it has a separate FEIN. The location at which the participant is assigned will be listed in field 8. The contact person's name and address will be entered in fields 9 and 10. This field will be used to draw the sample for the host agency customer satisfaction survey, which will be mailed to the contact person identified in fields 9 and 10. There are exceptions to this rule if using the FEIN will result in there being too few host agencies. See Topics 5 and 6 below. You should standardize the names of host agencies so that an agency is not entered multiple times under different names. For users of the data application, there is a drop-down menu from which you must select a previously entered host agency. If the host agency you want is not listed, you must add a new one through the Host Agency tab under Manage Utility Data on the main page.
Topic 5	Using FEIN to identify host agencies (and employers) for the surveys	<ul style="list-style-type: none"> There are three separate pieces of identifying information about the host agency and the employer: organization name and mailing address; name of site where participant works; and name (and address) of contact person. The survey will be mailed to the contact person at the contact person's address. The form has a field for the contact person's address if it is different from the mailing address of the organization. Determining the identity of the host agency or employer is difficult if the entity has multiple branches or divisions. The instructions require you to use the FEIN to determine the main entity. The host agency and employer name are used to draw the samples for the surveys (and to determine an unduplicated count of host agencies and employers), but the survey is mailed to the contact person at the contact person's address. Note that the contact person may or may not be at the site where the participant is working. The site is required for the data application and may be of use for case management purposes, but we will not use it in the selection of respondents or in the mailing of surveys. The form and the data application only capture the name and location of the site. There are no fields for the address. The instructions ensure that the proper person will receive the survey. The only risk is that we will under-sample some government agencies. However, since we have a large number of host agencies, including government agencies, the validity of results is not threatened.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 6	Exception to the rule about using FEINs to identify host agencies	<ul style="list-style-type: none"> • Using the FEIN to identify the parent organization may be arbitrary, but it is a clean and simple rule to follow. However, the rule does not work well for government agencies that conduct a variety of functions from different locations. The rule can have an especially unfortunate effect in communities where there are few host agencies beyond government agencies. We have already recognized an exception for one grantee, American Samoa, where the territorial government is the only host agency, and all the government departments to which participants are assigned are under the FEIN of the territorial government. A similar exception should apply to all grantees and sub-grantees facing a similar situation. • While the rule about following the FEIN is still the norm, sub-grantees may depart from the norm, especially where following the rule will result in a small number of host agencies to be surveyed. Sub-grantees may treat the local office, department or division of the parent organization that owns the FEIN as the host agency for purposes of field 4 of the Community Service Assignment Form when either of the following conditions applies: <ol style="list-style-type: none"> 1. The parent organization that owns the FEIN is a national governmental or non-profit agency, and the participant is assigned to a local office of the parent. Examples include the Social Security Administration and or a national charitable organization like Goodwill. <p style="margin-left: 20px;">OR</p> <ol style="list-style-type: none"> 2. The parent organization that owns the FEIN is a state, county, or local governmental agency and: <ol style="list-style-type: none"> a. The participant is assigned to a local department or division, not the main office; and b. The local department or division has a separate administrative structure from the main office; and c. The contact person for the participant is located at the local department or division rather than at the main office. <p style="margin-left: 20px;">Although it is not always essential that the local department or division be in a separate physical location from the main office, the case for treating the local department or division as a separate host agency will be much stronger if the local department or division is in a separate location. By main office, we mean the central location or mailing address of the parent organization that owns the FEIN, e.g., the Broome County New York County Executive or Comptroller. An example of this exception would be a county government that runs all services in the county, such as</p>

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		<p>welfare, health, education, recreation, and public works, and each service is in a separate department with a separate administrative structure.</p> <ul style="list-style-type: none"> When applying either of the two exceptions described above, the critical concern is that the same contact person will not receive more than one host agency survey in a program year. The fact that the same person would receive the survey is a strong indicator that you should not apply the exception. However, the fact that the survey would be going to the same mailing address (but a different contact person at that address) is not as clear an indicator that the exception should not apply. In some instances, the parent organization and its divisions will be located in a single building with a single mailing address. It then becomes even more important to be sure that the administrative structure is separate and that the contact person is different. If you are uncertain whether multiple surveys would be sent to the parent organization under either of these two exceptions, then you should follow the rule and identify the host agency by the FEIN. NOTE: If you apply either exception and list as the host agency (in field 4) a local department or division that does not have its own FEIN, leave the field for FEIN (#6 on the Community Service Assignment Form) blank. You must still enter the local site name and location of this local department or division in field 8 even if this duplicates what you have put in field 4. The data application requires that field 8 be populated.
5	Host agency mailing address	<ul style="list-style-type: none"> Be sure to enter the information as you want it to appear on the envelope. The mailing address fields will be used to generate letters and mailing labels for the customer satisfaction survey.
5a	Number, street, suite number; or PO Box	<ul style="list-style-type: none"> If the address has a post office box rather than a street, use field 5a to record that information. If there are both a street and a post office box, record both in field 5a.
6 (Revised)	FEIN	<ul style="list-style-type: none"> You must obtain the host agency's Federal Employer Identification Number (FEIN). The FEIN will be used as a unique identifier for host agencies. Ultimately, the FEIN will be used to search for duplicate host agencies in the database and to ensure that host agencies are only surveyed once each year. If you are unable to obtain the FEIN, leave this field blank. Document your effort to obtain it in the comments field. Do not put N/A or a dummy value into this or any other field.
7 (Revised)	Host agency type	<ul style="list-style-type: none"> Select only one box. Host agencies must be either Section 501(c)(3) non-profit organizations or government agencies.

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		<ul style="list-style-type: none"> If the participant is assigned to the grantee's or sub-grantee's project office, select non-profit in this field and also select variable #15, Project Administration, as the community service assignment code in field 17.
Topic 7 (Revised)	Section 502(e) employers not be recorded as host agencies	<ul style="list-style-type: none"> In the existing data system, an employer will not be coded as a host agency while the employer is providing a training site under the Section 502(e) program. SPARQ 2 will contain a new form where a Section 502(e) grantee can enter information about an employer that is providing a training site under the Section 502(e) program. You will check the box under co-enrollment in field 40 of the Participant Form to indicate that the participant is also registered in the Section 502(e) program. You (or the Section 502(e) grantee) will also fill out the Unsubsidized Employment Form at the time of placement and check the box in field 8 to indicate that the employer has provided a 502(e) training site. Since the Section 502(e) employer is not really a host agency and since the Section 502(e) assignment is so time limited, we do not have a need to track it before it results in a placement. Because Section 502(e) participants must also be enrolled in the regular program, the participant will also have a real host agency assignment for which you must fill out a Community Service Assignment Form.
Form Heading 3	Contact Information	<ul style="list-style-type: none"> This section is used to record information about the host agency contact person. This is the individual who will receive the customer satisfaction survey. The contact information is also designed to facilitate your contacting this person by phone, by mail, or in person if necessary.
8	Host agency site name and location	<ul style="list-style-type: none"> Enter here the site at which the participant is assigned. This is necessary even if the host agency has just one site. You need not enter a full address. Merely provide enough information so that you can locate the participant at the host agency.
9	Name of contact person	<ul style="list-style-type: none"> Enter the contact person's name as you want it to appear on the cover letter and mailing label for the customer satisfaction survey. The contact person is the individual with whom the sub-grantee has had the most contact regarding the assignment of the participant. It is not necessarily the participant's supervisor, nor is it necessarily the same as the main contact person whom you use for administrative purposes. This is the individual who will receive the customer satisfaction survey in the mail.

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10 (Revised)	Contact person's mailing address if different from number 5	<ul style="list-style-type: none"> Enter a business address for the contact person only if it is different from the host agency's main mailing address (field 5). The data application does not add the host agency name to the mailing address of the contact person. If you want to add the host agency name, you will have to put it on line 10a with the street address. That line holds 249 characters so there should be sufficient room. Another line will be added to the field for the contact person's address in SPARQ 2. This field will be used to generate customized letters and mailing labels for the customer satisfaction surveys.
10a Discontinued July 1, 2005 (Revised)	Number, street, suite number; or PO Box	<ul style="list-style-type: none"> Effective July 1, 2005, this field is renumbered 10b and a new field 10a is added. If the address has a post office box rather than a street, use field 10a to record that information. If there are both a street and a post office box, record both in field 10a.
10a Effective July 1, 2005 (New)	Organization or address field 1	<ul style="list-style-type: none"> This new field is effective July 1, 2005. Enter here the name of the organization at which the contact person will receive mail. Some surveys addressed to host agency contact persons without the name of the organization in the address were returned as undeliverable. You should enter this information for all host agency contact persons in your database. Use field 10b to enter the street address or post office box for the contact person regardless of whether you enter anything into field 10a.
11	Contact person's title	<ul style="list-style-type: none"> Enter the title by which the contact person is known at the host agency. This may facilitate your contacting the individual.
11a Effective July 1, 2005 (New)	Contact person's salutation	<ul style="list-style-type: none"> This new field is effective July 1, 2005. Select either Mr. or Ms as the salutation for the contact person. The salutation will be used for the customer satisfaction survey cover letters. You should enter this information for all host agency contact persons in your database.
12	Contact person's phone number	<ul style="list-style-type: none"> This field may be used to help you reach the contact person.
13 (Revised)	Assignment date	<ul style="list-style-type: none"> Enter the date on which the participant was first assigned to the community service assignment with this host agency. For new applicants, it is the date of the first service received by the applicant and thus the point at which an eligible applicant becomes a participant. It will usually be the date on which payment of wages begins. For reassigned

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		<p>participants, the date will be the first day of assignment to the new host agency regardless of whether the participant actually starts work on that day.</p> <ul style="list-style-type: none"> Field 13 is the date the assignment was made regardless of when the participant reported to the host agency or when the participant first received wages. You are authorized to pay wages once the assignment has been made, but you are not required to do so if the participant is not engaging in any SCSEP activities, e.g., orientation, assessment, IEP, training, prior to reporting to the host agency. Field 14 is the date on which the participant first reported to the host agency. The date of assignment to the first community service position will be the date of participation for the Common Measures.
Topic 8	Permissible activities prior to assignment	<ul style="list-style-type: none"> Only eligible applicants who have been assigned to an authorized community service position may receive any SCSEP services. At the point of assignment, the applicant becomes a participant; may receive services such as orientation, an IEP, and training; and may be paid wages. The date of participation for the Common Measures is the date of assignment. Note that the participant is not required to physically commence the assignment with the host agency prior to receiving SCSEP services. The Community Service Assignment Form has two dates, one for the date of initial assignment and one for the date on which the participant actually commences the assignment. Obviously, sub-grantees must assess applicants' work histories, aptitudes, abilities, and interests in order to make an effective assignment. This determination of suitability for assignment is part of the intake and eligibility process and does not conflict with the regulations. Moreover, in many situations, it may be necessary for the sub-grantee, as part of the intake process, to do a more complete assessment of certain characteristics – such as illiteracy, social isolation, or other social barriers – that determine preferences for service before determining whether to provide service to an applicant. Sub-grantees are authorized to do as complete an assessment as necessary to determine preferences for service and make an appropriate assignment. However, the participant may not be paid for taking part in this assessment, and the process should stop short of the formal drafting of an IEP. The assessment of suitability and determination of characteristics may form the foundation for the formal IEP that takes place after assignment (and at which time the participant may be paid). For many participants, the assessment and assignment process will not be extended or complicated. In such cases, nothing prohibits a sub-grantee from conducting an assessment,

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>completing the formal IEP, and assigning a participant to a community service position in one sitting all on the same day. Since the date of the assignment in the data system and the date on the assessment instrument and IEP will be the same, there would be no violation of the regulation. The point of the regulation is that only those individuals who are in need of – and who actually receive – a community service position are entitled to other SCSEP services.</p> <ul style="list-style-type: none"> • It is not permissible to assign an applicant to the sub-grantees' project office as a place-holder in order to pay the applicant wages and conduct a formal assessment prior to assigning the applicant to his or her real community service position. Applicants can be assigned to the project office only when there is a bona fide community service position available and the applicant will be performing legitimate work at the project office. On the other hand, as long as the original assignment was made in good faith, nothing prohibits a sub-grantee from changing a participant's initial community service assignment if a more complete assessment or the formal IEP reveals that the initial assignment was not optimal.
Topic 9	Assignment to project office	<ul style="list-style-type: none"> • An eligible applicant can be assigned to a grantee's or sub-grantee's project office as long as the grantee or sub-grantee meets the requirements for being a host agency, there is an authorized position available, the assignment is bona fide, and the assignment is consistent with the participant's IEP. • In extraordinary circumstances where a regular host agency assignment is not available and placing an applicant on the waiting list for an extended period would create hardship or be contrary to the intent of the regulations, the applicant may be assigned temporarily to the grantee's or sub-grantee's project office while a more suitable assignment is being developed. • For example, a veteran over the age of 60 with multiple barriers to employment, including physical and mental disabilities, requires extensive assessment and observation in a host agency environment before it is possible to determine whether a regular host agency assignment is feasible. In this case, the sub-grantee may assign the participant to a position at the sub-grantee's project office and may conduct the assessment while having the participant provide various services to the sub-grantee. At the end of three weeks of assessment and observation, the sub-grantee identifies a host agency that is willing and able to work with the participant and transfers the participant to this host agency. • This procedure is a very narrow exception to the general rule that an applicant cannot be paid and cannot receive SCSEP services until the applicant has been assigned to a legitimate community service position. The general rule does not permit you to pay an applicant while

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>you are conducting an assessment prior to assignment.</p> <ul style="list-style-type: none"> Furthermore, if there is no suitable host agency assignment available, you are required to place an eligible applicant on the waiting list and may not assign the applicant to the project office solely to have a way to pay the applicant wages. Any use of this exception must be fully documented and is likely to be audited. For that reason, you may wish to check with your federal project officer before using this exception.
14	Start assignment date	<ul style="list-style-type: none"> Enter the date on which the participant actually commenced work with the host agency. This date may be different from the assignment date if, for example, the participant attended orientation or training before reporting to the assignment with the host agency.
15 (Revised)	End date	<ul style="list-style-type: none"> Enter the date on which the participant ended the community service assignment with this host agency. This will usually be either the date of exit or the day before reassignment to a new host agency. An individual must be assigned to community service in order to be a participant. The data system assumes that a participant without an open community service assignment should have been exited. <u>Therefore, do not enter an end date for a participant unless you are assigning that participant to a new host agency or are exiting the participant.</u> <u>Effective July 1, 2005, you will be able to enter dates for an approved break in participation. This would allow you to end one host agency assignment before you assign a participant to a new host agency.</u> If the participant is on an approved leave of absence without pay, do not close the last community service assignment even if you intend to assign the participant to a new assignment at the conclusion of the leave. Wait until the participant returns and you actually make the new assignment. The data system does not track an unpaid leave of absence. <u>However, SPARQ 2 will have fields for recording a leave of absence. See element 15a.</u> If the participant exits for unsubsidized employment and exercises the right of return (see Topic 1 of the Exit Form Guide), when you erase the exit, <u>you must also immediately make a new community service assignment for the participant even if the participant is returning to the host agency he or she left to enter unsubsidized employment.</u> This date will be used to determine which host agencies are eligible for participation in the customer service survey each year <u>and to calculate average duration of assignments.</u>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
15a Effective July 1, 2005 (New)	Approved break in participation	<ul style="list-style-type: none"> • This new data element is effective July 1, 2005. • Enter here the start and end dates of any approved break in participation such as a leave of absence without pay. You may also use this field to record if there is a delay of more than three days in reassignment when a participant has ended one host agency assignment but has not yet begun another.
Topic 10 (New)	Leave of absence	<ul style="list-style-type: none"> • There is nothing in the regulations or SCSEP bulletins governing leaves without pay for medical or personal reasons. Grantees are free to adopt their own policies on this issue. The policy should be in writing and should clearly describe the consequences if a participant violates the policy. The policy should also be referenced in the grant. Violation of the policy would be ground for termination and should be subject to the grantee's grievance procedure. See Section 641.580(d) of the regulations. Participants should acknowledge in writing their receipt of the policy. • Participants are not federal employees and are not subject to the protections afforded to federal employees. However, before you conclude that participants are not employees under state law and thus are not covered by federal or state policies providing for leaves of absence that apply to employees in your state, you might want to check with the relevant state authorities such as the Labor Department or the Attorney General. • You do not record a leave of absence in the current data system. A participant on an authorized leave of absence is still a participant. You do not exit the participant or place the participant on the waiting list. You leave the participant assigned to the last host agency or you assign the participant to a new host agency if the participant will be rotating upon his or her return from the leave of absence. If the participant does not return from the leave of absence, you exit the participant at the time the participant decides not to return. See Element 7 of the Exit Form Guide in the revised Handbook. Effective July 1, 2005, there will be a field for recording a leave of absence. See element 15a. • If you do not have a suitable host agency assignment for a participant and you do not expect to have one within a reasonable period, you must terminate the participant. You cannot place the participant on a leave of absence and leave a participant in suspension indefinitely. You must make room for other applicants who need and can take advantage of SCSEP services.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 11 (New)	End date when re-assigning a participant to a new host agency	<ul style="list-style-type: none"> The movement of a participant from one host agency to another is a reassignment. In the current data system, you must always keep a participant assigned to a host agency until the participant exits the program or starts a new assignment. If you intend to reassign a participant to a new host agency, leave the assignment open with the original host agency until you have identified the new host agency and can enter the assignment date (field 13) for the new host agency. At that point, you can end the original host agency assignment (field 15) even if the participant has not yet started work (field 14) with the new host agency. Effective July 1, 2005, there will be a field for recording a leave of absence. See element 15a.
Topic 12 (New)	Durational limits; re-enrollment and reassignment of participants	<ul style="list-style-type: none"> There is no SCSEP rule governing time in program or time in a host agency. Grantees are permitted to adopt durational rules with the approval of the national office as part of their grant. Grantees with durational limits should make sure that their policies address the issue of re-enrollment, specifically under what circumstances a participant may be re-enrolled and what is the effect of re-enrollment on durational limits for program participation. The participant does not have a right to re-enrollment. Re-enrollment is discretionary. If the participant was terminated for cause, or if she became job ready during her prior enrollment, you do not have to re-enroll her. Regarding host agency rotations, the IEP should generally determine when a participant should be reassigned to another host agency. In the case of a re-enrollment, if the last IEP indicated that the participant acquired the expected skills at the prior host agency, then it is time to assign the participant to a new host agency. Although participant preferences are entitled to consideration, the critical factor in assigning a participant to a host agency is the sub-grantee's determination of where the participant can best acquire the needed skills to become self-sufficient. If, for some reason, the ex-participant is being re-enrolled because he or she is not job-ready and needs additional community service, it is hard to see how reassignment to the original host agency would contribute to a meaningful IEP. If the participant has already spent significant time with the prior host agency and that was not sufficient to prepare the participant for unsubsidized employment, then the participant needs the experience of a different host agency to develop the missing skills.
16 (Revised)	Starting wage (per hour)	<ul style="list-style-type: none"> Enter the hourly wage that the participant receives at the time the assignment starts. Do not update this field.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 13	Payment of minimum wage or higher	<ul style="list-style-type: none"> Section 641.565 of the SCSEP regulations requires that you pay at least the minimum wage applicable under the Fair Labor Standards Act of 1938; the State or local minimum wage for the most nearly comparable covered employment; or the prevailing rate of pay for persons employed in similar public occupations by the same employer, whichever is higher. These wages are floors and apply to orientation, required training, and community service work. You are free to pay a wage above any of these rates. However, DOWP discourages projects from paying more than the statutory minimum since raising the hourly wage reduces the number of participants you can serve.
Topic 14 (New)	Payment of higher wages to participants assigned to project office	<ul style="list-style-type: none"> There is no special rule governing the wages of participants assigned to the project office. The regulation says that you must pay all participants the higher of the applicable minimum wage or the prevailing wage. You are permitted to pay any applicant more than this required amount, but you are strongly discouraged from doing so. The more you pay participants above the minimum, the fewer participants you can serve. If you do pay more than the minimum, you should probably do so pursuant to a policy so you are not accused of acting arbitrarily or discriminatorily. You should be careful about paying higher wages to participants assigned to the project office. Grantees and sub-grantees often pay participants more than they would receive at other host agencies in order to keep the participants working for them. This practice may create a disincentive for the participants to seek unsubsidized employment and thus may be doing the participants a disservice. There are other problems as well. This practice is often seen as unfairly rewarding a small class of participants and may create morale issues for other participants. In addition, participants assigned to the project office must be rotated, like all other participants. When they are, they lose their employment premium. This can have a negative effect on the participants' morale. It is not permissible to put participants directly on the project payroll for a few additional hours each week as a way to supplement their pay. That constitutes part-time employment, which is not permitted for participants while they are in community service (except for grandfathered participants who commenced the part-time employment prior to July 1, 2004).
Topic 15 (New)	Can SCSEP wages be garnished?	<ul style="list-style-type: none"> Nothing in federal law precludes the garnishment of Title V wages. Therefore, it is solely a matter of state law whether, and to what extent, SCSEP wages can be garnished.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 16 (New)	Payment of fringe benefits	<ul style="list-style-type: none"> • Section 641.565(b) of the regulations sets forth the required and allowable fringe benefits. Grantees are permitted to provide annual leave, sick leave, holidays, health insurance, an annual physical exam, and any other fringe benefits approved in the grant agreement and permitted by the appropriate federal cost principles. Retirement costs are not allowed. Grantees must provide fringe benefits uniformly to all participants unless DOWP agrees to waive this requirement. • Effective July 1, 2005, TEGL 29-04 requires that fringe benefits be zeroed out each year. This means that any unused fringe benefits cannot accrue beyond this program year and will expire at the end of each program year beginning with PY 2005. All participants must be informed of this requirement by May 15, 2005, and must receive written notification no later than June 15, 2005.
Topic 17 (New)	Are participants entitled to unemployment compensation benefits?	<ul style="list-style-type: none"> • Section 641.565(b)(4) of the SCSEP regulations provides that grantees may not pay the cost of unemployment insurance for participants <u>unless required by law</u>. Federal law, Section 3309(b)(5) of FUTA, excludes from mandatory UI coverage any service “as part of an unemployment work-relief or work-training program assisted or financed in whole or in part by any Federal agency or an agency of a State or political subdivision thereof, by an individual receiving such work relief or work training.” SCSEP qualifies for this exemption. However, states are free to extend coverage to such programs and a few states do so. If your state is among them, the regulation permits you to use SCSEP funds to meet your UI tax obligation. • There are two separate issues regarding UI benefits for participants. Former participants who are collecting UI benefits may or may not be receiving benefits based upon their participation in SCSEP. Depending upon when they last worked in covered employment and when they were enrolled in SCSEP, their UI benefits may be based on their prior employment and not on their SCSEP participation. Current participants collecting UI are probably collecting on the basis of prior employment, not current SCSEP enrollment. Federal law provides that a UI claimant who is otherwise eligible for benefits cannot be denied benefits because he or she is currently enrolled in a job training program. • You should contact your state UI agency to learn what the law is in your state and which wage credits were used to establish UI claims for SCSEP participants. If the wage credits came from prior employment, you have no tax liability. If the wage credits came from SCSEP participation, then you should discuss with the UI officials whether there is a basis under state

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		<p>law for exempting participants from coverage because they are trainees under a job training program and not employees. (You may also wish to confer with other state and national sub-grantees in your state. UI determinations are often inconsistent, especially for issues that seldom occur. Another sub-grantee may have gotten a different result.) You have the right to appeal any adverse determination made by the UI agency. If you are ultimately unsuccessful, you should discuss with the UI officials the options you have as a non-profit organization to minimize your tax burden.</p> <ul style="list-style-type: none"> You can use this link to find the UI agency for your state: http://workforcesecurity.doleta.gov/map.asp NOTE: If participants had recent work in an employment relationship prior to applying for SCSEP, they may well have been job ready. Job-ready applicants are not eligible for SCSEP and should be referred to the One-Stop center. If job-ready participants were enrolled, their IEPs should reflect the goal of unsubsidized employment as soon as possible.
17 (Revised)	Community service assignment code	<ul style="list-style-type: none"> Enter only one code for the type of community service to which the participant is assigned. The codes are divided into two main categories: service to the general community and service to the elderly community. If the type of assignment you need is not listed, enter the appropriate code for “other,” either 14 or 28, depending on whether the service is to the general community or the elderly community. The codes reflect the basic nature of the work the host agency does rather than the participant’s specific occupation or title. For example, a receptionist working for a visiting nurse association would be coded 2, while a bus driver for a senior center would be coded 19. If the participant is assigned to the grantee’s or sub-grantee’s project office, select variable #15, Project Administration, as the community service assignment code.
18	Community service assignment title	<ul style="list-style-type: none"> Enter the title of the community service position to which the participant was assigned as determined by the host agency. This should be a descriptive title, such as receptionist, nutrition aide, or bus driver. No occupational code is required.
Topic 18 (New)	Cash handling assignments for participants	<ul style="list-style-type: none"> There is no SCSEP rule that prohibits the assignment of participants to community service positions involving the handling of cash. It is possible that some grantees have had an unofficial policy to this effect. If so, they have done so without the approval of DOWP. Such a policy has the appearance of discrimination and would have to be supported by clear, non-discriminatory justification. A grantee should obtain approval from DOWP before imposing any such restriction.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
19 (Revised)	Total hours paid in quarter	<ul style="list-style-type: none"> For each quarter, enter the total number of hours for which the participant was paid wages as determined from the sub-grantee's wage records. To determine hours worked in the quarter, use all paychecks issued in the quarter even if the pay period extends into a different quarter. Any inaccuracy in reporting that this method causes will be wash out the course of the year. To accommodate the possibility that a pay period may extend into another quarter, the data system will permit you to enter hours in the quarter after the quarter in which the participant ended the community service assignment. Do not make any deduction for fringe benefits paid. If your payroll system tracks hours actually spent in community service, you may use these hours directly without deriving them from the paychecks. However, you are free to use the paycheck method if it is easier for you. Enter this information only at the end of each quarter, before you transmit the data for the QPR. The total hours paid in the quarter must at least equal the number of paid training hours in the quarter (field 21). Training hours are a sub-set of total hours. Each program year, you will have to enter new data for the relevant quarters. When converting the records of existing participants, do not list any hours of paid training received prior to July 1, 2004. The first data to be reported in this field will be for the quarter ending September 30, 2004. This information will be used to derive the total hours of community service.
Topic 19 (New)	Required number of hours in community service each week	<ul style="list-style-type: none"> There is no rule governing how many hours a participant must work in community service each week. There used to be a requirement that you offer all participants at least 20 hours of community service per week but no more than 25 hours. That requirement no longer applies. However, the allocation of slots is based on 21 hours of community service per week, and DOWP strongly recommends that you provide everyone 20 hours per week. If you provide more hours, you will not be able to serve the number of participants required because you won't have enough money. If you provide fewer hours, participants may not get the training they need or enough money in wages to support themselves. However, there is no rule on this. See the preamble to the Final Rule at page 19017, just before Subpart B.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
20	Types of training received	<ul style="list-style-type: none"> • Check the appropriate box(es) to indicate the type(s) of training the participant has received. If “other” is checked, specify the type(s) of training. If training was not provided, enter “none.” In this field, include only training that has been designed and provided (directly or through a training provider) <u>by the sub-grantee</u>, not routine training that is provided by the host agency as a normal part of the community service assignment. Do not record any host agency training in field 20. • The definitions for the types of training listed in field 20 come from OWB 04-04. General training is defined as that which enhances a participant's basic skills. It is in contrast to specialized training, which is designed to prepare a participant for a particular job or occupation. Group meetings could be general training, depending on the content. If you are doing solely job search or job club without any basic skills component, you should use field 20d, "Other," and list job search in the text field. • You should record all grantee-provided training in field 20 even if it occurred prior to July 1, 2004. Unlike fields 19 and 21, which get overwritten with the current data each year, the data in field 20 are cumulative. You never delete the information, and you add new training types when they occur.
Topic 19	Using OJEs to transition participants to unsubsidized employment	<ul style="list-style-type: none"> • Many participants are unsure of their job skills and are reluctant to leave the program for unsubsidized employment without some sort of safety net. In the past, grantees have permitted participants to work a few hours each week while they tried out a new job and gained the confidence they needed to succeed in it. The new regulations do not permit participants to work part-time while enrolled even if the job is designed to transition them to complete unsubsidized employment. Participants (except those who are grandfathered) must be unemployed while they are enrolled in the program. However, the transition to unsubsidized employment can be addressed through an OJE. OJEs are designed to give both the participant and the employer a trial and to provide additional training to ensure the success of the unsubsidized employment. • Under OWB 04-04, the participant may have a combined total of 40 hours per week in community service and OJE employment for up to 12 weeks. The participant may be enrolled in the program and receiving wages for community service while she is working part-time for the employer. You can also reduce the community service hours as the hours of employment increase. You must obtain approval for OJEs in your grant before you can create them. • The transition to unsubsidized employment can also be facilitated by the right of return.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		See Topic 1 of the Exit Form Guide. The right of return is designed to encourage participants to try unsubsidized employment when they may have doubts about their ability to succeed. If a participant exits the program for unsubsidized employment and does not achieve 30 days of employment, you may bring the participant back into the program within 90 days of exit as though she had never left. If for some reason the job does not work out, the participant can come back into the program and strengthen the job skills and self-confidence needed to be successful in a new placement.
Topic 20	OJEs as placements	<ul style="list-style-type: none"> An OJE is a type of training, paid for with program funds. A participant remains enrolled in the program during an OJE, and does not exit. The performance measures are not implemented until the OJE ends, the employer has picked up the participant, and the participant has exited. The start work date on the Unsubsidized Employment Form should be the first day on the employer's payroll after the OJE has ended and the participant has exited.
Topic 21	Participant's community service status when assigned to training only	<ul style="list-style-type: none"> A participant must remain assigned to a host agency in order to receive any SCSEP services, including training. If the sub-grantee wishes to provide training to a participant between host agency assignments, it should reassign the participant to a new host agency before sending the participant to training. If it is unable to make an appropriate assignment before the training begins, then it must leave the participant assigned to the first host agency and reassign the participant to a new host agency upon the completion of training.
21 (Revised)	Total hours of paid training received in quarter	<ul style="list-style-type: none"> At the end of each quarter, before you transmit the data for the QPR, enter the total number of hours of paid training that the sub-grantee provided, directly or through a training provider, to the participant. <u>Do not include any training provided by the host agency.</u> Each program year, you will have to enter new data for the relevant quarters. When converting the records of existing participants, do not list any hours of paid training received prior to July 1, 2004. The first data to be reported in this field will be for the quarter ending September 30, 2004. The hours in this field will be subtracted from the total number of hours paid in field 19 to derive the number of hours in community service for the QPR. You do not make this calculation. The calculation will be done for you at the time the QPR is generated. The number of hours of paid training in a quarter can never be more than the total hours paid in the quarter (field 19).

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 22	Payment of wages for training and job search activity	<ul style="list-style-type: none"> • The regulations provide that you must pay participants the minimum wage for orientation, grantee-required training, and community service work. Job search activity alone, however, is not considered training. You may pay participants for engaging in job search activity, such as participation in a job club, but you are not required to do so unless the job search activity is provided in conjunction with required training. Of course, you may only provide SCSEP services, such as training or job search assistance, to participants. • If you do pay wages for job search activities, you must record these hours in field 21 so the hours can be deducted from total paid hours to derive the hours of community service. In field 20, you should select "(d) Other" and indicate job search assistance.
Topic 23 (New)	When is training considered grantee-required?	<ul style="list-style-type: none"> • If you specify in the IEP training that the participant will definitely take, it is considered grantee-required. (You can always list training that you discussed with the participant and that the participant may take at some point.) If you do not want to pay for some training because you do not believe that it is essential, you should not list it in the IEP. If the participant nonetheless decides to take this training on her own, you may modify the IEP after the fact to reflect that, in addition to the required training, the participant also completed other training. • If job search training is provided as part of other required training, such as general job readiness, you must pay wages for the training. That does not mean that you have to pay for the actual job search component. For example, if the grantee requires that participants attend a training course for 3 hours each week and also spend 3 hours each week seeking employment with the new skills they are learning or that they contact a minimum of 3 prospective employers each week, the 3 hours spent in the class would be paid, but the time spent looking for work would not have to be paid. Note, however, that you may pay for pure job search activity even though you are not required to. • You cannot avoid paying wages for required activities by paying the participant for required training but allowing or compelling the participant to work without pay at the community service assignment. However, in the negotiation of the IEP, you could agree that the participant would be on an unpaid leave of absence from the host agency while the participant attended classes. As long as the participant remains assigned to community service, you can pay for the training.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 24 (Revised)	Effect of paid training on performance measures	<ul style="list-style-type: none"> Although paid training is subtracted from total paid hours to determine hours in community service, grantees will not be penalized in the performance measures for providing paid training. The goal for that measure will not be established until baseline data are collected during PY 2005. Since DOWP is encouraging the appropriate use of training, it will take training into account when establishing the goal for this measure.
Topic 25	Recording paid OJE hours	<ul style="list-style-type: none"> OJE wages may be paid by either the sub-grantee or the employer. If they are paid by the sub-grantee using the regular payroll, they must be listed in field 21 so they can be subtracted from total hours paid. If they are paid by the employer, they should not be entered in field 21 because they are not included in field 19 and thus there is no reason to subtract them. When the sub-grantee reimburses the employer for OJE wages, the sub-grantee may use a purchase order or some other form of payment that is outside of the participant payroll system. In that situation as well, the OJE hours are not included in the total hours paid in field 19. Since the hours in OJE do not need to be subtracted from the total hours paid, they should not be listed in field 21. Note: Pursuant to OWB 04-04, you will need to track the number of weeks in OJE to make sure that they are within the durational limit.
Topic 26	Hours of community service, how to calculate	<ul style="list-style-type: none"> Grantees do not calculate hours of community service. The program that generates the QPR will do the calculation using the information you provide in fields 19 and 21 of this form. You do not need to make any adjustment for fringe benefits received, such as vacation pay. Such benefits may be included in the total hours paid in the quarter, field 19, in order to simplify your reporting of the data.
22	Community service assignment comments	<ul style="list-style-type: none"> Use this field to record any additional information about the community service assignment. You may enter up to 1000 characters (about 160 words).

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Exit Form Guide

Exit Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 1 (Revised)	Exit Form	<ul style="list-style-type: none"> • “Exit” has several different meanings for the data collection and reporting system. This form is used to record when a participant ends his or her last community service assignment and is no longer being paid wages. • For the performance measures, an exit recorded on this form may not be official and final until a certain amount of time has passed. If a participant has exited the program to enter unsubsidized employment, a SCSEP placement has not occurred until the participant has been employed for 30 days within the first 90 days after exit. You should code the exit as due to unsubsidized employment, field 5, at the time it occurs. However, if the unsubsidized employment last for fewer than 30 days in the first 90 days after exit, the participant is entitled to a new host agency assignment <u>without having to re-enroll, i.e., without completing a new Participant Form</u>. If the participant elects to return to the program, the “exit” will be reversed and will not be counted in the performance measures. You will delete the exit reason and the date of exit. (See description of field 5 below.) • For the Common Measures, an exit does not occur (and the individual is not included in the performance measures) until the participant has gone 90 days without a service from the program. Therefore, an individual who exits but receives a SCSEP service (which requires a new host agency assignment) within 90 days <u>through re-enrollment, i.e., with a new Participant Form</u>, will be excluded from the Common Measures. In this case, however, the original SCSEP “exit” will remain and a new record will be created to reflect the re-enrollment. • Similarly, a participant who exits from one project but is transferred to another project has not officially exited the program and is not included in the performance measures until the participant has truly exited the project to which he or she was transferred. The movement of a participant from one sub-grantee to another sub-grantee within the same grantee is not an exit but is also recorded on the Exit Form. (See Topic 7 below and new field 6a below.) • Normally, once an individual exits, he or she cannot become a participant again without re-enrolling. Re-enrollment requires the completion of a new Participant Form and a new Community Service Assignment Form. (See discussion of field 5 and Topic 2 for an exception.) • Do not use the Exit Form to record that a participant is in “suspension,” e.g., is still enrolled with a host agency but is on a temporary leave and is not receiving wages. If the participant decides not to return from the leave and to cease participation in the program, you will record the exit at that point. The date of exit will be the date on which the participant decides not to return,

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		not the date of the original leave. Effective July 1, 2005, you record an approved leave of absence in field 15a of the Community Service Assignment Form.
Topic 1 (New)	New data elements effective July 1, 2005	<ul style="list-style-type: none"> • Effective July 1, 2005, new field 6a has been added to record three non-exit reasons for closing the sub-grantee's record: withdrawal of application; transfer; change of sub-grantee. • This new field replaces fields 6e and 6k. • A new field 6e has been added to record exits due to durational limitation. • Field 6f has been discontinued. The remaining 9 reasons for exit in field 6 are the only allowable choices for a true exit from SCSEP.
3	Participant mailing address (if changed)	<ul style="list-style-type: none"> • At the time of exit, it is essential to verify and update the participant's mailing address and telephone number. If there has been no change, leave this field blank. • If the applicant does not have a residence, try to obtain an address at which the applicant can receive mail. The mailing address fields will be used to generate letters and mailing labels for the customer satisfaction survey. Be sure to enter the information as you want it to appear on the envelope. "County" will not be used for mailing. • For users of the data application, updating of participant information must be done on the Participant Information screen, which you access from the Enrollments tab on the main page.
3a	Number and street, apt. number; or PO Box	<ul style="list-style-type: none"> • If the address has a rural route number or post office box rather than a street, use field 3a to enter that information. If there is both a street and a rural route number or post office box, enter both in field 3a.
4 (Revised)	Phone number of participant (if changed)	<ul style="list-style-type: none"> • If there has been no change, leave this field blank. • If no home phone, try to obtain a number where a message can be left with a friend, neighbor or family member. If none, leave blank. Do not enter N/A or dummy data into this field.
5 (Revised)	Exit due to unsubsidized placement	<ul style="list-style-type: none"> • Check "1" if the participant exited into a full- or part-time job with an unsubsidized employer and the participant's salary is not paid with program funds. There is no minimum number of hours per week required for a qualified placement. On OJE is not considered unsubsidized employment. A placement does not occur until the OJE has ended, the participant has exited the program, and the employer has officially hired the participant. • Check "2" if the participant exited the program to engage in self-employment. A self-employed individual includes someone who operates a business or profession as a sole proprietor, partner in a partnership, independent contractor, or consultant. An activity qualifies

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		<p>as a business if the primary purpose for engaging in the activity is income or profit and the participant is involved in the activity with continuity and regularity. A sporadic activity or a hobby does not qualify as a business.</p> <ul style="list-style-type: none"> • Self-employment may be verified by any proof that the individual has started a business, such as tax registration, business cards or invoices, or a state license. The individual does not have to prove income from the business, but the receipt of income would suffice to establish self-employment. • A placement does not become official and is not included in the performance measures unless the participant is employed for 30 days within the first 90 days after exit. You should record the exit as due to unsubsidized employment at the time it occurs. A participant whose placement does not last for 30 days is entitled to re-enter the program. If the participant elects to return to the program, you must delete the exit and create a new community service assignment. If you delete the exit, enter a note in the comments field, field 10. If the participant does not elect to return to the program, the exit remains as originally coded and no comment is required. • A separate Unsubsidized Employment Form must be filled out for each placement of a participant, including self-employment. Only enrolled participants, i.e., those assigned to a community service position, can be recorded as receiving an unsubsidized placement.
Topic 2 (Revised)	Right of return and re-enrollment: priorities/preferences	<ul style="list-style-type: none"> • The right of return is limited to those participants who exit for unsubsidized employment but do not achieve 30 days of employment within 90 days of exit. They are allowed to return to the program within 90 days without being subject to the priorities and preferences. Their exit is reversed, and they are treated as though they never left the program. You do not fill out a new Participant Form for them. You must assign a returning participant to a host agency, either the one the participant left or a new one. You must create a new host agency assignment even if you reassign the participant to the old host agency. If there is no slot available at the time the participant seeks to return, the participant should be considered in "suspension" and given the next available assignment. In that case, you should create a new community service assignment at the old host agency but indicate in the comments field that the participant has returned to program and is awaiting the availability of a slot. Effective July 1, 2005, you can place the participant on an approved leave of absence upon his or her return to the program if no host agency assignment is available. • There are two boxes in field 26(d) of the Unsubsidized Employment Form that you can use to record whether a participant whose placement failed to last for 30 days will remain exited or is

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		<p>electing to return to the program. If the placement fails and the participant chooses to remain exited (either to accept new unsubsidized employment or to withdraw from the labor market), you check the appropriate box in field 26(d) and leave the information on the Exit Form as you originally entered it.</p> <ul style="list-style-type: none"> On the other hand, if the participant elects to return to the program, you so indicate in field 26(d) of the Unsubsidized Employment Form and then delete the exit reason (field 5) and the exit date (field 7) from the Exit Form. You also fill out a new Community Service Assignment Form to document the host agency assignment. Use the comment field on the Exit Form to explain what you have done. The participant will not be included in the outcome measures until the participant again exits the program. You can choose to re-enroll a participant who exited for any reason provided the participant is not job ready and meets the other eligibility requirements. Re-enrollment is not limited to 90 days of exit. It does require a new application and a new Participant Form. A participant seeking to re-enroll is subject to the priorities of service and preferences in effect at the time. If there are no available slots or the re-enrolling participant is lower in priority or preference than other applicants, you can place the re-enrolling participant on the waiting list.
Topic 3	Placement discovered after exit	<ul style="list-style-type: none"> The system will count any placement that becomes official, i.e., lasts for 30 days within 90 days of exit, regardless of whether the placement occurred at the time of exit or subsequent to exit. If you discover the placement after the participant exited, you should complete an Unsubsidized Employment Form and conduct the three follow-ups. You do not change the original exit date and exit reason as entered on the Exit Form. The system will detect the placement from the Unsubsidized Employment Form. It may be worthwhile to stay in touch with some participants (especially those who are most job ready) who exit the program for personal reasons to determine whether their circumstances have changed. They may have obtained employment on their own or they may be interested in your assistance in finding employment. If no employment is begun by the sixtieth day after exit, there is no reason to continue following these participants.
6 (Revised)	If exit is not due to unsubsidized employment, other reason for exit	<ul style="list-style-type: none"> Enter the appropriate code. Only one code may be entered for a participant. If “other” is selected, specify the reason. Select the reason that applies <u>at the time of exit</u>. The reasons for exit that are included in the performance measures are: <ul style="list-style-type: none"> a) Moved from area b) For cause

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		<p>Cause may include, but is not limited to the following:</p> <ul style="list-style-type: none"> ○ Refusal to cooperate in recertifying eligibility; ○ Inability and/or unwillingness to perform assigned duties; ○ Unreasonable refusal to accept a different community service assignment; ○ Unreasonable refusal to accept job referrals or cooperate with the IEP; ○ Frequent tardiness; ○ Falsification by the participant of time sheets or other official records; ○ Insubordination; ○ Obscene/abusive language or behavior; ○ Non-compliance with substance abuse policy; and ○ Failure to cooperate with grantee and/or host agency staff. <p>c) Voluntary Voluntary exit can occur for numerous reasons, including retirement.</p> <p>d) Not income-eligible</p> <p>e) Transferred to another project (specify grantee code)_____</p> <p>If the participant is transferred to another project, the participant will not be included in the performance measures until the participant exits from the other project. At that time, the participant's outcomes will be reflected in the performance measures of both the transferring and receiving projects. The data collection system will automatically track these outcomes. (The first release of the desktop application does not contain a field for the code of the receiving grantee. All grantees must begin collecting this code now, however, because you will have to enter this code into the database when the field is available.)</p> <p>f) Other (specify)</p> <ul style="list-style-type: none"> • The following reasons for exit cause the participant to be excluded from the performance measures. The exclusion applies if these reasons exist either at the time of exit or during the three quarters following the exit quarter. If you discover the exclusion while you are doing follow-up with an unsubsidized employer, you will record the exclusion in the appropriate field of the follow-up section of the Unsubsidized Employment Form. You will not change the original reason for exit that you entered in field 5 or 6 of the Exit Form. <ul style="list-style-type: none"> g) Deceased h) Health/medical The participant is receiving medical treatment that precludes entry into unsubsidized

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		<p>employment or continued participation in the program. This does not include temporary conditions or situations expected to last for less than 90 days.</p> <p>i) Family care The participant is providing care for a family member that precludes entry into unsubsidized employment or continued participation in the program. This does not include temporary conditions or situations expected to last for less than 90 days.</p> <p>j) Institutionalized The participant is residing in an institution or facility providing 24-hour support, such as a prison or hospital, and is expected to remain in that institution for at least 90 days. For purposes of exclusion from the Common Measures, individuals with disabilities (as defined in 29 CFR 37.4) residing in institutions, nursing homes, or other residential environments are <u>not</u> considered to be institutionalized.</p> <p>k) Individual removed self from waiting list or declined assignment (This is not truly an exit because an applicant on the waiting list is not a participant, but this code will allow you to close the record of someone who is active in the database.)</p> <ul style="list-style-type: none"> Effective July 1, 2005, field 6 will be used solely for true exits from SCSEP. Non-exit reasons for closing the record (the existing fields 6e, 6f, and 6k) have been moved to a new field 6a(1)-(3). New field 6e has been added for exits due to durational limitation.
6e Discontinued effective July 1, 2004 (New)	Transferred to another project	<ul style="list-style-type: none"> Effective July 1, 2005, this field has been replaced with field 6a(2).
6e Effective July 1, 2005 (New)	Durational limit	<ul style="list-style-type: none"> This new data element is effective July 1, 2005. Use this field to indicate an exit due to the participant's having reached the durational limit for your project. Policies regarding durational limits are optional. However, they must be approved by DOWP.
6f Discontinued effective July 1, 2004 (New)	Other	<ul style="list-style-type: none"> Effective July 1, 2005, this field has been discontinued. If the participant has truly exited the program, you must select one of the nine specified exit reasons. If you feel that none of the nine reasons applies perfectly, pick the reason that is closest and explain the circumstances in the comments field. Non-exit reasons for closing your record are recorded in new field 6a.

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6k Discontinued effective July 1, 2004 (New)	Withdrew from waiting list	<ul style="list-style-type: none"> Effective July 1, 2005, this field has been replaced with field 6a(1).
6a Effective July 1, 2004 (New)	Non-exit reasons for closing the record	<ul style="list-style-type: none"> This new data element is effective July 1, 2005. It replaces the existing fields 6e and 6k. This new field is for closing your record when the applicant or participant has left your project but has not truly exited SCSEP. Use field 6a(1) for applicants who withdraw from the waiting list or who otherwise withdraw their applications after being determined eligible but before being assigned to community service. Once the participant has been assigned to community service, you must use field 6 to exit the participant. Use field 6a(2) for recording the grantee to which a participant has been transferred. Use field 6a(3) to record the sub-grantee to which the participant has moved when there has been a change of sub-grantee within the grantee. Obtain the sub-grantee name and code from your grantee.
Topic 4 (New)	Closing the record of applicants who were not determined eligible	<ul style="list-style-type: none"> Applicants who were not determined eligible include both those determined ineligible and those who changed their mind in the middle of the application process. In either case, you complete fields 34-36, 42, and 43 of the Participant Form. You do not enter any information into the Exit Form.
Topic 5 (New)	Closing the record of applicants who were determined eligible but were not assigned to community service	<ul style="list-style-type: none"> To close the record of applicants who were determined eligible but withdrew from consideration before being assigned to community service, you check box 6k of the Exit Form. (Effective July 1, 2005, you check box 6a(1).) Although the box currently says "Withdrew from waiting list," you also use this field for those who, although not on the waiting list, withdrew their application after they were determined eligible but before they were assigned. You must indicate "no" for field 5 of the Exit Form before selecting the other reason for exit in field 6 or 6a. Earlier versions of the DCS rejected the record if you selected box 6e or 6k and entered an exit date in field 7. However, the edit was changed for SPARQ 1.3, which was released in early May for Q3 submissions. Therefore, you should enter the exit date in field 7 regardless of what reason you select in field 6 or 6a.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 6 (New)	Transfer vs. re-enrollment	<ul style="list-style-type: none"> • Transfers between grantees are done for a variety of purposes, including the achievement of equitable distribution; to avoid disruption of service; to simplify administration when the same host agency has participants assigned from multiple projects; and to allow national grantees to swap slots in the same or different states in order to make their operations more efficient. Transfers require the approval of the state grantee where the slots are located and DOWP. • The key to transfers is that they are done by agreement of two grantees, not the unilateral action of a participant. When a participant has been transferred, the participant retains the status that he or she had at the transferring project. The participant does not have to be recertified (as long as the last eligibility check was within the last 12 months), nor is the participant subject to priority of service and preferences at the new project. A participant can always voluntarily exit from one project and seek to re-enroll in another project. However, such unilateral action requires a new application with an eligibility determination and is subject to the priorities and preferences in effect at the new project at the time of application. • Typically when a participant moves from the area, the participant voluntarily exits from the first project and seeks to re-enroll in the new project. However, nothing prevents the project that the participant is leaving from contacting the new project and seeing if a transfer is possible. The new project will not be able to accept the transfer if it does not have any slots available. Furthermore, it is not obligated to accept the transfer, and it may not be willing to accept the transfer if it has higher preference applicants on its waiting list. • When there has been a transfer (as opposed to an exit and a re-enrollment), the first project does not have a true exit and thus does not have an outcome that is reflected in its performance measures. The true exit occurs when the participant leaves the new project. At that time, both projects will have the outcome reflected in their QPRs. • At the time of the transfer, the first project selects field 6(e) (effective July 1, 2005, field 6a (b)) of the Exit Form and enters the name and code of the project to which the participant is transferring. The receiving project then creates a new record for the participant and indicates in field 16a of the Participant Form the name and code of the transferring grantee. (These fields are not yet available in the first release of the data application. They will be available in SPARQ 2.) When the participant exits the new project, the new project does the follow-up and the data system assigns the outcome to both projects when the data are transmitted for the QPR.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 7 (New)	Transfer vs. change of sub-grantee	<ul style="list-style-type: none"> • The change of a sub-grantee – whether for an entire project or for a single participant – is neither a transfer nor a re-enrollment. A transfer can only occur between grantees. A change of sub-grantees occurs within a single grantee. The current version of the DCS does not make provision for such a change. To track these changes, allow the old sub-grantee to close its records, and avoid duplicate counts in the QPR, we have added two fields to the hard copy forms: field 16b on the Participant Form for the new sub-grantee to indicate that it is inheriting the participant from the old sub-grantee; and field 6a(3) of the Exit Form for the old sub-grantee to indicate that the participant is moving to the new sub-grantee. To ensure accurate reporting at the grantee level, the new (receiving) sub-grantee must enter the entire record of the affected participant(s) into its database. This is true whether the new sub-grantee is acquiring a single participant or all the participants from the old project. There should be no change to any of these records unless the participant's situation has changed, e.g., the participant has a new address or phone number. The grantee should ensure that the old sub-grantee provides a copy of the records to the new sub-grantee. (Where the old sub-grantee is no longer participating in the SCSEP system, the old sub-grantee should give the new sub-grantee a back-up of its entire database. If the grantee is unable to obtain these records from the old sub-grantee, it may be possible to obtain them from Mathematica.) • Until we can make the database changes, when only a single participant changes sub-grantee, the old sub-grantee will have to manually delete the participant's record from its database once the new sub-grantee has entered the record. On the other hand, when a new sub-grantee is taking over the entire project from the old sub-grantee, the new sub-grantee can use the sub-grantee code of the old sub-grantee, thus ensuring that the records from the old sub-grantee are replaced by the records submitted by the new sub-grantee. • For changes of sub-grantee that occur during a program year, the performance of the old sub-grantee will be merged with the performance of the new sub-grantee for all QPRs after the date of the change in sub-grantee and for the Final QPR. Although this may lead to some inaccuracy in the reported performance of the new sub-grantee for the balance of the program year, the QPR for the grantee, which is all that is used for official monitoring of performance, will be accurate. The new fields in the database will allow us, at a later time, to separate out inherited performance from performance by the new sub-grantee. In the meantime, as long as everyone understands that the QPR for the new sub-grantee includes performance by the old sub-grantee, the new sub-

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		<p>grantee should not be unfairly evaluated.</p> <ul style="list-style-type: none"> We will be adding the fields to the hard copy forms and to the spreadsheets for the non-DCS users before we can make the changes to the DCS database. DCS users will capture the information on the hard copy forms and will go back and data enter the information when the database changes have been made in SPARQ 2. Non-DCS users should implement the new fields as soon as they receive the revised spreadsheets. Summary: <ol style="list-style-type: none"> <i>Change of sub-grantee for a single participant.</i> <ul style="list-style-type: none"> *The new sub-grantee enters into its database the participant's entire record exactly as it was entered into the DCS by the original sub-grantee. *At that point, the original sub-grantee manually deletes the participant's record. *There is no need to notify Mathematica. <i>Change in sub-grantee for an entire project.</i> <ul style="list-style-type: none"> *The grantee informs Mathematica that the new sub-grantee is taking over the sub-grantee code of an old sub-grantee. *Mathematica changes the sub-grantee name in the database registration tables and QPR. *The new sub-grantee obtains a back-up copy of the original sub-grantee's database from the grantee or Mathematica and enters all the data into its own database
7 (Revised)	Date of exit	<ul style="list-style-type: none"> Enter the date on which the participant ceased receiving services for the reason given in fields 5, 6, or 6a. This is usually the last day for which the participant received wages from the project. If the participant was on "suspension" or unpaid leave prior to exit, record as the exit date only the date on which the participant decided not to return and was considered no longer enrolled. Do not record the date on which the participant began the leave of absence on the Exit Form. Effective July 1, 2005, you will record the dates of a leave of absence in field 15a of the Community Service Assignment Form. If the participant received deferred or accumulated benefits, such as vacation pay, at the time of exit beyond the final wages received for community service performed at the host agency, enter as the exit date the last date for which the participant received wages, not the last date for which the participant received deferred benefits. For example, if the participant ceased performing community service on June 1, received wages through June 1, and received an additional 4 days of accumulated vacation pay, you would enter June 1 as the date of exit.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 8	Accumulated benefits, effect on dates of exit/placement	<ul style="list-style-type: none"> The receipt of accumulated benefits such as vacation pay beyond a participant's assignment to a host agency does not delay the date of exit. The exit date is the last day for which the participant receives wages for performing services. This does not include accumulated or deferred benefits. The first day that the participant starts unsubsidized employment is used to determine the date of placement. It is that date that starts the 30-day clock for determining placement. For example, assume the participant leaves a host agency for unsubsidized employment on June 1, receives accumulated vacation pay that keeps her on the payroll until June 7, and actually starts the unsubsidized employment on June 5. The date of exit would be June 1, and the date of placement (assuming 30 days of employment within the first 90 days of exit) would be June 5.
Form Heading 2 (Revised)	Waiver of Confidentiality	<ul style="list-style-type: none"> The waiver of confidentiality is only applicable to participants who are placed into unsubsidized employment. The waiver may make it easier for you to obtain the follow-up information from the employer. The participant should be encouraged to sign the waiver but cannot be required to do so. The participant's failure to sign does not relieve you of the obligation to conduct follow-up activity with the employer. Before having the participant sign the waiver, write the participant's name in the first blank, the employer's name in the second blank, and the name of the sub-grantee in the third blank. You may use any form of the waiver that you wish. If you prefer, you can have the participant sign a general waiver at the time of enrollment. In that case, you would need to modify the language to refer to employers generally and to indicate that the waiver is effective for 13 months from the date of exit rather than the date of signing.
8 (Revised)	Signature of participant	<ul style="list-style-type: none"> A signature is only applicable to the waiver of confidentiality. If the participant exited for a reason other than unsubsidized employment or if the participant refuses to sign the waiver, do not obtain a signature on this form. If the applicant does not wish to sign the waiver, leave this field blank.
9	Date of signing	<ul style="list-style-type: none"> If the participant exited for a reason other than unsubsidized employment or if the participant refused to sign the waiver of confidentiality, leave this field blank.
10	Exit comments	<ul style="list-style-type: none"> Use this field to record any additional information about the exit, including information about any exit that has been reversed. You may enter up to 1000 characters (about 160 words).

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Unsubsidized Employment Form Guide

Unsubsidized Employment Form Guide

Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 1	Unsubsidized Employment Form	<ul style="list-style-type: none"> An Unsubsidized Employment Form must be started when a participant enters unsubsidized employment, including self-employment, either at the time of exit or within the first 90 days of exit. You must continue to fill out the form for up to 12 months after the participant exits employment. The form is used to capture basic information about: <ul style="list-style-type: none"> the employer and the placement contact information to facilitate the customer service survey information about the survey instrument(s) provided to the employer the employment and earnings information required for the performance measures A new Unsubsidized Employment Form must be started for each unsubsidized employment that the participant has during the 12-month follow-up period. A participant can have multiple unsubsidized employments at the same time, but only one will count as a placement for the performance measures.
Topic 1 (New)	New fields effective July 1, 2005	<ul style="list-style-type: none"> Field 11a has been added to the contact person's mailing address to record the name of the organization at which the employer contact person receives mail. Field 12a has been added to record the contact person's salutation. This will be used for the customer satisfaction survey cover letter. Field 19a has been added to indicate if the placement is in one of the 12 high growth industries that are part of the president's initiative. Field 30c and 30d have been added to capture wages in the second quarter after the quarter of exit. These fields replace existing field 29d. The new Common Measures earnings gain requires wages in the second and third quarters after exit rather than first and third quarters after exit.
Form Heading 2	Employer Information, Contact Information, and Placement Information	<ul style="list-style-type: none"> Most of the information for these sections will be obtained from the participant at the time of the exit interview (or subsequently) or from the sub-grantee's own records. If the participant is unable to provide certain information, it may be obtained from the employer before the date for the 30-day follow-up. <u>Information for fields marked with an asterisk (#5, 6, and 15-20) can be obtained from the employer at the time of the 30-day follow-up.</u> Information obtained from the participant may need to be verified once the sub-grantee has made contact with the employer. For users of the data application, elements 3-6 and 9-13 are entered from the Employer tab under Manage Utility Data on the main page.
3	Name of employer	<ul style="list-style-type: none"> Enter the name of the parent organization at which the participant is placed. This will be the entity whose FEIN you enter in field 5. Do not enter the name of a satellite office or branch unless it has a separate FEIN. The location at which the participant is placed will be listed in field 9. The

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>contact person's name and address will be entered in fields 10 and 11.</p> <ul style="list-style-type: none"> You should standardize the names of employers so that an employer is not entered multiple times under different names. For users of the data application, there is a drop-down menu from which you must select a previously entered employer. If the employer you want is not listed, you must add a new one from the Employer tab under Manage Utility Data on the main page.
Topic 2 (New)	Accessing stored host agency information in the DCS when a host agency becomes an employer	<ul style="list-style-type: none"> The DCS does not have the capability to display previously entered data when an existing host agency becomes an unsubsidized employer. You will have to re-enter the employer and employer remote site information using the Employer tab under Manage Utility Data on the main page of the DCS. You will not have to re-enter an existing host agency contact person, however. When you go to the Employer Site Contact sub-tab, you can select someone previously entered as a host agency contact and link that individual to the employer remote site without having to re-enter the individual's name and address. Of course, if the contact person is not the same, you must enter a new contact person as well. SPARQ 2 will enable you to select a previously entered host agency for this field without having to re-enter any information.
4	Employer mailing address	<ul style="list-style-type: none"> The mailing address fields will be used to generate letters and mailing labels for the customer satisfaction survey. Be sure to enter the information as you want it to appear on the envelope.
4a	Number, street, suite number; and/or PO Box	<ul style="list-style-type: none"> If the address has a post office box rather than a street, use field 4a to record that information. If there are both a street and a post office box, record both in field 4a.
5 (Revised)	FEIN	<ul style="list-style-type: none"> Every effort must be made to obtain the employer's Federal Employer Identification Number (FEIN). If an employer refuses to provide the FEIN, it should be informed that its refusal will not affect the decision to provide services to the employer. If you cannot obtain the FEIN, leave it blank. Do not enter N/A or dummy data. For self-employed participants, leave this field blank. The FEIN will be used as a unique identifier for employers. Ultimately, the FEIN will be used to ensure that employers are only surveyed once each year.
6	Employer type	<ul style="list-style-type: none"> Check the appropriate box to indicate whether the employer is a private not-for-profit, a private for-profit, or a government entity. Check 6d if the participant is engaged in self-employment.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
6d (Revised)	Self-employment	<ul style="list-style-type: none"> Self-employment may be verified by any proof that the individual has started a business, such as tax registration, business cards or invoices, or a state license. The individual does not have to prove income from the business, but the receipt of income would suffice to establish self-employment. If the participant is self-employed, you will only need to capture minimal information on these sections of the Unsubsidized Employment Form: Fields 1-3, 6, 14, 15, 18, and 20. Until SPARQ 2 is implemented, you will get missing data error messages for the fields you have left blank. You should ignore these messages. A self-employed participant will not receive the employer survey (although the individual may be selected for the participant survey) but will be included in the SCSEP measures (placement and retention) and the Common Measures (entered employment and retention). Self-employed participants will not be included in the earnings change measures. All three follow-ups are required.
Topic 3 (New)	Determining whether the participant is self-employed or an employee	<ul style="list-style-type: none"> There is no simple way to determine if a participant is truly self-employed or is being forced to work as an independent contractor by an entity that should be considered the participant's employer. It is a question of state law whether the participant is an employee or an independent contractor (self-employed). In many states, the participant is considered an employee unless she held herself out to the public as being engaged in her occupation and was free from direction and control in the performance of her duties. For unskilled, unlicensed work, this is a very hard standard to meet. If you believe that the participant is being forced to work under the table and is being deprived of rights under state and federal law, e.g., to Social Security, unemployment compensation, workers' compensation, you should inform the participant that the arrangement may be illegal, that the participant is entitled to all of the protections of state and federal employment laws, and that you can assist the participant in filing a complaint with the appropriate authorities. You should also inform the participant that you are required to contact the employer to confirm the employment and to obtain wage information. Your involvement should be sufficient to persuade the employer to comply with the law. Any retaliation against the participant by the employer would expose the employer to serious liability. On the other hand, if the participant is fully aware of her rights and is comfortable with being paid as an independent contractor, you may not wish to interfere. For SCSEP purposes, there is not a significant difference in the way you treat an individual who is self-employed versus an individual working as an employee for an employer. For self-employed participants, you will do somewhat less follow-up and you will not be delivering the employer survey. The follow-up issue for self-employed participants is addressed in Topic 12 below.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
7	Is employer a host agency	<ul style="list-style-type: none"> Unsubsidized employers that have served as a host agency for this participant or any other participant (under any state or national grant) in the last 12 months will not be included in the customer service survey of employers. They will be in the pool for the host agency survey.
8	Did employer provide a Section 502(e) or OJE training site for this participant	<ul style="list-style-type: none"> Check the appropriate box to indicate if the employer provided a training site for this participant under the Section 502(e) program or provided an on-the-job experience (OJE) under the regular program for this participant. Placements under the 502(e) program are treated differently from regular program placements for purposes of the performance measures. OJE placements are a subset of regular program placements.
Topic 4	Section 502(e) placements and the performance measures	<ul style="list-style-type: none"> The last page of the QPR contains the Section 502(e) performance measures, which are limited to the Common Measures. Section B of the QPR also contains a count of all placements, including those under Section 502(e). There are fields on both the Participant Form and the Unsubsidized Employment Form that identify Section 502(e) placements. The system will generate these measures for the Section 502(e) program just as it does for the regular program. Under the regulations, if a single grantee has registered the participant in both the regular program and the Section 502(e) program, the placement is only counted once, in the Section 502(e) program. The participant will be excluded from the calculation of the regular program placement rate. If one grantee has registered the participant in the regular program and another grantee has placed the participant in the Section 502(e) program, both grantees receive credit for the placement. As long as field 40f of the Participant Form has the name and code of the Section 502(e) grantee and field 8 of the Unsubsidized Employment Form indicates that the employer provided a Section 502(e) training site assignment for the participant, the data collection system will automatically credit both grantees when the outcome data are reported. Only the Section 502(e) grantee will have to conduct the follow-up activity. The regular program grantee will indicate an exit for unsubsidized employment in field 5 of the Exit Form.
Form Heading 3	Contact Information	<ul style="list-style-type: none"> This section is used to record information about the employer contact person. This is the individual who will receive the customer service survey. The contact information is designed to facilitate your contacting this person by phone, by mail, or in person if necessary. For users of the data application, elements 9-13 are entered from the Employer tab under Manage Utility Data on the main page.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
9	Employment site name and location	<ul style="list-style-type: none"> Enter the site at which the participant is assigned. This is necessary even if the employer has just one site. Do not enter a full address. Merely provide enough information so that you can locate the participant at the host agency.
10	Name of contact person	<ul style="list-style-type: none"> The contact person is the individual with whom the sub-grantee has had the most contact regarding the placement of the participant. It is not necessarily the participant's supervisor. This is the individual who will receive the customer satisfaction survey. Enter the contact person's name as you want it to appear on the cover letter and mailing label for the customer satisfaction survey. Although the first survey should be hand-delivered to the employer contact, the second survey may be mailed.
11 (Revised)	Contact person's mailing address if different from number 4	<ul style="list-style-type: none"> Enter a business address for the contact person only if it is different from the employer's main mailing address (field 4 above). The data application does not add the employer's name to the mailing address of the contact person. If you want to add the employer's name, you will have to put it on line 11a with the street address. That line holds 249 characters so there should be sufficient room. Another line will be added to the field for the contact person's address in SPARQ 2. This field will be used for letters and mailing labels for the customer satisfaction surveys.
11a Discontinued July 1, 2005 (Revised)	Number, Street, Suite Number; or PO Box	<ul style="list-style-type: none"> Effective July 1, 2005, this field is renumbered 11b and a new field 11a is added. If the address has a post office box rather than a street, use field 11a to record that information. If there are both a street and a post office box, enter both in field 11a.
11a Effective July 1, 2005 (New)	Organization or address field 1	<ul style="list-style-type: none"> This new field is effective July 1, 2005. Enter here the name of the organization at which the contact person will receive mail. You should enter this information for all employer contact persons in your database. Use field 11b to enter the street address or post office box for the contact person regardless of whether you enter anything into field 11a.
12	Contact person's title	<ul style="list-style-type: none"> Enter the title by which the contact person is known at the employer's facility. This may facilitate your contacting the individual.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
12a Effective July 1, 2005 (New)	Contact person's salutation	<ul style="list-style-type: none"> This new field is effective July 1, 2005. Select either Mr. or Ms as the salutation for the contact person. The salutation will be used for the customer satisfaction survey cover letters. You should enter this information for all employer contact persons in your database.
13	Contact person's phone number	<ul style="list-style-type: none"> This field may be used to help you reach the contact person.
14	Start date	<ul style="list-style-type: none"> Enter the date on which the participant began work with this employer. This will be the date of placement for purposes of the performance measures. The exit date on the Exit Form (field 7) must also be filled out. The exit date will usually be the day before the start date.
15	End date	<ul style="list-style-type: none"> Enter the date on which the unsubsidized employment with this employer ended. If there is additional unsubsidized employment within three quarters after the quarter of exit from SCSEP, all unsubsidized employment will be included in the performance measures. The end date will determine when follow-up activity for each employer may be terminated. No end date is required for a placement that continues for more than three quarters after the quarter of exit. You will not have to obtain follow-up information after the third quarter.
16 (Revised)	Starting wage per hour	<ul style="list-style-type: none"> Enter the wage rate that the participant received at the beginning of employment with this employer. Do not update this field. This information is for management purposes only. It is not used for the performance measures.
17	Benefits	<ul style="list-style-type: none"> Check all benefits that the participant received (or was promised) at the time of employment. If "other," specify the additional benefit or benefits that the participant received. If the participant did not receive any benefits, check "none." This information is for management purposes only. It is not used for the performance measures.
18	At time of placement, is employment expected to	<ul style="list-style-type: none"> Check the appropriate box to indicate whether the employment was expected to be full-time or part-time at the time of hire. If part-time, specify the number of hours per week that the participant was expected to work. Full-time work means work of at least 40 hours per week, or such lesser amount as determined by the employer to

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
	be full- or part-time	<p>constitute full-time work.</p> <ul style="list-style-type: none"> The rules have been revised to reflect that all part-time placements may be counted. There is no requirement that the job provide at least 20 hours of work per week or that it be more favorable than the prior SCSEP assignment. If the participant received any income greater than zero from unsubsidized employment (or was self-employed), the placement will count if it lasts at least 30 days in the 90 days following exit. This approach is consistent with the Common Measures definition of entered employment.
19	Job title	<ul style="list-style-type: none"> Enter the participant's job title as determined by the employer. This should be a descriptive title, such as receptionist, nutrition aide, or bus driver. No occupational code is required.
19a Effective July 1, 2005 (New)	High growth placement	<ul style="list-style-type: none"> This field is effective July 1, 2005. Use this field to indicate if the placement is in one of the 12 high growth industries included in the president's initiative. You must select one of the 12 listed industries or "none."
20	Training-related placement	<ul style="list-style-type: none"> Check "yes" if the participant is performing work related to the assignment that the participant had with the host agency or to any training provided by the sub-grantee. Information about the current job will usually be obtained from the participant, but it may be necessary to obtain additional information from the employer. Information about the host agency assignment and other training should be available from the sub-grantee's records.
21	Was placement the result of a substantial service provided to the employer by the sub-grantee?	<ul style="list-style-type: none"> It is understood that all placements are, to some extent, the result of the SCSEP program. Without the training provided by the community service assignment, participants would not have the skills and self-confidence needed to obtain employment. However, this question is designed solely to determine whether the employer perceives the sub-grantee as having actively facilitated the placement. Check "yes" only if the sub-grantee provided a substantial service to the employer as part of the placement process and the employer was aware of the efforts of the sub-grantee, e.g., the sub-grantee referred the applicant to the employer and the employer was aware of the referral. If the participant found his or her own job or if the sub-grantee only provided assistance directly to the participant without the employer's knowledge, check "no." This information will be used to determine which employers will receive the customer service survey. It is not relevant to employers that are host agencies because they are excluded from the employer survey.
22	Unsubsidized employment comments	<ul style="list-style-type: none"> Use this field to record any additional information about the unsubsidized employment. You may enter up to 1000 characters (about 160 words).

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Form Heading 4	Customer Service Survey Information	<ul style="list-style-type: none"> • This section is used to record the pre-printed number on the survey instrument delivered to the employer and the date on which the instrument was delivered. To obtain the required response rate (70%), sub-grantees will have to deliver a second survey to those employers that do not complete the first survey. • The information for this section must be provided by the sub-grantee when the customer service survey is administered to an employer. The information is only provided for those employers selected for the survey. • An employer is only selected for the survey once each year at the time of the first 30-day follow-up for a new placement that meets the selection criteria. Employers that are host agencies will not receive the employer survey. Employers that did not have substantial contact with the sub-grantee at the time of placement will not receive a survey. Self-employed individuals will not receive the employer survey. Employers will be surveyed even if the placement did not last for 30 days.
Topic 5 (New)	Employer survey when sub-grantee works for two grantees	<ul style="list-style-type: none"> • Sub-grantees have received separate batches of employer surveys from each grantee for which they work. It is important to keep the batches separate because each grantee has a distinct numbering sequence. Using the wrong grantee's survey could give credit to the wrong grantee. • If an employer hires two participants, one from each grantee for which the sub-grantee works, the employer should only be surveyed for the first placement. If the two placements happened simultaneously, you should flip a coin to determine which grantee's survey you use.
23 (New)	CS Survey #1; date	<ul style="list-style-type: none"> • Enter in this field the survey number and date for the first survey delivered to a qualified employer. Each survey number is unique and can only be entered once. If a qualified employer has subsequent placements in the same program year, the employer is not re-surveyed and this field is left blank for the subsequent placements. • The survey number and date are essential for computing the response rate and for assigning credit for the survey to the correct grantee. • The survey number is unique to the placement of a single participant and must not be entered in the placement record of any other participant. • If no survey is delivered, leave this field blank.
24 (New)	CS Survey #2; date	<ul style="list-style-type: none"> • A second survey should be delivered to the employer if the first survey is not returned within three weeks. You use a new survey with a new survey number. • Enter the second survey number and date in this field. If a second survey is not delivered, leave this field blank.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
25 (New)	CS Survey #3; date	<ul style="list-style-type: none"> This field is for the number and date of the third survey delivered to a qualified employer for the same placement. At this time, sub-grantees are not required to deliver a third survey. If a third survey is not delivered, leave this field blank.
Form Heading 5	Follow-up Information	<ul style="list-style-type: none"> Follow-ups are required in order to obtain information needed for the performance measures, to provide case management to the newly placed participant, to establish or maintain contact with the employer, and to deliver the customer service survey to the employer. The system has been designed to require the minimum possible number of follow-ups. <u>If efforts to obtain the information from the employer are unsuccessful, the sub-grantee may obtain the information from the participant.</u> Failure to conduct required follow-ups may be considered a violation of the administrative requirements of the grant. If you are unable to obtain the follow-up information, you can so indicate for each of the follow-ups. However, incomplete follow-up information, regardless of the reason for the incompleteness, will have a negative effect on performance measures and may jeopardize the grantee's funding.
Topic 6 (New)	Documenting follow-up information	<ul style="list-style-type: none"> When you conduct the three required follow-ups, it is important that you document the information you receive regarding employment and wage information. This documentation is required for the Common Measures and is likely to be required for data validation as well. If you rely on documents, you should copy the documents for the file. If you use the phone or an in-person interview, you should use the comment field on the Unsubsidized Employment Form to record the individual spoken to, the date, the information conveyed, and the case worker who obtained the information. For example, "Follow-up 2: Spoke to bookkeeper Roger Johnson by phone on 1/25/05. He reported that participant was still employed at 180 days and gave me the Q1 wages. BP" For self-employment, you should also copy and file any documents that you used to determine that the participant was engaged in a bona fide business.
Topic 7 (Revised)	Follow-up information, how to obtain from employer	<ul style="list-style-type: none"> The follow-up information is best obtained from the employer. Participants may not work consistent hours and may not keep accurate records of their pay for the quarter. You must make reasonable efforts to obtain the information from the employer before you seek it from the participant. The participant is not required to sign the waiver. However, even if the participant does not sign the waiver or wish you to contact the employer, you are still required to obtain the information from the employer. Although some participants may be reluctant to have their employers know about their participation in

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>SCSEP, it is important that employers become aware of the program. Doing the follow-up activity with the employer is an opportunity for you to establish a relationship with the employer that may lead to additional placements. You should attempt to assure participants that their involvement with SCSEP will be seen as a positive factor by employers and will not in any way jeopardize their employment. You should discuss this issue at orientation so participants understand how important employer contact is to the program and are not surprised at exit to discover that you will be contacting their employers.</p>
Topic 8	Follow-up information, inability to obtain	<ul style="list-style-type: none"> • All exiters (with a few limited exceptions) are included in the performance measures. If the sub-grantee does not record the required employment or wage information into the SCSEP data collection system by the specified deadlines, the absence of data is treated as though the exiter had no employment or wages. Placement, entered employment, retention, or earnings gain could be affected, depending on which information is missing. • DOWP recognizes that some employers may be reluctant to provide the required information. For that reason, it has recommended that the sub-grantee obtain a waiver of confidentiality from the participant at the time of exit and that the sub-grantee conduct the 30-day follow-up in person. This first follow-up will provide an opportunity for the sub-grantee to establish a relationship with the employer and to explain the importance of the follow-up information before the sub-grantee has to ask the employer for wage information. Furthermore, if the employer is unwilling to provide the information, the sub-grantee may obtain it from the participant. There may be cases where the participant can no longer be located, but these should be fairly uncommon. • For those rare instances where the sub-grantee cannot obtain the information from either the employer or the participant, there is a code in fields 26, 29 and 30 of the follow-up section of the this form for the sub-grantee to indicate that it could not obtain the information. Although entering this code will not prevent the exiter from being counted negatively in the performance measures, it will give the sub-grantee a way to track and document the extent of the problem. This issue will be eliminated once DOL obtains access to the UI wage records for all of the national programs.
Topic 9	Follow-ups for participants working under the table and	<ul style="list-style-type: none"> • If the participant refuses to provide any information about the employer, you will not receive any credit at all, either in the performance measures or in Section B of the QPR, which reports non-qualifying placements. A non-qualifying placement is one that does not last for 30 days. Non-qualifying placements must be documented within the data system. • If the participant is working under the table, you should inform the participant that the arrangement is illegal, that the participant is entitled to all of the protections of state and federal wage and hours laws, and

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
	unwilling to reveal their employers	<p>that you can assist the participant in filing a complaint with the appropriate authorities. You should also inform the participant that you are required to contact the employer to confirm the employment and to obtain wage information. Your involvement should be sufficient to persuade the employer to comply with the law. Any retaliation against the participant by the employer would expose the employer to serious liability.</p> <ul style="list-style-type: none"> If the participant is willing to identify the employer and the participant is employed for 30 days within the first 90 days following exit, the placement will count toward your goal regardless of the employer's method of paying the participant. Workers are sometimes compelled by their employers to accept illegal working conditions. Neither you nor the participant should be penalized for the employer's actions.
Topic 10 (Revised)	Follow-ups, due dates for completing	<ul style="list-style-type: none"> The due dates for completing the three follow-ups are different for each of the follow-ups. If a follow-up is not completed by the due date, the measures that are the subject of that follow-up will be considered as a failure in the QPR for that quarter, e.g., no retention or zero wages for the quarter. Subject to the rules in Topic 11 below, grantees will be allowed to correct data and to provide missing data, including follow-up data, in subsequent quarters. For example, if a follow-up is completed in the quarter after the quarter in which the 120th day after exit falls or the 210th day after placement falls, the grantee will be given credit for the placement or retention in that subsequent quarter's report. Additionally, grantees will have until 90 days after the end of the fourth quarter to re-submit their entire file for the generation of the Final QPR. Any follow-up that was not completed in the required quarter or in a subsequent quarter of the program year and was thus counted as a failure may be submitted during this 90-day close-out period and will be included in the Final QPR (as long as the 120th day after exit or the 210th day after placement falls during that program year). The Final QPR will be used to determine whether a grantee has met its negotiated performance goals. Follow-up 1 is designed for case management purposes and for delivering the customer satisfaction survey to the employer, as well as for establishing placement. Therefore, it should be completed as close to the 30-day date as possible. For the vast majority of participants, this will be 30 days after the start of work. Under the statutory definition of placement, however, the 30-day date may be achieved any time within the first 90 days after the date of exit. The data system adds 30 days to this 90-day date and then gives you to the end of the quarter in which the 120th day falls to complete the follow-up. Any follow-up completed by the end of that quarter (and at least 30 days after the start of work) is considered timely. Follow-up 2 is solely for the performance measures. Again, the system adds 30 days to the 180-day date and allows you to the end of the quarter in which the 210th day falls to complete the follow-up. Any

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<p>follow-up completed by the end of that quarter (and at least 181 days after the start of work) is considered timely.</p> <ul style="list-style-type: none"> Both Follow-up 1 and Follow-up 2 are driven by the date of placement and thus are scheduled on a rolling basis. Follow-up 3, which is solely for the Common Measures, is scheduled for the end of the third quarter after the quarter of exit. Because you must wait for the third quarter to end to have complete wages for that quarter, you will wind up doing the third follow-up at least a week or two after the close of the third quarter, i.e., some time in the fourth quarter after the quarter of exit, and you must complete the follow-up any time during that quarter. The following example illustrates the timing for the three follow-ups. It assumes that the participant exits and is placed in unsubsidized employment at some time during the first quarter of the next program year, July 1, 2005-September 30, 2005. <p>*PY 2005 Q1 (7/1-9/30/05) is the quarter of exit. *PY 2005 Q2 (10/1-12/31/05) is the first quarter after the quarter of exit. *PY 2005 Q3 (1/1-3/31/06) is the second quarter after the quarter of exit. *PY 2005 Q4 (4/1-6/30/06) is the third quarter after the quarter of exit. *PY 2006 Q1 (7/1-9/30/06) is the fourth quarter after the quarter of exit.</p> <p>Follow-up 1 must be completed in the quarter in which falls the 120th day after <u>the date</u> of exit. In this example, that date may be in either PY 2005 Q2 or PY 2004 Q3, depending on the exact date of exit. The follow-up may be conducted as early as 30 days after the date of placement, which would be in either PY2005 Q1 or PY2005 Q2.</p> <p>Follow-up 2 must be completed in the quarter in which falls the 210th day after <u>the earliest start employment date</u>. This will be either PY2005 Q3 or PY2005 Q4, and must always be after the first quarter after the quarter of exit (in this example, PY2005 Q2) so that you can determine whether there were any wages for that quarter. Follow-up 2 may be completed as early as 180 days after the earliest date of placement, which would be in either PY2005 Q3 or PY2005 Q4.</p> <p>Follow-up 3 is conducted after the close of the third quarter after <u>the quarter</u> of exit, i.e., during the fourth quarter after the quarter of exit. In this example, it must be completed in PY 2006 Q1.</p>

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
Topic 11 (New)	Rules for determining in which quarter and program year performance outcomes will be reported	<ul style="list-style-type: none"> • SCSEP has adopted a very flexible schedule for reporting that accommodates early credit for performance outcomes. The technical implementation of this system requires additional logic to ensure that performance is counted correctly. The reporting system accommodates early reporting, but not late reporting. For each of the measures, the following key concepts drive the reporting logic: <ul style="list-style-type: none"> ○ Relevant follow-up date is the completion date for the follow-up used to determine performance success. ○ Due date for follow-ups. If a follow-up is not completed by the due date, it is counted as a failure in that quarter. If it is subsequently completed, it may or may not be counted depending upon the timing conditions described below. Each performance measure has a rule for determining the due date. ○ Last reporting program year is the last program year (July 1 through June 30) in which the relevant follow-up can be included in the performance outcome. The last reporting program year is the program year in which the due date falls. ○ Earliest reporting date for a successful follow-up is the earliest follow-up completion date that SPARQ will accept for a positive outcome. Each performance measure has a rule that can be used to determine the earliest reporting date for the recording of a successful follow-up. ○ Prior program year is the year before the last reporting program year. If the earliest reporting date is in the program year prior to the last reporting program year, the performance outcome can be counted in the prior program year depending on the relevant follow-up date. If the earliest reporting date is in the last reporting program year, the performance outcome can only be counted in the last reporting program year. • Given the possible combinations of the five concepts described above, performance outcomes can be classified into five types: 1) normal; 2) early; 3) delayed – reported in last program year; 4) delayed – reported in prior program year; and 5) late. The following tables display the five types of reporting for SCSEP performance outcomes and the rules for determining in which program year the credit will be reflected. There are two additional tables for the Common Measures.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments			
		Five Types of Reporting of SCSEP Performance Outcomes			
		Timing Type	Description	Quarterly Report	Final QPR
		Normal	The follow-up occurred in the last reporting program year and <i>could not</i> have occurred in any other program year	Counted in the quarter in which the follow-up occurred	Included in the final QPR for the last reporting program year
		Early	The follow-up occurred in the prior program year	Counted in the quarter in which the follow-up occurred	Included in the final QPR for the prior program year
		Delayed – last program year	The follow-up occurred within 90 days after the end of the last reporting program year	Not counted on any quarterly report	Included in the final QPR for the last reporting program year
		Delayed – prior program year	The follow-up occurred in the first 90 days of the last reporting program year, but <i>could</i> have occurred in the prior program year	Not counted on any quarterly report	Included in the final QPR for the prior program year
		Late	The follow-up occurred more than 90 days after the end of the last reporting program year	Not counted on any quarterly report.	Not counted on any final QPR.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments																			
		<p style="text-align: center;">Rules for Determining Key Dates and Last Reporting Program Year by Measure</p> <table><tr><th>Performance Measure</th><th>Earliest Reporting Date</th><th>Due Date for Follow-up</th><th>Last Reporting Program Year</th><th>Relevant Follow-up Date</th></tr><tr><td>E1 SCSEP placement</td><td>30 days after earliest placement start date</td><td>End of quarter in which the 120th day after exit falls</td><td>The PY of the date of exit + 120 days</td><td>Earliest follow-up 1 completed date where employed for 30 days is “Yes”</td></tr><tr><td>E4 SCSEP retention</td><td>180 days after earliest placement start date or 1st day of second quarter after exit, whichever is later</td><td>End of quarter in which 210th day after earliest placement start date falls</td><td>The PY of the initial placement start date + 210 days</td><td>Earliest follow-up 2 completed date where employed on 180th day after placement is “Yes”</td></tr></table> <ul style="list-style-type: none">As with the SCSEP performance measures, common measures reporting accommodates early, but not late, reporting. For each of the measures, the reporting logic is driven by 1) relevant follow-up date, 2) due date, 3) last reporting program year, 4) earliest reporting date, and 5) prior program year, as described above.Given the possible combinations of the five types of information listed above, performance outcomes can be classified into four types: 1) normal; 2) early; 3) delayed; and 4) late.Because a performance outcome cannot be reported as “delayed in prior program year,” we do not divide our scenarios into different groups based on initial start placement date.					Performance Measure	Earliest Reporting Date	Due Date for Follow-up	Last Reporting Program Year	Relevant Follow-up Date	E1 SCSEP placement	30 days after earliest placement start date	End of quarter in which the 120 th day after exit falls	The PY of the date of exit + 120 days	Earliest follow-up 1 completed date where employed for 30 days is “Yes”	E4 SCSEP retention	180 days after earliest placement start date or 1 st day of second quarter after exit, whichever is later	End of quarter in which 210 th day after earliest placement start date falls	The PY of the initial placement start date + 210 days	Earliest follow-up 2 completed date where employed on 180 th day after placement is “Yes”
Performance Measure	Earliest Reporting Date	Due Date for Follow-up	Last Reporting Program Year	Relevant Follow-up Date																	
E1 SCSEP placement	30 days after earliest placement start date	End of quarter in which the 120 th day after exit falls	The PY of the date of exit + 120 days	Earliest follow-up 1 completed date where employed for 30 days is “Yes”																	
E4 SCSEP retention	180 days after earliest placement start date or 1 st day of second quarter after exit, whichever is later	End of quarter in which 210 th day after earliest placement start date falls	The PY of the initial placement start date + 210 days	Earliest follow-up 2 completed date where employed on 180 th day after placement is “Yes”																	

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments																							
		Four Types of Reporting of Common Measures Performance Outcomes																							
		<table><tr><th>Timing Type</th><th>Description</th><th>Quarterly Report</th><th>Final QPR</th></tr><tr><td>Normal</td><td>The follow-up occurred in the last reporting program year</td><td>Counted in the quarter in which the follow-up occurred</td><td>Included in the final QPR for the last reporting program year</td></tr><tr><td>Early</td><td>The follow-up occurred in the prior program year</td><td>Counted in the quarter in which the follow-up occurred</td><td>Included in the final QPR for the prior program year</td></tr><tr><td>Delayed</td><td>The follow-up occurred within 90 days after the end of the last reporting program year</td><td>Not counted on any quarterly report</td><td>Included in the final QPR for the last reporting program year</td></tr><tr><td>Late</td><td>The follow-up occurred more than 90 days after the end of the last reporting program year</td><td>Not counted on any quarterly report</td><td>Not counted on any final QPR</td></tr></table>	Timing Type	Description	Quarterly Report	Final QPR	Normal	The follow-up occurred in the last reporting program year	Counted in the quarter in which the follow-up occurred	Included in the final QPR for the last reporting program year	Early	The follow-up occurred in the prior program year	Counted in the quarter in which the follow-up occurred	Included in the final QPR for the prior program year	Delayed	The follow-up occurred within 90 days after the end of the last reporting program year	Not counted on any quarterly report	Included in the final QPR for the last reporting program year	Late	The follow-up occurred more than 90 days after the end of the last reporting program year	Not counted on any quarterly report	Not counted on any final QPR			
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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments				
		Rules for Determining Key Dates and Last Reporting Program Year by Measure				
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Topic 12 (New)	DCS follow-up reports and scheduled dates	<ul style="list-style-type: none"> • Version 2.1 of the DCS contains management reports for pending follow-ups and overdue follow-ups (those pending more than 20 days after the scheduled date.) The reports have been extensively revised from the reports in DCS version 2.0. The scheduled dates in the reports and the DCS have also been revised. • For Follow-up 1, the scheduled date is 30 days from the first start employment date for the first unsubsidized employment. For all unsubsidized employments after the first, the scheduled date is 90 days from the date of exit. • For Follow-up 2, if there has been a placement, the scheduled date is 180 days after the first start employment date or the first day of the second quarter after the quarter of exit, whichever is later. If there has not been a placement, the scheduled date is the first day of the second quarter after the quarter of exit. • For Follow-up 3, the scheduled date is the first day of the fourth quarter after the quarter of exit.
Topic 13 (New)	Follow-ups for self-employed participants	<ul style="list-style-type: none"> • The procedure for following up self-employed participants has changed since the previous version of the Handbook. The original instruction said that self-employment would only count for SCSEP placement and retention. As a consequence, you were instructed to do Follow-up 1 and Follow-up 2 only. DOWP has now been informed that it can also count self-employment for the Common Measures entered employment and retention measures. That requires you to do Follow-up 3 as well. Self-employed individuals will remain excluded from the Common Measures earnings change measures. • The Handbook instructions for determining self-employment remain in effect. You must document that the participant is engaged in a bona fide business, but you do not obtain any information about income or earnings. Self-employment may be verified by any proof that the individual is engaged in a business, such as tax registration, business cards or invoices, or a state license. The individual does not have to prove income from the business, but the receipt of income would suffice to establish self-employment. • For Follow-up 1, you capture all listed information. Because you do not deliver the employer customer satisfaction survey to a self-employed participant, field 26e should be marked “no.” Field 26f may be left blank or marked “no.” • For Follow-up 2, you capture all listed information, except you do not enter any wages into field 29d. You indicate yes (vi) in field 29c if the participant was still engaged in self-employment at any time during the second quarter after the quarter of exit. • For Follow-up 3, you capture all listed information, except you do not enter any wages into field 30e. You indicate yes (vi) in field 30d if the participant was still engaged in self-employment at any time during the third quarter after the quarter of exit.

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Topic 14 (New)	“Orphan exiters”: follow-up for participants who exited before a sub-grantee has gone out of business	<ul style="list-style-type: none"> • Whenever a change of sub-grantee occurs, there may be exited participants who are still in the follow-up period, typically 12 months after the date of exit. Since these “orphan exiters” are not active participants, the question arises as to which entity will handle their follow-up once the old sub-grantee goes out of business. • You cannot transfer participants who exited from a closing sub-grantee. Once an exit has occurred for any reason, you can no longer enter a transfer into the database. You have three options for addressing this situation: <ol style="list-style-type: none"> 1. Let the sub-grantee go out of business, ignore the orphan exiters, and lose any remaining outcome credit for exited participants. DOWP strongly discourages this option because it will negatively affect performance at the grantee and nationwide levels. 2. Arrange for the new sub-grantee that is receiving all the active participants from the closing sub-grantee to take responsibility for the orphan exiters as well. The easiest way for this to occur is for the receiving sub-grantee to receive the entire database of the closing sub-grantee. (SPARQ 2 will facilitate the entry of the database by the receiving sub-grantee.) The receiving sub-grantee would treat the orphan exiters, like the active participants, as though they had always been enrolled with the new sub-grantee rather than the old. At the time the records are re-entered, the database registration of the old sub-grantee would be deleted. Otherwise, the state grantee would get credit twice for whatever performance measures, e.g., placement, most in need, had already occurred at the time of the change of sub-grantee. 3. Have the grantee perform the follow up activities for the orphan exiters. The grantee would essentially take over the database of the sub-grantee that is going out of business and would update the records of only the orphan exiters. The records of the active participants would be deleted from the database of the old sub-grantee at the time they are re-entered by the new receiving sub-grantee, and the entire database for the old sub-grantee would be deregistered from SPARQ when the outcomes for the orphan exiters was final. 4. Assign the follow-up for the orphan exiters to a sub-grantee other than the one that is receiving the active participants from the old sub-grantee. This sub-grantee would have to re-enter the entire records of only the orphan exiters. Again, SPARQ 2 will facilitate this administrative action. Under this option, the records of the active and orphan exiters would be deleted from the database of the old sub-grantee at the time they are re-entered by the new sub-grantees, and the entire database for the old sub-grantee would be deregistered from SPARQ at the end of the program

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		<p>year once all reporting for the remaining exiters was final.</p> <ul style="list-style-type: none"> When SPARQ 2 is implemented, the re-entering of records discussed above will be eliminated. Grantees and sub-grantees will be able to access the records of the sub-grantee that went out of business without reentering any data.
26 (Revised)	Follow-up 1	<ul style="list-style-type: none"> Follow-up 1 is designed for case management purposes and for delivering the customer satisfaction survey to the employer, as well as for establishing placement. Therefore, it should be completed as close to the 30-day date as possible. For the vast majority of participants, this will be 30 days after the start of work. Under the statutory definition of placement, however, the 30-day date may be achieved any time within the first 90 days after the date of exit. The data system adds 30 days to this 90-day date and then gives you to the end of the quarter in which the 120th day falls to complete the follow-up. Any follow-up completed by the end of that quarter (and at least 30 days after the start of work) is considered timely. The 30-day follow-up should be conducted in person if at all possible. If it is not feasible to conduct the follow-up in person, it may be conducted by phone, and the customer service survey may be mailed to the contact person. You will conduct this follow-up with self-employed individuals solely to determine whether they have been self-employed for 30 days. You will not give them the employer survey. If the participant has multiple employers, you conduct Follow-up 1 with all employers that the participant has until a placement is achieved or 90 days have elapsed after exit, whichever is earlier. If the participant achieves a placement with one employer and then has subsequent employment with another employer, you do not conduct Follow-up 1 with the subsequent employer. You might have to do Follow-up 2 with both the first and second employers depending upon when the first employment ended. The follow-up with the participant is part of case management. It is an opportunity to see if the placement is going well and to determine if the participant needs supportive service, counseling, or other assistance to be successful in the placement. If the placement is not working out, the follow-up may be the time to suggest another placement for the participant. The follow-up is also an opportunity to establish a relationship with the employer if one has not already been established. This may be especially important if the participant obtained the job without assistance from the sub-grantee and the employer is not aware of the connection with the program. This contact allows the sub-grantee to explain SCSEP to the employer, learn about the employer's needs, and begin a relationship that may yield additional placements. Sub-grantees should use this first follow-up to prepare the employer for the next two follow-ups, when

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		<p>the employer will need to provide wage information. Explaining the need for this information during an in-person conversation may make the employer more willing to cooperate later.</p> <ul style="list-style-type: none"> Note: The 30-day follow-up does not itself constitute a substantial service that would render the employer subject to the customer service survey. All employers will receive the 30-day follow-up. Only those employers that have received a substantial service in connection with the placement of the participant will receive the customer service survey during the 30-day follow-up.
Topic 15	Placements for participants who exit in June 2004.	<ul style="list-style-type: none"> The new data system is only for participants who are active on or after July 1, 2004. Therefore, any participant who exits prior to July 1, 2004, is not included in the database or the performance measures generated by the new system. All those exiting during PY 2003 will be reported in the old QPR. DOWP will give you 90 days after the end of the program year, or until September 30, 2004, to submit any corrections or additions to your 4th quarter QPR for PY 2003. You will still submit the original QPR on July 30, 2004. You may then follow any participants who exited in June to see if their placement becomes final by September 30. This the last day on which a PY 2003 placement could satisfy the requirement for 30 days of employment within the first 90 days after exit. For example, an exit on June 30, 2004, that does not result in an official placement by September 30, 2004, is a failed placement because the 90 days will have expired on September 30. You may also use this additional time to make any other corrections to your PY 2003 data. Once you submit your corrected 4th quarter QPR on September 30, the books will be closed on PY 2003, and no further adjustments will be possible. For the balance of PY2003, you will be using the existing rules and definitions for filling out the QPR. The new regulatory requirements regarding data collection, e.g., how to count a placement will not be effective until July 1, 2004. The new system will start on July 1, 2004. That means that all new applicants will be entered into the system starting on that date, all enrolled participants must be converted to the new system during the first quarter of PY 2004, and you will conduct follow-ups on any participants who exit starting on July 1. The first QPR using the new system will be due on October 30, 2004.
26a (Revised)	Scheduled date	<ul style="list-style-type: none"> This date is 30 days after the participant first started unsubsidized employment. If the first employment ceased before the participant was employed for 30 days, the system will make the scheduled date for any subsequent employment 90 days after the date of exit, the last date on which a placement can be achieved. You should enter the scheduled date into this field when the form is first filled out so you will know when to conduct the first follow-up. The desktop application will automatically provide this date.

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26b	Actual 30-day date	<ul style="list-style-type: none"> Enter the actual date on which 30 days of employment were achieved. This is the date on which placements become official under the SCSEP legislation. It will usually be 30 calendar days from the date on which the participant started work. Do not enter this date unless and until the 30 days are actually achieved. This date may be up to 90 days after the participant exited the program if the participant ceased employment before 30 days elapsed and then returned to work for any employer within 90 days of exiting the program and had a total of 30 days of employment within that 90-day period. The participant does not need to work continuously for 30 days for any employer or combination of employers. All that is required is that the participant was on the payroll of one or more employers for a total of 30 days. Put another way, the placement is achieved at 30 days only if the participant has remained employed for the entire period. If the participant was not employed for the entire 30 days, the sub-grantee may have to wait for up to 90 days from exit to know if the placement has been achieved. If 30 days of employment were not achieved with this employer, leave this field blank.
Topic 16	Temporary or on-call employment, calculating 30 days for placement	<ul style="list-style-type: none"> A participant in temporary or on-call employment must work for each of 30 days while a participant in permanent employment may actually work fewer days (especially if the permanent employment is part-time) when achieving an official placement. A permanent employee need only be on an employer's payroll for a total of 30 days. Permanent employment has an expectation of continuing work, which temporary employment does not have. A participant cannot be said to be on the payroll of a temporary employer except when the participant is working and receiving wages.
Topic 17	OJEs and placements	<ul style="list-style-type: none"> OJE is a type of training. Because it is subsidized at least in part by the program, it does not qualify as a placement even if the employer directly pays the participants wages during the OJE. Furthermore, a participant must remain enrolled in the program during an OJE. Therefore, the participant does not exit and is not included in the SCSEP or Common Measures performance measures until the OJE ends and the employer has picked up the participant. The start work date on the Unsubsidized Employment Form should be the first day on the employer's payroll after the OJE ended and the participant was exited the program.
26c (Revised)	Completed date	<ul style="list-style-type: none"> Enter the date on which the follow-up is conducted by the sub-grantee. This date is critical for the performance measures. SPARQ not let you submit a follow-up record without this date or with an improper date in this field. The DCS contains case management reports that will help you keep track of follow-ups that are pending or overdue.

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26d (Revised)	Employed for 30 days	<ul style="list-style-type: none"> • Check the appropriate box to indicate whether the participant is still employed. If the participant ceased employment within 30 days after starting employment, this determination must be delayed until the placement has been achieved or the 90 days have expired. • If there are multiple employers, only check “yes” for the one with which the participant is employed at the 30-day date. SPARQ will let you submit any number of records with “no” in this field but only one record with “yes.” Once the participant has achieved a placement with one employer, you do not conduct Follow-up 1 again with any subsequent employers. • If the participant did not remain employed for 30 days, check the appropriate box to indicate whether the participant remains exited (either for a new placement or for some other reason) or has returned to the program and received another community service assignment. • If the participant did not remain employed for 30 days within the first 90 days following exit, the participant is entitled to a new community service assignment without having to re-enroll. See Form Heading 1 of the Exit Form Guide and topic 16 below. • Check the appropriate box to indicate if you were unable to obtain information about the placement from either the employer or the participant. • If you discover that the participant qualifies for one of the exclusions discussed in field 6 of the Exit Form Guide (deceased, medical condition, family care, or institutionalized), check “excluded.” The participant will then be excluded from the relevant performance measures and will not count against your performance. You will not need to conduct Follow-up 2 or Follow-up 3. • If you were unable to obtain the information, you will not be credited with an official SCSEP placement. You will not need to conduct the second and third follow-ups. The participant will be considered as having not entered employment for purposes of the Common Measures.
Topic 18 (Revised)	Placements that fail; right of return	<ul style="list-style-type: none"> • If the participant exits for unsubsidized employment and the placement does not last for 30 days within the first 90 days after exit, the participant is entitled to return to the program (within 90 days of exit) without having to re-enroll. Although the participant has this right, you should make every effort to place the participant in a new unsubsidized job before re-assigning the participant to community service. If the participant accepts a new job, you fill out a new Unsubsidized Employment Form and conduct the follow-ups with the new employer. The new employment will be combined with the original employment for determining both the SCSEP measures and the Common Measures. • There are two boxes in field 26(d) of the Unsubsidized Employment Form that you can use to record whether a participant whose placement failed to last for 30 days will remain exited or is electing to return

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		<p>to the program. If the placement fails and the participant chooses to remain exited (either to accept new unsubsidized employment or to withdraw from the labor market), you check the appropriate box in field 26(d) and leave the information on the Exit Form as you originally entered it.</p> <ul style="list-style-type: none"> On the other hand, if the participant elects to return to the program, you so indicate in field 26(d) of the Unsubsidized Employment Form and then delete the exit reason (field 5) and the exit date (field 7) from the Exit Form. You also fill out a new Community Service Assignment Form to document the host agency assignment. Use the comment field on the Exit Form to explain what you have done. The participant will not be included in the outcome measures until the participant again exits the program.
Topic 19 (New)	Re-enrolling participants who quit their jobs	<ul style="list-style-type: none"> If the participant quit her job, you will obviously want to take that into consideration in deciding whether to take the participant back into the program. If the participant quit with good cause, e.g., she was unsuited to the work or had a health problem and came back to you for services within 90 days of exit, the participant would be entitled to exercise the right of return. Alternatively, you would be justified in exercising your discretion to permit her to re-enroll if she sought to return after 90 days. Of course, before taking the participant back into the program, you will want to determine whether another placement would be suitable. For example, if the participant quit a job for which she lacked sufficient skill but she was otherwise job ready, you should attempt to find her a job for which she is more suited. On the other hand, if the participant quit under conditions that would have amounted to a failure to comply with her IEP, e.g., the job was suitable but she decided that she really did not want to work in any job, you might not let her exercise the right of return, or you could take her back only if she agreed to cooperate in the future and you could treat the quit as a failure to accept a job referral under the IEP. You certainly would not have to permit her to re-enroll. Remember, re-enrollment is discretionary, and a participant who has been terminated for cause or has otherwise demonstrated an unwillingness to abide by the program's rules is not entitled to a second enrollment. Furthermore, if the participant has worked a sufficient time to demonstrate that she is job-ready, she would no longer be eligible for re-enrollment.
26e	Customer service survey delivered	<ul style="list-style-type: none"> Check the appropriate box to indicate whether a survey was provided to the employer. An employer is only selected for the survey once in each year at the time of the first 30-day follow-up for a new placement that meets the criteria. Employers that are host agencies will not receive the employer survey. Employers that did not have substantial contact with the sub-grantee at the time of placement will not receive a survey. Self-employed individuals will not receive the survey. <u>If the employer meets the criteria for the survey, you must give it a survey even if the placement has not</u>

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		<p>lasted for 30 days. If a participant has multiple unsubsidized employers before achieving an official placement, each eligible employer must be surveyed.</p> <ul style="list-style-type: none"> Do not check “yes” until you have actually delivered the survey.
26f	Customer service survey completed	<ul style="list-style-type: none"> If a survey was provided to the employer, check the appropriate box to indicate whether the survey was completed. The vendor will provide this information to the sub-grantee.
27	90-day date	<ul style="list-style-type: none"> In order for the participant to exit for purposes of the Common Measures, the participant must not have received any program services (other than the specifically defined follow-up activities or services listed in the next field) for 90 days. See Form Heading 1 of the Exit Form Guide. At the time of starting this form, compute the 90-day date so you will know when to check to see if the participant has received additional services. The data application will automatically provide this date. A participant will have to be re-enrolled in order to receive additional SCSEP services within 90 days.
28	Has the participant received any services from SCSEP within the first 90 days after exit	<ul style="list-style-type: none"> For purposes of this field, only a participant who re-enrolls will have received SCSEP services within 90 days of exit. If “yes,” an exit has not occurred for purposes of the Common Measures and the participant is excluded from the Common Measures. Follow-ups 2 and 3 are not required. Additional services for purposes of the Common Measures do not include specifically defined follow-up activities or services. If the participant has received any of the following within 90 days after exit, check “no”: <ul style="list-style-type: none"> the payment of reasonable costs of transportation health care and medical services special job-related or personal counseling incidentals (such as work shoes, badges, uniforms, eyeglasses, and tools) child and adult care temporary shelter <p>These follow-up activities are specifically authorized in the regulations for 180 days after exit in order to help a participant in unsubsidized employment achieve retention.</p>
29 (Revised)	Follow-up 2	<ul style="list-style-type: none"> Follow-up 2 is solely for the performance measures: SCSEP retention and Common Measures entered employment. (Effective May 20, 2005, you no longer capture data for Common Measures earnings change 1. as part of Follow-up 2.) Follow-up 2 should be conducted after a participant has been employed for 180 days and after the end of the first quarter after the quarter of exit. (If the participant exited during the last

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		<p>few days of a quarter, you may have to wait a few days after the 180th day for the quarter after the quarter of exit to close.) The data system adds 30 days to the 180-day date and allows you to the end of the quarter in which the 210th day falls to complete the follow-up. Any follow-up completed by the end of that quarter (and at least 180 days after the start of work) is considered timely.</p> <ul style="list-style-type: none"> • For self-employed individuals, you will only need information on SCSEP retention and Common Measures entered employment (any wages in first quarter after exit). You will not have to record the amount of wages. • This follow-up may be conducted in person, by mail, or by telephone. • You will not need to conduct this follow-up or the third follow-up if you were unable to obtain employment information during the first follow-up or if you answered yes in field 28.
Topic 20 (Revised)	Follow-ups for participants who do not achieve placement but continue working beyond the 90-day date	<ul style="list-style-type: none"> • Some participants may not achieve their 30 days of employment within the first 90 days of exit (because, for example, they started their employment several weeks or months after exiting or they had a break in employment) but may continue working beyond the 90 days. These participants have exited the program and will be included in the Common Measures even without a SCSEP placement. • There are at least three separate issues involved in their follow-up: <ol style="list-style-type: none"> 1. An exit can occur for many reasons unrelated to placement. Follow-up is only required for those participants who exit for unsubsidized employment or who become employed after exit. How much follow-up you do depends upon whether the participant achieves a placement (SCSEP) or enters employment (Common Measures.) 2. For SCSEP purposes, if there is no placement, there cannot be retention so you would not have to follow a participant beyond 90 days for that purpose. SCSEP retention is determined at Follow-up 2. 3. For the Common Measures entered employment, however, you need to determine if the participant has any wages in the first quarter after the quarter of placement. If the participant has wages in this quarter, then regardless of whether there has been a SCSEP placement, the participant is in the pool for the CM earnings gain and retention measures. Therefore, you would also need to do Follow-up 3 to obtain the data needed to complete those measures.

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29a (Revised)	Scheduled date	<ul style="list-style-type: none"> For participants who achieved a placement, this date is 180 days after the participant first started unsubsidized employment (following exit from the program) with any employer or the first day of the second quarter after the quarter of exit, whichever is later. For participants who did not achieve a placement but who continue working and are part of the Common Measures entered employment cohort, the scheduled date is the first day of the second quarter after the quarter of exit. You should enter the date into this field when the form is first filled out so you will know when to conduct the second follow-up. The desktop application will automatically provide this date.
29b (Revised)	Completed date	<ul style="list-style-type: none"> Enter the date on which the follow-up is conducted by the sub-grantee. This information is required for the Common Measures. SPARQ will reject any follow-up record that is missing the completed date or has an improper completed date. The data application contains case management reports that will help you keep track of follow-ups that are pending and that are overdue.
29c (Revised)	Any wages for first quarter after exit quarter? Please also indicate method of verification	<ul style="list-style-type: none"> Indicate whether the participant received any wages in the quarter after the quarter of exit. For these purposes, do not consider the quarter in which the participant first exited. For example, if the participant exited and entered employment on July 24, the quarter after the quarter of exit would be October 1-December 31. If the participant had wages, you will usually check box vi. Only those grantees with permission to use UI wage records will check any of the other boxes. Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant. If you discover that the participant qualifies for one of the exclusions discussed in field 6 of the Exit Form Guide (deceased, medical condition, family care, or institutionalized), check box viii. The participant will then be excluded from the relevant performance measures and will not count against your performance. You will not need to conduct Follow-up 3 with this employer. Complete this field for self-employed individuals. This field determines if the participant entered employment for purposes of the Common Measures. If you were unable to obtain the information, the exit will not be counted as an “entered employment” under the Common Measures, and the retention and earnings gain measures will not apply. You will not need to conduct Follow-up 3.

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Topic 21	Quarter, definition of	<ul style="list-style-type: none"> For purposes of the data collection system and the performance measures, a quarter always means a calendar quarter: July 1-September 30; October 1-December 31; January 1-March 31; and April 1-June 30. Most of the performance measures refer to the quarter after (sometimes the quarter before) the quarter in which something happens. For example, the Common Measures earnings gain requires the participant's wages in the first quarter after the quarter of exit. Therefore, if the participant exited and started unsubsidized employment on July 5, you need the wages for the period October 1-December 31, the first quarter after the quarter in which the exit occurred. You would not be concerned with the wages from July 5-September 30, which is the quarter of exit. Similarly, the Common Measures require the participant's earnings in the quarter prior to the quarter of participation. If the participant enrolled on June 15, the quarter prior to the date of participation would be the previous calendar quarter, January 1-March 31.
29d Discontinued May 20, 2005 (Revised)	If yes, earnings for first quarter after exit	<ul style="list-style-type: none"> This field is discontinued effective May 20, 2005. You will no longer capture wages in the first quarter after the quarter of exit. The new Common Measures earnings gain now requires earnings in the second and third quarters after the quarter of exit. See new fields 30d and 30e. Enter the participant's total wages for the quarter after the quarter of exit as reported by the employer. Do not record earnings information for self-employed individuals. This will be used for the Common Measures earnings change 1.
29e Discontinued July 1, 2005 (Revised)	Employed on 180th day after placement	<ul style="list-style-type: none"> Effective July 1, 2005, existing field 29e is replaced with new field 29d. The information in this field is unchanged. Check the appropriate box to indicate whether the participant is employed with <u>this</u> employer 180 days after the date on which the participant was first placed. This will be used for the <u>SCSEP</u> retention measure. Retention is a snapshot taken on the 180th day after a placed participant first started work. If the participant is on the payroll of <u>any</u> employer on the 180th day, then there is retention. If there are multiple employers, only check "yes" for the employer with which the participant is employed on the 180th day. SPARQ will allow you to submit multiple records with "no" in this field but only one record with "yes." The participant need not have worked continuously for any number of days or actually be working on the 180th day. What matters is that the participant is employed (on an employer's payroll) on that day. Retention only applies to official placements. Complete this field for self-employed individuals. You do not complete this field if the participant has re-enrolled in SCSEP after achieving a placement

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		<p>but before the 180th day after the start of employment. In that case, the retention will count as a failure.</p> <ul style="list-style-type: none"> • If you checked box vii in field 29c (indicating that you were unable to obtain the information), leave this field blank. The exiter will be counted as having failed the SCSEP retention measure.
29d Effective July 1, 2005 (New)	Employed on 180th day after placement	<ul style="list-style-type: none"> • Effective July 1, 2005, this field replaces existing field 29e. The information in this field is unchanged. • Check the appropriate box to indicate whether the participant is employed with <u>this</u> employer 180 days after the date on which the participant was first placed. This will be used for the <u>SCSEP</u> retention measure. • Retention is a snapshot taken on the 180th day after a placed participant first started work. If the participant is on the payroll of <u>any</u> employer on the 180th day, then there is retention. • If there are multiple employers, only check “yes” for the employer with which the participant is employed on the 180th day. SPARQ will allow you to submit multiple records with “no” in this field but only one record with “yes.” • The participant need not have worked continuously for any number of days or actually be working on the 180th day. What matters is that the participant is employed (on an employer’s payroll) on that day. Retention only applies to official placements. • Complete this field for self-employed individuals. • You do not complete this field if the participant has re-enrolled in SCSEP after achieving a placement but before the 180th day after the start of employment. In that case, the retention will count as a failure. • If you checked box vii in field 29c (indicating that you were unable to obtain the information), leave this field blank. The exiter will be counted as having failed the SCSEP retention measure.
Topic 22	Temporary employment and retention	<ul style="list-style-type: none"> • For retention, as for placement, temporary work only counts on days when the participant is actually working and getting paid. Therefore, even if a participant has been working fairly regularly in a temporary assignment, there will be no retention if the participant is not actually working and being paid for work on the 180th day after the participant first started any unsubsidized employment. • The corollary of this rule is that temporary employment may be used to establish retention for a participant who had previously been working in permanent employment. For example, if a participant established a placement in permanent employment but was then laid off at day 40, the participant could achieve retention solely by working in temporary employment for a single day on the 180th day after first starting employment. • For temporary employment, if the 180th day falls on a weekend or a holiday when the participant is not working, make the determination on the next business day.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
30 (Revised)	Follow-up 3	<ul style="list-style-type: none"> Follow-up 3, which is solely for the Common Measures retention and earnings gain, is scheduled for the end of the third quarter after the quarter of exit. Because you must wait for the third quarter to end to have complete wages for that quarter, you will wind up doing the third follow-up at least a week or two after the close of the third quarter, i.e., some time in the fourth quarter after the quarter of exit, and you must complete the follow-up any time during that quarter. This follow-up may be conducted in person, by mail, or by telephone. You do conduct this follow-up for self-employed individuals, but you do not record wages in the second or third quarters. This follow-up is not required for any participant who received SCSEP services within 90 days of starting employment. This follow-up is also not required if you were unable to obtain employment and wage information from this employer during the second follow-up.
30a	Scheduled date	<ul style="list-style-type: none"> This date is the end of the third quarter after the quarter in which the participant exited. For example, if the participant exited and entered employment on July 24, the third quarter after the quarter of exit would be April 1-June 30. The follow-up should be scheduled for July 1. You should enter the date into this field when the form is first filled out so you will know when to conduct the third follow-up. The desktop application will automatically provide this date.
30b (Revised)	Completed date	<ul style="list-style-type: none"> Enter the date on which the follow-up is conducted by the grantee. This information is required for the Common Measures. SPARQ will reject any follow-up record that is missing the completed date or has an improper completed date. You will usually need to wait until a week or so after the close of the third quarter after the quarter of exit in order to obtain full wages for that quarter. The desktop application contains case management reports that will help you keep track of follow-ups that are pending and that are overdue.
30c Discontinued July 1, 2005 (Revised)	Any wages for second quarter after exit quarter?	<ul style="list-style-type: none"> Effective July 1, 2005, existing field 30c is replaced with new field 30c. Indicate whether the participant received any wages in the second quarter after the quarter of exit. This will determine retention for purposes of the Common Measures. You will not need to record the amount of any wages in the second quarter. If you were unable to obtain this information from either the employer or the participant, leave this field blank and check box vii in field 30d. See description for field 30d. Complete this field for self-employed participants.

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30c Effective July 1, 2005 (New)	Any wages for second quarter after exit quarter?	<ul style="list-style-type: none"> Effective July 1, 2005, this field replaces existing field 30c. Wages in both the second and third quarters after exit are now required for the new Common Measures earnings gain. Although you will not begin collecting the <u>amount</u> of wages in the second quarter after the quarter of exit for the new earnings gain measure until July 1, 2006 (for new applicants effective July 1, 2005, who have exited and are employed in unsubsidized employment), you must continue to record for all participants in unsubsidized employment whether there are any wages in the second quarter for Common Measures retention. If the participant had wages in the second quarter after the quarter of exit, you will usually check box vi. Only those grantees with permission to use UI wage records will check any of the other boxes. Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant. If you discover that the participant qualifies for one of the exclusions discussed in field 6 of the Exit Form Guide (deceased, medical condition, family care, or institutionalized), check box viii. The participant will be excluded from the relevant performance measures and will not count against your performance. Complete this field for self-employed individuals.
30d Effective July 1, 2006 (New)	If yes, earnings for second quarter after exit quarter	<ul style="list-style-type: none"> Effective July 1, 2006, you will begin capturing wages for the second quarter after the quarter of exit for new participants effective July 1, 2005. Although these wages are available earlier, you will obtain them during the fourth quarter after the quarter of exit, when you are also obtaining the wages for the third quarter after the quarter of exit. This means that you will obtain all wages from unsubsidized employment in a single follow-up. You will not capture this information for any participants who enrolled prior to July 1, 2005. Do not use this field for self-employed participants.
30d Discontinued July 1, 2005 (Revised)	Any wages for third quarter after exit? Please also indicate method of verification	<ul style="list-style-type: none"> Effective July 1, 2005, this field has been replaced with new field 30e. The information in the field is unchanged. Indicate whether the participant received any wages in the third quarter after the quarter of exit. This will determine retention and earnings gain for purposes of the Common Measures. If the participant had wages, you will usually check box vi. Only those grantees with permission to use UI wage records will check any of the other boxes.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
		<ul style="list-style-type: none"> • Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant. • If you discover that the participant qualifies for one of the exclusions discussed in field 6 of the Exit Form Guide (deceased, medical condition, family care, or institutionalized), check box viii. The participant will then be excluded from the relevant performance measures and will not count against your performance. • If you were unable to obtain the information, the exit will be counted as having failed the retention measure under the Common Measures, and the earnings for the second and third quarters will be counted as zero. • Complete this field for self-employed participants.
30e Effective July 1, 2005 (New)	Any wages for third quarter after exit quarter? Please also indicate method of verification	<ul style="list-style-type: none"> • Effective July 1, 2005, this field replaces existing field 30d. The information in the field is unchanged. For new applicants effective July 1, 2005, who have exited and are employed in unsubsidized employment, you will not begin collecting the <u>amount</u> of wages in the third quarter after the quarter of exit for the new earnings gain measure until July 1, 2006. However, for all participants in unsubsidized employment, you must continue to record whether there are any wages in the third quarter for Common Measures retention. • Indicate whether the participant received any wages in the third quarter after the quarter of exit. This will determine retention and earnings gain for purposes of the Common Measures. • If the participant had wages, you will usually check box vi. Only those grantees with permission to use UI wage records will check any of the other boxes. • Check box vii to indicate if you were unable to obtain information about employment or wages from either the employer or the participant. • If you discover that the participant qualifies for one of the exclusions discussed in field 6 of the Exit Form Guide (deceased, medical condition, family care, or institutionalized), check box viii. The participant will then be excluded from the relevant performance measures and will not count against your performance. • If you were unable to obtain the information, the exit will be counted as having failed the retention measure under the Common Measures, and the earnings for the second and third quarters will be counted as zero. • Complete this field for self-employed participants.

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Number	Element Name/ Topic	Element Description/Explanation Plus Additional Comments
30e Discontinued May 20, 2005 (Revised)	If yes, earnings for third quarter after exit	<ul style="list-style-type: none"> • This field is discontinued effective May 20, 2005. You will only record actual wages in the second and third quarters after exit starting July 1, 2006, for new participants effective July 1, 2005. You will use new field 30f to record wages in the third quarter. • Enter the participant's total wages with this employer for the third quarter after the quarter of exit as reported by the employer. • This will be used for the Common Measures earnings gain. • Do not complete this field for self-employed participants.
30f Effective July 1, 2006 (New)	If yes, earnings for third quarter after exit quarter	<ul style="list-style-type: none"> • Effective July 1, 2006, you will begin capturing wages for the third quarter after the quarter of exit for new participants effective July 1, 2005. • You will not capture this information for any participants who enrolled prior to July 1, 2005. • Do not complete this field for self-employed participants.