

State of Hawaii
Department of Labor and Industrial Relations
Workforce Development Division

Request for Proposals

**RFP No. LBR 111-10(SCSEP)
Part-Time Community Service Training
Opportunities for Older Individuals**

January 7, 2011

Note: If this RFP was downloaded from the State Procurement Office RFP Website each applicant must provide contact information to the RFP contact person for this RFP to be notified of any changes. For your convenience, you may download the [RFP Interest form](#), complete and e-mail or mail to the RFP contact person. The State shall not be responsible for any missing addenda, attachments or other information regarding the RFP if a proposal is submitted from an incomplete RFP.

January 7, 2011

REQUEST FOR PROPOSALS

PART-TIME COMMUNITY SERVICE TRAINING OPPORTUNITIES FOR OLDER INDIVIDUALS

RFP No. LBR 111-10(SCSEP)

The Department of Labor and Industrial Relations, Workforce Development Division, is requesting proposals from qualified applicants to operate Senior Community Service Employment Program (SCSEP) subprojects in the State of Hawaii which will foster and promote useful part-time opportunities in community service activities for unemployed, low-income persons fifty-five (55) years of age or older with poor employment prospects. Participation in SCSEP also serves to promote individual economic self-sufficiency through the benefits of unsubsidized employment. Program services shall include, but are not limited to: Outreach and recruitment, eligibility determination, orientation, assessment, individual employment plan development, counseling and case management, development of community service assignments, training, job search/job placement assistance, and follow-up services. Multiple contracts will be awarded under this request for proposals.

Proposals shall be mailed, postmarked by the United States Postal Service on or before March 7, 2011, and received no later than 10 days from the submittal deadline. Hand delivered proposals shall be received no later than 4:30 p.m., Hawaii Standard Time (HST), on March 7, 2011, at the drop-off sites designated on the Proposal Mail-in and Delivery Information Sheet. Proposals postmarked or hand delivered after the submittal deadline shall be considered late and rejected. There are no exceptions to this requirement.

The Department of Labor and Industrial Relations, Workforce Development Division will conduct an orientation on January 20, 2011 from 2:00 p.m. to 4:00 p.m. HST, at the Princess Ruth Keelikolani Building, 830 Punchbowl Street, Room 314, Honolulu, Hawaii. All prospective applicants are encouraged to attend the orientation.

The deadline for submission of written questions is 4:30 p.m., HST, on January 25, 2011. All written questions will receive a written response from the State on or about February 1, 2011.

Inquiries regarding this RFP should be directed to the RFP contact person, Yvonne Chong at 830 Punchbowl Street, Room 329, Honolulu, Hawaii 96813, telephone: (808) 586-9262, fax: (808) 586-8822, email: Yvonne.H.Chong@hawaii.gov

PROPOSAL MAIL-IN AND DELIVERY INFORMATION SHEET

NUMBER OF COPIES TO BE SUBMITTED: 4

ALL MAIL-INS SHALL BE POSTMARKED BY THE UNITED STATES POSTAL SERVICE (USPS) NO LATER THAN March 7, 2011 and received by the state purchasing agency no later than 10 days from the submittal deadline.

All Mail-ins

Department of Labor & Industrial Relations
Workforce Development Division
830 Punchbowl Street, Room 329
Honolulu, Hawaii 96813

DLIR/WDD REP COORDINATOR

Yvonne Chong
For Further Information or Inquiries
Phone: (808) 586-9262
Fax: (808) 586-8822
E-Mail: Yvonne.H.Chong@hawaii.gov

ALL HAND DELIVERIES SHALL BE ACCEPTED AT THE FOLLOWING SITES UNTIL 4:30 P.M., Hawaii Standard Time (HST), March 7, 2011. Deliveries by private mail services such as FEDEX shall be considered hand deliveries. Hand deliveries shall not be accepted if received after 4:30 p.m., March 7, 2011.

Drop-off Sites

Oahu:
Department of Labor and Industrial Relations
Workforce Development Division
Princess Ruth Keelikolani Building
830 Punchbowl Street, Room 329
Honolulu, Hawaii

Maui:
Department of Labor and Industrial Relations
Workforce Development Division
WorkSource Maui
2064 Wells Street, Suite 108
Wailuku, Hawaii

East Hawaii:
Department of Labor and Industrial Relations
Workforce Development Division
Big Island Workplace Connection-Hilo
1990 Kino'ole Street, Room 102
Hilo, Hawaii

Kauai:
Department of Labor and Industrial Relations
Workforce Development Division
Kauai Workwise!
4444 Rice Street, #302
Lihue, Hawaii

West Hawaii:
Department of Labor and Industrial Relations
Workforce Development Division
Big Island Workplace Connection-Kona
74-5565 Luhia Street, Building C, Bay 4
Kona, Hawaii

RFP Table of Contents

Section 1 Administrative Overview

I.	Procurement Timetable	1-1
II.	Website Reference.....	1-2
III.	Authority.....	1-2
IV.	RFP Organization.....	1-3
V.	Contracting Office.....	1-3
VI.	Orientation	1-3
VII.	Submission of Questions	1-4
VIII.	Submission of Proposals.....	1-4
IX.	Discussions with Applicants.....	1-7
X.	Opening of Proposals	1-7
XI.	Additional Materials and Documentation.....	1-7
XII.	RFP Amendments	1-7
XIII.	Final Revised Proposals.....	1-8
XIV.	Cancellation of Request for Proposals	1-8
XV.	Costs for Proposal Preparation.....	1-8
XVI.	Provider Participation in Planning	1-8
XVII.	Rejection of Proposals.....	1-8
XVIII.	Notice of Award.....	1-9
XIX.	Protests.....	1-9
XX.	Availability of Funds.....	1-10
XXI.	General and Special Conditions of the Contract.....	1-10
XXII.	Cost Principles	1-10

Section 2 - Service Specifications

I.	Introduction	
	A. Overview, Purpose or Need	2-1
	B. Planning activities conducted in preparation for this RFP.....	2-2
	C. Description of the Goals of the Service	2-2
	D. Description of the Target Population to be Served.....	2-3
	E. Geographic Coverage of Service.....	2-4
	F. Probable Funding Amounts, Source, and Period of Availability	2-5
II.	General Requirements	2-6
	A. Specific Qualifications or Requirements	2-6
	B. Secondary Purchaser Participation	2-6
	C. Multiple or Alternate Proposals.....	2-6
	D. Single or Multiple Contracts to be Awarded.....	2-6
	E. Single or Multi-Term Contracts to be Awarded.....	2-7
	F. RFP Contact Person.....	2-7
III.	Scope of Work.....	2-7
	A. Service Activities.....	2-7
	B. Management Requirements.....	2-11
	C. Facilities	2-20

IV.	Compensation and Method of Payment.....	2-20
V.	Pre-Award Responsibility Review.....	2-21

Section 3 - Proposal Application Instructions

	General Instructions for Completing Applications.....	3-1
I.	Program Overview	3-1
II.	Experience and Capability.....	3-2
	A. Necessary Skills	3-2
	A. Experience.....	3-2
	B. Quality Assurance and Evaluation.....	3-2
	C. Coordination of Services.....	3-2
	D. Facilities	3-2
III.	Project Organization and Staffing.....	3-3
	A. Staffing	3-3
	B. Project Organization.....	3-3
IV.	Service Delivery.....	3-3
V.	Financial	3-4
	A. Pricing Structure.....	3-4
	B. Other Financial Related Materials.....	3-5
VI.	Other.....	3-5
	A. Litigation.....	3-5
	B. Federal Assurances and Certifications.....	3-5

Section 4 – Proposal Evaluation

I.	Introduction.....	4-1
II.	Evaluation Process	4-1
III.	Evaluation Criteria	4-2
	A. Phase 1 – Evaluation of Proposal Requirements.....	4-2
	B. Phase 2 – Evaluation of Proposal Application.....	4-2
	C. Phase 3 – Recommendation for Award.....	4-6

Section 5 – Attachments

- Attachment A. Proposal Application Checklist
- Attachment B. Sample Proposal Table of Contents
- Attachment C. Sample Cost Proposal Forms with Program Specific Modifications
- Attachment D. Program Specific Forms
- Attachment E. Sample Reporting Forms
- Attachment F. Federal Assurances and Certifications
- Attachment G. References

Section 1

Administrative Overview

Section 1

Administrative Overview

Applicants are encouraged to read each section of the RFP thoroughly. While sections such as the administrative overview may appear similar among RFPs, state purchasing agencies may add additional information as applicable. It is the responsibility of the applicant to understand the requirements of *each* RFP.

I. Procurement Timetable

Note that the procurement timetable represents the State's best estimated schedule. Contract start dates may be subject to the issuance of a notice to proceed.

<u>Activity</u>	<u>Scheduled Date</u>
Public notice announcing Request for Proposals (RFP)	01/07/2011
Distribution of RFP	01/07/2011
RFP orientation session	01/20/2011
Closing date for submission of written questions for written responses	01/25/2011
State purchasing agency's response to applicants' written questions	01/26- 02/01/2011
Discussions with applicant prior to proposal submittal deadline (optional)	02/14/2011
Proposal submittal deadline	03/07/2011
Discussions with applicant after proposal submittal deadline (optional)	03/11/2011
Final revised proposals (optional)	03/15/2011
Proposal evaluation period	Mid 03/2011 to Mid 04/2011
Provider selection	Late 4/2011
Notice of statement of findings and decision	Late 4/2011, or Early 5/2011
Contract start date	07/01/2011

II. Website Reference

The State Procurement Office (SPO) website is <http://hawaii.gov/spo/>

	For	Click
1	Procurement of Health and Human Services	"Health and Human Services, Chapter 103F, HRS..."
2	RFP website	"Health and Human Services, Ch. 103F..." and "The RFP Website" (located under Quicklinks)
3	Hawaii Administrative Rules (HAR) for Procurement of Health and Human Services	"Statutes and Rules" and "Procurement of Health and Human Services"
4	Forms	"Health and Human Services, Ch. 103F..." and "For Private Providers" and "Forms"
5	Cost Principles	"Health and Human Services, Ch. 103F..." and "For Private Providers" and "Cost Principles"
6	Standard Contract -General Conditions	"Health and Human Services, Ch. 103F..." "For Private Providers" and "Contract Template - General Conditions"
7	Protest Forms/Procedures	"Health and Human Services, Ch. 103F..." and "For Private Providers" and "Protests"

Non-SPO websites

(Please note: website addresses may change from time to time. If a link is not active, try the State of Hawaii website at <http://hawaii.gov>)

	For	Go to
8	Tax Clearance Forms (Department of Taxation Website)	http://hawaii.gov/tax/ click "Forms"
9	Wages and Labor Law Compliance, Section 103-055, HRS, (Hawaii State Legislature website)	http://capitol.hawaii.gov/ click "Bill Status and Documents" and "Browse the HRS Sections."
10	Department of Commerce and Consumer Affairs, Business Registration	http://hawaii.gov/dcca click "Business Registration"
11	Campaign Spending Commission	http://hawaii.gov/campaign
12	Hawaii Compliance Express	https://vendors.ehawaii.gov/hec/splash/welcome.html

III. Authority

This RFP is issued under the provisions of the Hawaii Revised Statutes (HRS) Chapter 103F and its administrative rules. All prospective applicants are charged with presumptive knowledge of all requirements of the cited authorities. Submission of a valid executed proposal by any prospective applicant shall constitute admission of such knowledge on the part of such prospective applicant.

IV. RFP Organization

This RFP is organized into five sections:

Section 1, Administrative Overview: Provides applicants with an overview of the procurement process.

Section 2, Service Specifications: Provides applicants with a general description of the tasks to be performed, delineates provider responsibilities, and defines deliverables (as applicable).

Section 3, Proposal Application Instructions: Describes the required format and content for the proposal application.

Section 4, Proposal Evaluation: Describes how proposals will be evaluated by the state purchasing agency.

Section 5, Attachments: Provides applicants with information and forms necessary to complete the application.

V. Contracting Office

The Contracting Office is responsible for overseeing the contract(s) resulting from this RFP, including system operations, fiscal agent operations, and monitoring and assessing provider performance. The Contracting Office is:

Department of Labor and Industrial Relations
Workforce Development Division
830 Punchbowl Street, Room 329
Honolulu, Hawaii 96813
Phone: (808) 586-9262 Fax: (808) 586-8822

VI. Orientation

An orientation for applicants in reference to the request for proposals will be held as follows:

Date: Thursday, 01/20/11 **Time:** 2:00 p.m.
Location: Princess Ruth Keelikōlani Building
830 Punchbowl Street, Room 314
Honolulu, Hawaii

Applicants are encouraged to submit written questions prior to the orientation. Impromptu questions will be permitted at the orientation and spontaneous answers provided at the state purchasing agency's discretion. However, answers provided at the orientation are only intended as general direction and

may not represent the state purchasing agency's position. Formal official responses will be provided in writing. To ensure a written response, any oral questions should be submitted in writing following the close of the orientation, but no later than the submittal deadline for written questions indicated in the paragraph VII. Submission of Questions.

VII. Submission of Questions

Applicants may submit questions to the RFP Contact Person identified in Section 2 of this RFP. All written questions will receive a written response from the state purchasing agency.

Deadline for submission of written questions:

Date: Tuesday, 01/25/2011 **Time:** 4:30 p.m. HST

State agency responses to applicant written questions will be provided by:

Date: Between 01/26 and 02/01/2011

VIII. Submission of Proposals

- A. **Forms/Formats** - Forms, with the exception of program specific requirements, may be found on the State Procurement Office website referred to in II. Website Reference. Refer to the Proposal Application Checklist for the location of program specific forms.
1. **Proposal Application Identification (Form SPO-II-200).** Provides applicant proposal identification.
 2. **Proposal Application Checklist.** Provides applicants with information on where to obtain the required forms; information on program specific requirements; which forms are required and the order in which all components should be assembled and submitted to the state purchasing agency.
 3. **Table of Contents.** A sample table of contents for proposals is located in Section 5, Attachments. This is a sample and meant as a guide. The table of contents may vary depending on the RFP.
 4. **Proposal Application (Form SPO-H-200A).** Applicant shall submit comprehensive narratives that address all of the proposal requirements contained in Section 3 of this RFP, including a cost proposal/budget if required.
- B. **Program Specific Requirements.** Program specific requirements are included in Sections 2, Service Specifications and Section 3. Proposal

Application Instructions, as applicable. If required, Federal and/or State certifications are listed on the Proposal Application Checklist located in Section 5.

- C. **Multiple or Alternate Proposals.** Multiple or alternate proposals shall not be accepted unless specifically provided for in Section 2 of this RFP. In the event alternate proposals are not accepted and an applicant submits alternate proposals, but clearly indicates a primary proposal, it shall be considered for award as though it were the only proposal submitted by the applicant.

- D. **Tax Clearance.** Pursuant to IRS Section 103-53, as a prerequisite to entering into contracts of \$25,000 or more, providers shall be required to submit a tax clearance certificate issued by the Hawaii State Department of Taxation (DOTAX) and the Internal Revenue Service (IRS). The certificate shall have an original green certified copy stamp and shall be valid for six (6) months from the most recent approval stamp date on the certificate. Tax clearance applications may be obtained from the Department of Taxation website. (Refer to this section's part II, Website Reference.)

- E. **Wages and Labor Law Compliance.** If applicable, by submitting a proposal, the applicant certifies that the applicant is in compliance with IRS Section 103-55, Wages, hours, and working conditions of employees of contractors performing services. Refer to IRS Section 103-55, at the Hawaii State Legislature website. (See part II, Website Reference.)

Compliance with all Applicable State Business and Employment Laws. All providers shall comply with all laws governing entities doing business in the State. Prior to contracting, owners of all forms of business doing business in the state except sole proprietorships, charitable organizations, unincorporated associations and foreign insurance companies be registered and in good standing with the Department of Commerce and Consumer Affairs (DCCA), Business Registration Division. Foreign insurance companies must register with DCCA, Insurance Division. More information is on the DCCA website. (See part II, Website Reference.)

- F. **Hawaii Compliance Express (HCE).** Providers may register with HCE for online proof of DOTAX and IRS tax clearance, Department of Labor and Industrial Relations (DLIR) labor law compliance, and DCCA good standing compliance. There is a nominal annual fee for the service. The "Certificate of Vendor Compliance" issued online through HCE provides the registered provider's current compliance status as of the issuance date, and is accepted for both contracting and final payment purposes.

Refer to this section's part II. Website Reference for HCE's website address. Nongovernmental entities selected for award under this procurement shall be required to participate with Hawaii Compliance Express at the time of contracting.

- G. **Campaign Contributions by State and County Contractors.** Providers are hereby notified of the applicability of HRS Section 11-205.5, which states that campaign contributions are prohibited from specified State or county government contractors during the term of the contract if the contractors are paid with funds appropriated by a legislative body. For more information, FAQs are available at the Campaign Spending Commission webpage. (See part II, Website Reference.)
- H. **Confidential Information.** If an applicant believes any portion of a proposal contains information that should be withheld as confidential, the applicant shall request in writing nondisclosure of designated proprietary data to be confidential and provide justification to support confidentiality. Such data shall accompany the proposal, be clearly marked, and shall be readily separable from the proposal to facilitate eventual public inspection of the non-confidential sections of the proposal.

Note that price is not considered confidential and will not be withheld.

- I. **Confidentiality of Personal Information.** Act 10 relating to personal information was enacted in the 2008 special legislative session. As a result, the Attorney General's General Conditions of Form AG Form 103F, *Confidentiality of Personal Information*, has been amended to include Section 8 regarding protection of the use and disclosure of personal information administered by the agencies and given to third parties.
- J. **Proposal Submittal.** All mail-ins shall be postmarked by the United States Postal System (USPS) and received by the State purchasing agency no later than the submittal deadline indicated on the attached Proposal Mail-in and Delivery Information Sheet. All hand deliveries shall be received by the State purchasing agency by the date and time designated on the Proposal Mail-In and Delivery Information Sheet. Proposals shall be rejected when:
- Postmarked after the designated date; or
 - Postmarked by the designated date but not received within 10 days from the submittal deadline; or
 - If hand delivered, received after the designated date and time.

The number of copies required is located on the Proposal Mail-In and Delivery Information Sheet. Deliveries by private mail services such as FEDEX shall be considered hand deliveries and shall be rejected if received after the submittal deadline. Dated USPS shipping labels are not considered postmarks.

The Department of Labor and Industrial Relations, Workforce Development Division will not accept faxed proposals and/or submission of proposals on diskette/CD. In addition, the transmission of proposals via email, website or other electronic means will not be permitted.

IX. Discussions with Applicants

- A. Prior to Submittal Deadline.** Discussions may be conducted with potential applicants to promote understanding of the purchasing agency's requirements.
- B. After Proposal Submittal Deadline -** Discussions may be conducted with applicants whose proposals are determined to be reasonably susceptible of being selected for award, but proposals may be accepted without discussions, in accordance HAR Section 3-143-403.

X. Opening of Proposals

Upon receipt of a proposal by a state purchasing agency at a designated location, proposals, modifications to proposals, and withdrawals of proposals shall be date-stamped, and when possible, time-stamped. All documents so received shall be held in a secure place by the state purchasing agency and not examined for evaluation purposes until the submittal deadline.

Procurement files shall be open to public inspection after a contract has been awarded and executed by all parties.

XI. Additional Materials and Documentation

Upon request from the state purchasing agency, each applicant shall submit any additional materials and documentation reasonably required by the state purchasing agency in its evaluation of the proposals.

XII. RFP Amendments

The State reserves the right to amend this RFP at any time prior to the closing date for the final revised proposals.

XIII. Final Revised Proposals

If requested, final revised proposals shall be submitted in the manner, and by the date and time specified by the state purchasing agency. If a final revised proposal is not submitted, the previous submittal shall be construed as the applicant's best and final offer/proposal. *The applicant shall submit only the section(s) of the proposal that are amended, along with the Proposal Application Identification Form (SPO-H-200).* After final revised proposals are received, final evaluations will be conducted for an award.

XIV. Cancellation of Request for Proposal

The RFP may be canceled and any or all proposals may be rejected in whole or in part, when it is determined to be in the best interests of the State.

XV. Costs for Proposal Preparation

Any costs incurred by applicants in preparing or submitting a proposal are the applicant's sole responsibility.

XVI. Provider Participation in Planning

Provider participation in a state purchasing agency's efforts to plan for or to purchase health and human services prior to the state purchasing agency's release of a RFP, including the sharing of information on community needs, best practices, and providers' resources, shall not disqualify providers from submitting proposals if conducted in accordance with HAR Sections 3-142-202 and 3-142-203.

XVII. Rejection of Proposals

The State reserves the right to consider as acceptable only those proposals submitted in accordance with all requirements set forth in this RFP and which demonstrate an understanding of the problems involved and comply with the service specifications. Any proposal offering any other set of terms and conditions contradictory to those included in this RFP may be rejected without further notice.

A proposal may be automatically rejected for any one or more of the following reasons:

- (1) Rejection for failure to cooperate or deal in good faith. (HAR Section 3-141-201)
- (2) Rejection for inadequate accounting system. (HAR Section 3-141-202)
- (3) Late proposals (HAR Section 3-143-603)

- (4) Inadequate response to request for proposals (HAR Section 3-143-609)
- (5) Proposal not responsive (HAR Section 3-143-610(a)(1))
- (6) Applicant not responsible (HAR Section 3-143-610(a)(2))

XVIII. Notice of Award

A statement of findings and decision shall be provided to all applicants by mail upon completion of the evaluation of competitive purchase of service proposals.

Any agreement arising out of this solicitation is subject to the approval of the Department of the Attorney General as to form, and to all further approvals, including the approval of the Governor, required by statute, regulation, rule, order or other directive.

No work is to be undertaken by the awardee prior to the contract commencement date. The State of Hawaii is not liable for any costs incurred prior to the official starting date.

XIX. Protests

Any applicant may file a protest against the awarding of the contract. The Notice of Protest form, SPO-H-801, is available on the SPO website. (See paragraph II, Website Reference.) Only the following matters may be protested:

- (1) A state purchasing agency's failure to follow procedures established by Chapter 103F of the Hawaii Revised Statutes;
- (2) A state purchasing agency's failure to follow any rule established by Chapter 103F of the Hawaii Revised Statutes; and
- (3) A state purchasing agency's failure to follow any procedure, requirement, or evaluation criterion in a request for proposals issued by the state purchasing agency.

The Notice of Protest shall be postmarked by USPS or hand delivered to 1) the head of the state purchasing agency conducting the protested procurement and 2) the procurement officer who is conducting the procurement (as indicated below) within five working days of the postmark of the Notice of Findings and Decision sent to the protestor. Delivery services other than USPS shall be considered hand deliveries and considered submitted on the date of actual receipt by the state purchasing agency.

Head of State Purchasing Agency	Procurement Officer
Name: Dwight Takamine	Name: Suzanne Okazaki
Title: Interim Director	Title: Acting Business Mgmt Officer
Mailing Address: 830 Punchbowl Street Room 321 Honolulu, HI 96813	Mailing Address: 830 Punchbowl Street Room 309 Honolulu, HI 96813
Business Address: same	Business Address: same

XX. Availability of Funds

The award of a contract and any allowed renewal or extension thereof, is subject to allotments made by the Director of Finance, State of Hawaii, pursuant to HRS Chapter 37, and subject to the availability of State and/or Federal funds.

XXI. General and Special Conditions of Contract

The general conditions that will be imposed contractually are on the SPO website. (See paragraph II, Website Reference). Special conditions may also be imposed contractually by the state purchasing agency, as deemed necessary.

XXII. Cost Principles

In order to promote uniform purchasing practices among state purchasing agencies procuring health and human services under HRS Chapter 103F, state purchasing agencies will utilize standard cost principles outlined in Form SPO-H-201, which is available on the SPO website (see paragraph II, Website Reference). Nothing in this section shall be construed to create an exemption from any cost principle arising under federal law.

Section 2

Service Specifications

Section 2

Service Specifications

I. Introduction

A. Overview, purpose or need

Title V of the Older Americans Act Amendments of 2006 establishes the Senior Community Service Employment Program (SCSEP). SCSEP provides eligible, unemployed, low-income individuals who are 55 years of age and older and who have poor employment prospects, an opportunity to engage in useful, part-time community service activities at public or 501(c)(3) nonprofit agencies through which they may gain the skills and abilities they need to transition into unsubsidized employment. The program offers participants individualized assessment, individual employment plan development, counseling, case management, on-the-job training, supportive services and other services that will enable them to enhance their economic self-sufficiency.

Based on the U.S. Census' Estimates of the Resident Population by Single-Year of Age and Sex in the United States data, over 25% of Hawaii's population in 2005 was 55 years of age or older. The 2000 census indicated that approximately 7.4% of these older individuals are at or below poverty level. Hawaii's older population is increasing at a much higher rate than the population as a whole. Between 1980 and 2000, the number of individuals 60 and above increased by 82% while the total population increased by only 26%. With the aging of the baby boomer population, by the year 2020, it is estimated that over one in four individuals in Hawaii's population will be 60 years of age and older. In addition, Hawaii's life expectancy is currently the highest in the nation.

An increasing number of seniors are finding that their retirement income is not sufficient. Some of these individuals have long relied on the income and support of a spouse and have little or no employment history. The current economic situation of the state and the nation has also wreaked havoc on many seniors' retirement plans as they have seen their investment nest egg shrink or practically disappear. The assurance of economic security has been listed as one of the primary needs of older adults and the lack of such assurance places these individuals at a greater risk of physical and mental health decline.

As the number of older individuals and their need for financial support increases, the State will need to develop additional means of providing older

individuals access to training, employment and re-employment opportunities. Through participation in SCSEP, older individuals can gain self-esteem, dignity, and additional economic support.

B. Planning activities conducted in preparation for this RFP

The Department of Labor and Industrial Relations published a Request for Information (RFI) Notice on the State Procurement Notice website on October 19, 2010. The RFI requested information, comments and input from current providers and interested parties as to 1) how program participants may be able to address community needs thru their participation in SCSEP, 2) how the project may increase the recruitment of eligible low-income older individuals with low employment prospects, 3) how program coordination and delivery of services can be improved, and 4) how program participants may be trained to address the worker shortages within the State. Input was also requested from the members of the Policy Advisory Board for Elder Affairs (PABEA), the advisory board of the State Executive Office on Aging. No responses were received from the RFI that was published or PABEA.

C. Description of the goals of the service

The goals of the project(s) are as follows:

- To contribute to general welfare of the community, especially in the provision of services to the elderly;
- To increase the employment opportunities for eligible older individuals, especially individuals with poor employment prospects;
- To provide training that is necessary to make the most effective use of the skills and talents of the participants who are enrolled in the program;
- To provide eligible individuals subsidized employment opportunities in community services at facilities/projects that are operated by public or private nonprofit 501(c)(3) entities;
- To provide training for jobs in growth industries or jobs reflecting new technological skills;
- To provide services and activities in a manner which is sensitive to the learning styles and needs of older individuals;
- To provide services and activities which will result in increased employment and earnings, increased educational and occupational skills and decreased welfare dependency;
- To provide opportunities for participants to engage in community service activities which are in the community in which they reside or in nearby communities;
- To serve the needs of eligible individuals who are of a minority race, have limited English-speaking capabilities, and/or who have the greatest economic needs;

- To provide the services and activities which will result in meeting or exceeding the annually established performance standards; and
- To promote the hiring of older individuals.

D. Description of the target population to be served

Selected program operators shall be responsible for determining participant eligibility based on the following criteria:

- a. **Unemployed:** An individual who is without a job and who wants and is available for work.
- b. **Age:** Program participants shall be no less than 55 years of age. No upper age limit shall be imposed for initial and continued enrollment.
- c. **Low-Income:** The income of the program applicant's family during the twelve (12) months or six (6) months period prior to application on an annualized basis shall not be more than 125% of poverty guidelines for the State of Hawaii that has been established and is periodically updated by the U.S. Department of Health and Human Services for the family size. Family shall be defined as: 1) Husband and wife, 2) husband, wife and dependent children, or 3) parent or guardian and dependent children who are living in the same residence. A person with a disability may be treated as a "family of one" for income eligibility purposes. Exception: If the applicant is claimed as a dependent on the Federal income tax return of another family member with whom they reside, family shall mean a group of two or more individuals related by birth, marriage or adoption and residing together. In such cases, the income of all family members shall be included when determining income eligibility.
- d. **Place of Residence:** The program applicant shall reside in the State of Hawaii and within the service area where the project is authorized.

Enrollment Priorities: Enrollment priorities shall apply to vacant positions and not be interpreted to require the termination of any eligible participant. Should there be a waitlist of eligible individuals waiting to be enrolled into the program, eligible individuals who have one or more of the following criteria shall have priority for enrollment:

1. Are 65 years of age or older
2. Have a disability
3. Have limited English proficiency or low literacy skills
4. Reside in a rural area
5. Are veterans or eligible spouses of veterans
6. Have low employment prospects
7. Have failed to find employment after using services provided through the Title I of the Workforce Investment Act of 1998 or

8. Are homeless or at risk of homelessness

In compliance with the Jobs for Veterans Act, priority of service shall be provided to eligible veterans and qualified spouses of veterans* in the following order:

- 1) An individual who qualifies as a veteran or qualified spouse of veteran* and who possess at least one of the other priority characteristics
- 2) An individual who qualifies as a veteran or qualified spouse of a veteran* who do not possess any other priority of service characteristics
- 3) An individual who does not qualify as a veteran or qualified spouse of a veteran* who possess at least one of the other priority of service characteristics
- 4) An individual who does not qualify as a veteran or qualified spouse of a veteran* who does not possess any of the other priority of service characteristics

* A qualified spouse of a veteran is defined as the spouse of a veteran who died of a service-connected disability; the spouse of a member of the Armed Forces on active duty who has been listed for a total of more than 90 days as missing in action, captured in the line of duty by a hostile force, or forcibly detained by a foreign government or power; the spouse of any veteran who has a total disability resulting from a service-connected disability; and the spouse of any veteran who died while a disability so evaluated was in existence.

The selected program operator should develop outreach, recruitment, and selection methods which, to the extent feasible, results in the enrollment of eligible individuals who are of minority ethnicity, individuals who are limited English-speaking, individuals who are American Indian, and individuals who have the greatest economic need, at least in proportion to their numbers in the area, taking into consideration their rates of poverty and unemployment.

E. Geographic coverage of service

Service areas for this RFP shall be 1) the City and County of Honolulu, 2) the County of Hawaii, 3) the County of Kauai, and 4) the County of Maui. Respondents to this RFP may apply for one or all of these areas. Respondents must be able to demonstrate their capacity to provide the required services in all service areas for which they apply.

The services, including the physical location of the project(s) and the hours of operation, must be accessible to the target population residing in the State of Hawaii and be available in areas where high concentrations of the target population reside. Awards of multiple contracts may be considered if it is in the best interest of the State.

F. Probable funding amounts, source, and period of availability

All of the funds available for this RFP are contingent upon federal appropriations to the State. No portion of the funds for this RFP will be from State sources. The available SCSEP funds are allocated to the four county service areas on an equitable distribution basis utilizing the census data of eligible older individuals residing in each county. The anticipated funding amounts and the allocated SCSEP positions by county are based on our current year's funding and allocations:

<u>County</u>	<u>Anticipated Allocation</u>	<u>Allocated Positions</u>
County of Hawaii	\$ 386,765.00	42
City and County of Honolulu	\$ 1,630,993.00	179
County of Kauai	\$ 127,689.00	14
County of Maui	\$ 254,731.00	<u>28</u>
TOTAL	\$ 2,400,178.00	263

Subject to the availability of funds, the initial contract period is planned for July 1, 2011 to June 30, 2012. At the discretion of DLIR/WDD, the contract may be extended for up to three additional twelve-month period beginning July 1, 2012, subject to the continuing availability of federal funds and the satisfactory performance of the contractor. All funding levels are subject to Congressional appropriation. In addition, failure to meet satisfactory performance levels for two consecutive years may result in sanctions, reduced funding or loss of contract.

Funds must be allocated within the following cost categories and remain within the following cost limits:

<u>Cost Category</u>	<u>Cost Limitation</u>
Administration	Not more than 9%
Program-Participant Wages and Fringe	Not less than 75%
Program-Other Participant Costs	Remaining Funds

The cost categories are defined in Section III. Scope of Work below.

Increases or decreases in funding levels in succeeding years are subject to federal appropriation of funding to the State of Hawaii for the purpose of the operation of Title V, Older American Act projects.

II. General Requirements

A. Specific qualifications or requirements, including but not limited to licensure or accreditation

- The applicant must be a federal, state or local public agency or a private nonprofit entity with a 501(c)(3) designation from the Internal Revenue Services.
- The applicant must adapt their provision of services to meet the needs of the target population in an effective and sensitive manner.
- Compliance with Public Law 109-234: Public Law 109-234 sets a limit on the salaries and bonuses at a rate equivalent to not more than Executive Level II on the Federal Office of Personnel Management Website (www.opm.gov) under Federal Salaries and Wages. This rate is currently set at \$179,700 per year and is updated annually. No individual funded through this grant may receive a salary plus bonus that exceeds the Executive Level II rate. This limitation affects all individuals funded through the award, including individuals who are paid through subcontracts.

B. Secondary purchaser participation (Refer to HAR Section 3-143-608)

After-the-fact secondary purchases

Will be allowed.

Planned secondary purchases

There are no planned secondary purchases.

C. Multiple or alternate proposals (Refer to HAR Section 3-143-605)

Allowed Unallowed

D. Single or multiple contracts to be awarded (Refer to HAR Section 3-143-206)

Single Multiple Single & Multiple

Criteria for multiple awards: Separate contracts will be awarded based on planned service areas. In addition, multiple contracts may be awarded in the City and County of Honolulu to expand the availability of services to program participants.

E. Single or multi-term contracts to be awarded
(Refer to HAR Section 3-149-302)

Single term (2 years or less) Multi-term (more than 2 years)

Contract terms:

Initial term of Contract: July 1, 2011 to June 30, 2012

Length of Each Extension: Twelve Months

Number of Possible Extensions: Three

Maximum Length of Contract: Four Years

Contracts will be awarded on a yearly basis as federal funds for this program is generally appropriated on a single program year basis from July 1 to June 30. The initial period shall commence on the contract start date or Notice to Proceed, whichever is later.

All extensions must be in writing.

F. RFP contact person

The individual listed below is the sole point of contact from the date of release of this RFP until the selection of the successful provider(s). Written questions should be submitted to the RFP contact person and received by the day and time specified in Section I, paragraph I (Procurement Timetable) of this RFP.

Yvonne Chong
Department of Labor and Industrial Relations
Workforce Development Division
830 Punchbowl Street, Room 329
Honolulu, HI 96813
Phone: (808) 586-9262 Fax: (808) 586-8822
Email: Yvonne.H.Chong@hawaii.gov

III. Scope of Work

The scope of work encompasses the following tasks and responsibilities:

A. Service Activities
(Minimum and/or mandatory tasks and responsibilities)

The services/activities of the project must be determined to be necessary and reasonable to achieve the objectives of the project. The services/activities are allocated into three cost categories—Administration; Participant Wages and Fringe Benefits; and Other Program Costs. Services/activities shall include, but are not limited to, the following:

1. Administrative Costs and Functions

The costs of administration are the necessary, reasonable and allocable personnel and non-personnel costs associated with the following:

- a. The costs of performing overall general administrative functions and providing for the coordination of functions such as:
 - 1) Accounting, budgeting, financial, and cash management functions;
 - 2) Procurement and purchasing functions;
 - 3) Property management functions;
 - 4) Personnel management functions;
 - 5) Payroll functions;
 - 6) Coordinating the resolution of findings arising from audits, reviews, investigations, and incident reports;
 - 7) Audit functions;
 - 8) General legal services functions;
 - 9) Developing systems and procedures, including information systems, required for these administrative functions;
 - 10) Preparing administrative reports; and
 - 11) Other activities necessary for the general administration of government funds and associated program.
- b. The costs of performing oversight and monitoring responsibilities related to administrative functions.
- c. The costs of goods and services required for administrative functions of the program, including such costs as rental or purchase of equipment, utilities, office supplies, postage, and rental and maintenance of office space.
- d. The travel costs incurred for official business in carrying out administrative activities or overall management.
- e. The costs of information systems related to administrative functions (for example, personnel, procurement, purchasing, property management, accounting, and payroll systems) including the purchase, systems development, and operating costs of such systems.
- f. Cost of technical assistance, professional organization membership dues and evaluating results obtained by the project against stated objectives

2. Program Costs and Activities

a. Program Costs-Participant Wages and Fringe Benefits (including physical examinations).

- 1) Participants in community service assignments shall receive wages at a rate not less than the federal or state minimum wage, whichever is higher. In addition, the service provider shall also ensure that each participant receives all fringe benefits required by law, including workers compensation and unemployment compensation benefits.
- 2) Not less than 75% of the funds available under this award shall be used to pay wages and fringe benefits for program participants unless a request for waiver has been approved to reduce the amount of funds used for participant wages and fringe benefits to not less than 65%.
- 3) Each participant shall be provided an opportunity to receive a physical examination within 60 days of placement into a community service assignment and annually thereafter during enrollment. The participant has the option of whether to provide the results of the physical examination to the program operator. Participants not accepting the opportunity to receive the physical examination will be required to sign a waiver to that effect. The physical examination is a benefit and not a requirement.
- 4) SCSEP is a federal work-training program. As such, while no paid vacation, sick, or holiday leave may be provided, participants will be allowed to work additional hours within the next two pay periods, to make up lost participation time which results from sickness or agency closure due to federal holidays. Such adjustment can only be made if the revised schedule can be accommodated by the host agency where the participant performs his/her community service. Participants will only be compensated for time actually worked. Payment into a retirement plan or pension benefits is not allowed.

b. Program-Other Costs

Program-Other Costs shall include, but are not limited to, the following:

- 1) **Outreach/Recruitment:** Contacting or informing potentially eligible older individuals about the available services.

- 2) **Screening:** Initial interview with applicants to determine appropriateness and the ability of the agency to meet the applicant's needs.
- 3) **Certification/Recertification:** Annually verifying eligibility of applicants/participants through the review of documents and the preparation and signing of necessary enrollment forms. Insuring enrollment follows the priorities listed under I.D. Target Population above.
- 4) **Orientation:** Providing each participant with a formal orientation regarding the nature and objectives of the project, potential employment opportunities, and supportive services that the program can provide. Each participant shall also be informed of his/her rights, responsibilities, benefits, and privileges under the program.
- 5) **Assessment/Evaluation:** In-depth interviewing, testing, and observations which provide an examination of the capabilities, needs and vocational potential of participants. Such assessment shall be done at enrollment and at least twice a year thereafter. All appropriate information shall be recorded.
- 6) **Service Planning:** Developing a comprehensive individual case management plan that reflects the participant's employment goal(s), appropriate achievement objectives, supportive service needs, sequence of services, and timetable for attaining goals.
- 7) **Supportive Counseling:** Providing emotional support and employment counseling services to program participants.
- 8) **Information and Referral:** Providing information and referring applicants/participants to other appropriate resources, as needed, including the services of the One Stop.
- 9) **Community Service Assignments:** Developing appropriate community service opportunities and placement of participants into community service assignments that will contribute to the general welfare of the community and/or provide services to the elderly. The community service assignments should make the most effective use of the each participant's skills, interests and aptitudes.
- 10) **Host Agency Agreements:** Providing an orientation to public or nonprofit agencies that are willing to become host agencies to program participants in the provision of their community service assignments. Developing worksite agreements with each host agency to ensure that participants receive adequate orientation and instruction during their assignment. Such orientation and instruction

should provide the participant with a clear understanding of their responsibilities and enable them to perform as productive and effective workers. The host agency agreement should clearly specify the rights and responsibilities of the host agency.

- 11) **Training Activities:** Providing or referring participants to classroom training, as necessary, to acquire or improve skills applicable to the participant's community service assignment or placement into unsubsidized employment.
- 12) **Supportive Services:** Providing supportive services that will alleviate the participant's barriers and which will allow successful participation in the program and transition into unsubsidized employment.
- 13) **Job Development and Placement Services:** Providing labor market information; individual and/or group job search skills training; and referral and placement services through the development of unsubsidized job opportunities that fits a participant's skills and interests. Promoting the hiring of older workers in the community.
- 14) **Reassessment:** Regular review and adjustment of employability plans, as needed, to reflect the progress made and/or the continuing needs of the participant.
- 15) **Follow-Up Services:** Providing follow-up services to participants who have entered unsubsidized employment for not less than one year after placement into unsubsidized employment. Follow-up services may include counseling and supportive services which that will alleviate problems and result in increased job retention.
- 16) **Limitation on Participation:** Effective July 1, 2007, participants will be limited to an aggregate number of participation of not more than 48 months (whether or not consecutive). The average participation rate shall be 27 months of participation.

B. Management Requirements (Minimum and/or mandatory requirements)

1. Personnel

The respondent must have sufficient staff to administer and operate the proposed program. At a minimum, the agency must have staff capable of performing in the following capacities:

- a. **Program Administration:** Overall administration of all aspects of program management including the development and implementation of all program services and activities, the compliance with federal/state statutes and regulations, the accurate

and timely submission of program and fiscal data and reports and the appropriate expenditures of funds.

- b. **Staff Supervision:** Oversight and approval of all actions of line staff in their dealings with program participants, host agencies, employers, and/or service providers.
- c. **Case Management:** Provision of case management services to program participants, including the assessment of participant's skills, knowledge, abilities; the identification of barriers to employment; the referral to supportive services and the development of a service plan for each participant.
- d. **Employment Counseling/Job Development:** Provision of vocational counseling and support, referral to appropriate basic skills/literacy training, occupational skills training, work experience training, on-the-job training, and job search skills training. Promoting the hiring of program participants and older workers, in general, to employers.
- e. **Fiscal Support:** Overall administration of all aspects of fiscal management, including the proper allocation of funds, and the preparation and maintenance of accurate financial records and reports.

The minimum qualifications for individuals in the above capacity are: 1) graduation from an accredited college or university, 2) a minimum of at least twelve months of experience in employment and training or related fields, and 3) an understanding of the needs of older individuals.

Progressively responsible administrative, professional, technical, analytical, or investigative work experience may be substituted for education on a year-to-year basis.

2. Administrative

The respondent must ensure that they are able to perform the following administrative services/activities:

- a. **Case Recordation, Data Collection, and Reporting**

The respondent shall ensure that it will keep records that:

- 1) are sufficient to permit the preparation of required reports,
- 2) are sufficient to permit the tracing of funds to a level of expenditure adequate to ensure that the funds have not been spent unlawfully, and
- 3) contain all information requested by the State or the federal funding agency.

As the program data are input into an internet-based computer system, the respondent must have access to computer(s) with the following specifications:

- Operating System of Windows XP or better
- A browser that supports HTML and Java Script (preferably Internet Explorer 8.0 or better)
- Email capabilities and
- High-speed internet transmission.

The computer(s) utilized for the SCSEP data collection must have sufficient security protection to ensure only authorized personnel will have access to the database. If selected, the respondent must also take measures to ensure that the program participants' personal privacy information (hard copies as well as in electronic files) will be protected and kept confidential.

b. **Audit**

The respondent must conduct an independent audit according to the policies and guidelines of the federal Office of Management and Budget Circular A-133 and 29 Part 96-Single Audit Act.

c. **Grievance Procedures**

The respondent must establish and maintain grievance procedures for grievances and complaints about its program and activities from participants, subgrantees, subcontractors, employees and other interested parties.

d. **Coordination and Linkages**

The respondent must develop linkages and coordinate its services and activities with appropriate agencies and training facilities including the local workforce investment boards and One-Stop Centers in their area of service. Such linkages should help to ensure that program participants receive necessary services without the duplication of effort and expense. SCSEP is a mandatory partner of the One-Stop delivery system established under the Workforce Investment Act and should develop a memorandum of understanding stating how program services/activities will be coordinated with the One-Stop.

e. Standard Operating Procedures

The respondent must establish and implement standardized policies and procedures for the provision of services to the target population.

f. No additional fees

The respondent must agree that project services and activities will be provided at no additional charge to eligible participants unless otherwise permitted in writing by the Director of Labor and Industrial Relations. In any event, the inability of a participant to pay the additional fees shall not be used as the basis for non-participation of the participant who is otherwise qualified and eligible.

g. Over-enrollment/Temporary Positions

Should attrition of funding adjustments prevent project funds to be fully utilized, the respondent shall develop a system that allows the utilization of temporary enrollees when the anticipated number of participants to be placed into community service assignments exceeds the number of authorized positions.

h. Nondiscrimination

The respondent must ensure compliance with Title VI of the Civil Rights Act of 1964, Americans with Disabilities Act Amendments Act, Age Discrimination Act, Age Discrimination in Employment Act and the provisions of 29 CFR Parts 31, 32 and 37.

i. Political Patronage and Activities

The respondent must ensure that the selection of participants, service providers and/or host agencies shall not be based on political affiliations or beliefs. The applicant shall also ensure that no participant or staff person engages in partisan or nonpartisan political activities during the hours for which they are paid with SCSEP funds.

j. Nepotism

The respondent shall develop policies to ensure that neither they nor one of their host agencies may be a worksite for a person who works in an administrative capacity, staff position, or community service position funded through this procurement if a member of

that person's immediate family is engaged in a decision-making capacity (whether compensated or not) for the project or host agency.

k. Maintenance of Effort

The applicant shall ensure that program participants shall not be used to displace other employed workers, including a partial displacement, workers on layoff, or private contracts.

l. Compliance with Federal Debarment/Suspension, Drug Free Workplace and Lobbying Rules

The applicant shall ensure that they will comply with the Federal Debarment/Suspension, Drug Free Workplace, and Lobbying Rules.

m. Compliance with Federal Cost Principles and Uniform Administration Requirements

The applicant shall ensure that they will comply with all applicable the Federal Cost Principles and Uniform Administrative Requirements.

n. Compliance with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282 and its amendments

If selected for award, the respondent must provide the Department of Labor and Industrial Relations with additional information regarding the names and compensation rates of their top five executives to comply with the Federal Accountability and Transparency Act of 2006 and its amendments.

3. Quality assurance and evaluation specifications

The applicant shall establish procedures for the monitoring of grant management, program management, and financial management of the program. The procedures shall include on-site and desk reviews which assess the following:

- Overall compliance with contract terms
- Compliance with the statutes and regulations of Title V of the Older Americans Act
- Achievement of project performance goals

- Accuracy and completeness of the documentation in case records and fiscal files
- Timely and accurate input into the SCSEP database
- Adherence to standard operating procedures and personnel rules and practices
- Timely submission of required reports
- Assessment of the effectiveness and efficiency of the program including an analysis of the its performance, impact, program design and administration
- Sound administrative and financial management practices

4. Output and performance/outcome measurements

a. **Outputs:** At a minimum, the project shall measure the following outputs:

- 1) The number of hours of community service employment;
- 2) The number of participants who enter into unsubsidized employment;
- 3) The number of participants who retain unsubsidized employment for a minimum of six months;
- 4) The amount of earnings earned in unsubsidized employment in the second, third and fourth quarters after exit;
- 5) The number of eligible individuals served, including the number of individuals who are low income (at or below the poverty level), the number of individuals who are 65 and older, the number of individuals who have a disability, the number of individuals who have limited English proficiency or have low literacy skills, the number of individuals who reside in rural areas, the number of individuals who have low employment prospects, the number of individuals who failed to find employment after utilizing services provided under Title I of the Workforce Investment Act of 1998, the number of individuals who are homeless or at risk for homelessness, the number of individuals who have a severe disability, are frail or age 75 years or older, meet the eligibility requirement related to age but do not receive benefits under Title II of the Social Security Act, or live in an area with persistent unemployment and are individuals with severely limited employment prospects.
- 6) The number of participants served who are from minority groups;
- 7) The number of participants who retain unsubsidized employment for a minimum of one year.

b. **Performance Measures:** Program performance is measured by the following indicators of performance. The first six are core indicators for which performance goals are annually negotiated with USDOL and

for which corrective actions must be taken should the aggregated performance for all core indicators fall below 80%. In addition to these core indicators, there are currently two additional indicators for which no numeric goals are set but for which performance must be reported. The performance goal on the core indicators are based on our currently negotiated performance goals.

- 1) Entered Employment: The number of participants who are employed in the first quarter after exit divided by total who exit in the quarter. Only those who were not employed on the date of enrollment are included in this measure. Participants whose exit or failure to remain employed was due to death, health/medical reasons, family care or institutionalization are excluded from this measure. PY 10 goal is 25.6%
- 2) Service Level: The number of participants who were active during the reporting period or who exited during the reporting period divided by the allocated number of community service positions for the project. PY 10 Goal 100%
- 3) Retention: The number of participants who are employed in both the 2nd and 3rd quarters after exit divided by the number who exit during the quarter. Only those who were employed in the 1st quarter after exit are included in this measure. Participants whose exit or failure to meet retention was due to death, health/medical reasons, family care or institutionalization are excluded from this measure. PY 10 Goal 70%.
- 4) Community Service Hours: The total number of paid community service hours performed by program participants in the reporting period divided by the number of community service hours funded by the grant. Goal: PY 10 Goal 50%.
- 5) Earnings: Of those who were employed in the first, second and third quarters after exit, the sum of the earnings for the 2nd and 3rd quarters after exit divided by the number of participants who exited during the quarter. PY 10 Goal \$6,512.
- 6) Most-in-Need: The total number of the following characteristics for all participants divided by the number of participants served: a) Have a severe disability, b) Are Frail, c) Are age 75 or older, d) Meet the eligibility requirements related to age for, but do not receive, benefits under title II of the Social Security Act, e) Live in an area with persistent unemployment and are individuals with severely limited employment prospects; f) Have a limited English proficiency, g) Have low literacy skills, h) Have a disability, i) Reside in a rural area, j) Are veterans, k) Have low employment prospects, l) Have failed to find employment after utilizing services provided under title I of the Workforce Investment Act of

1998, and m) Are homeless or at risk of homelessness. PY 10

Goal: 2.43 barriers/participant

- 7) **Additional Indicators:** The following two additional indicators do not have specific numeric goals established but will need to be reported:
- a) **Long Term Retention:** Of those who were employed in the first quarter after exit, the number of participants who are employed in unsubsidized employment in the fourth quarter after exit divided by the number of participants who exit during the quarter.
 - b) **Customer Satisfaction:** The number of participants, employers, and host agencies who express satisfaction with the experiences and services of the program.
- c. **Continuous Improvement:** The established goals shall be designed to promote continuous improvement in performance for the program. As such the performance goals may be adjusted annually.
- d. **Sanctions for Failure to Achieve Performance Measures:** If the Provider fails to achieve their established performance measures in the first year of the Agreement, the Provider shall, no later than 90 days after the end of the program year, submit to the State a corrective action plan describing how they plan to correct their performance. The State and/or the USDOL may provide technical assistance and training, if required. If the Provider fails to achieve the required performance measures after two years, the State may reduce the amount of funds allocated to the project. If the Provider fails to achieve the required performance measures for three consecutive years, the State may terminate the Agreement. Should such termination occur, the State may competitively procure another project operator(s).
- e. **Contingency Plan:** The Provider shall provide to the State a Contingency Plan that they agree to implement to ensure minimal disruption of services to the Provider's participants should the Provider lose some or all of their SCSEP positions. Such plan shall be submitted no later than 45 days after the start of the Agreement. The Contingency Plan shall include, but is not limited to, the following:
- 1) How and when the participants will be notified;
 - 2) If appropriate, what records will be turned over to the new operator;
 - 3) What efforts will be made to place program participants into other employment and training opportunities;

- 4) What other services will be provided to ease the transition; and
- 5) How will the final payroll payments be made.

5. Experience

- a. The applicant must have a minimum of one year's experience providing employment and training services or related services to low income individuals.
- b. The applicant must have the ability to work with older individuals with barriers to employment including individuals with limited English proficiency, disabilities, limited work experiences, and poor employment prospects.

6. Coordination of services

The Provider must develop linkages and coordinate its services with the local workforce investment boards and One-Stop entities in the areas of service to ensure participants receive necessary services without the duplication of effort and expenses. SCSEP is a mandatory partner of the One-Stop delivery system established under the Workforce Investment Act and should develop a memorandum of understanding stating how program services/activities will be coordinated with the One-Stop.

7. Reporting requirements for program and fiscal data

a. Program Data and Reports

The Provider must ensure all data for each program quarter is input into the SCSEP Data Collection System (DCS) no later than thirty (30) calendar days after the end of each program quarter, unless advised differently. Data input should follow the instructions in the SCSEP Data Collection Handbook, as amended. The Provider shall also ensure that all follow-up activities that were due during the Program Year shall be completed and recorded within sixty (60) days from the end of the Program Year.

b. Fiscal Reports

The SCSEP Expenditure Register, the Subrecipient's Request for Advance or Reimbursement, and the SCSEP Program Income and Non-SCSEP Funds Expenditure Reports are due no later than thirty (30) calendar days after the end of each month. The Inventory Listing Report is due no later than thirty (30) days after the end of each report quarter. The Provider shall also submit a completed Closeout package within sixty (60) days after the end of the Agreement. Sample report forms are included in the Section 5.

c. **Additional Reports**

In addition to the above reports, the Provider, upon request, may be asked to submit additional reports and/or meet with representatives of the State to discuss the progress of their work. While not required, it is also recommended that the applicant report any non-federal contribution that they plan to make to the project operation. Such contribution may be in cash or in-kind and can include host agency supervisory time and space, supportive services, etc

C. Facilities

Facilities shall be readily accessible to the areas where a large proportion of the target population resides and meet the Americans with Disabilities Act (ADA) requirements. Applicants having access to satellite or remote facilities should also describe the location of such facilities.

IV. COMPENSATION AND METHOD OF PAYMENT

The pricing structure shall be based on a cost reimbursement basis. The cost reimbursement pricing structure reflects a purchase arrangement in which the purchasing agency pays the Provider for budgeted agreed upon costs that are actually incurred in delivering the services specified in the contract, up to a stated maximum obligation.

The provider shall submit a reimbursement request at the end of each month that is reconcilable to the required monthly expenditure report. All other reimbursement requests must be approved by DLIR.

DLIR may authorize an initial cash advance of not more than 1/12 of the amount of funds allocated in the agreement, if requested, to initially implement the grant. If the provider can verify that there is insufficient working capital to receive payments on a reimbursement basis, the provider may request cash advances subject to the following conditions

The provider shall be limited to the minimum cash needed for accrued expenditures that will be actually disbursed for direct program costs, administration costs, and the proportionate share of allowable indirect costs for administration.

- Cash advances shall be as close as is administratively feasible to the disbursement of funds. This would mean that if the provider has two major disbursements a month (e.g., semi-monthly payrolls), there may be at least two requests for funds per month.
- The provider shall promptly, but at least quarterly, remit interest earned on advances to the State. The provider may keep interest amounts up to \$100 per year for administrative expenses.
- In addition to the interest, the provider shall provide a verifiable report that tracks the cash advance and disbursements for each expenditure transaction that validates the remitted interest.
- Where an internal administrative procedure adversely affects cash management, the provider shall take corrective action to correct or modify the procedure.

V. Pre-Award Responsibility Review

After the issuance of the Statement of Findings and Decision, DLIR will conduct a review of the available records to assess the selected provider(s)'s overall responsibility to administer Federal funds. As part of the review, DLIR may consider any information that has come to its attention and will consider the organization's history with regard to the management of other grants. The failure to meet any one responsibility test except test 1 and 2, does not establish that the organization is not responsible unless the failure is substantial or persistent (for two or more consecutive years). Failure to meet the requirements of the responsibility review may disqualify a potential provider from the award of a contract. The responsibility tests include the review of the following factors:

- A. Unsuccessful efforts by the applicant to recover debts, after three demand letters have been sent, that are established by final agency action, or a failure to comply with an approved repayment plan.
- B. Established fraud or criminal activity of a significant nature within the organization or agency involved.
- C. Serious administrative deficiencies identified by the Department such as failure to maintain a financial management system as required by federal/state rules and/or regulations.
- D. Willful obstruction of the audit process.
- E. Failure to provide services to participants for a current or recent grant or to meet applicable core measures of performance or address applicable indicators of performance.

- F. Failure to correct deficiencies brought to the agencies attention in writing as a result of monitoring activities, reviews, assessments, or other activities.
- G. Failure to return a grant closeout package or outstanding advances within 75 days of the grant expiration date or receipt of a closeout package, whichever is later, unless an extension has been requested and granted.
- H. Failure to submit required reports.
- I. Failure to properly report and dispose of Government property as instructed by DLIR.
- J. Failure to have maintained effective cash management or cost controls resulting in excess cash on hand.
- K. Failure to ensure that a subrecipient or subcontractor complies to its Office of Management and Budget Circular A-133 audit requirements specified at section 667.200 of title 20, Code of Federal Regulation.
- L. Failure to audit a subrecipient within the required period.
- M. Final disallowed costs in excess of five percent of the grant or contract award if, in the judgment of the state or federal grant officer, the disallowances are egregious.
- N. Failure to establish a mechanism to resolve a subrecipient or subcontractor's audit in a timely basis.

Section 3

Proposal Application Instructions

Section 3

Proposal Application Instructions

General instructions for completing applications:

- *Proposal Applications shall be submitted to the state purchasing agency using the prescribed format outlined in this section.*
- *The numerical outline for the application, the titles/subtitles, and the applicant organization and RFP Identification information on the top right hand corner of each page should be retained. The instructions for each section however may be omitted.*
- *Page numbering of the Proposal Application should be consecutive, beginning with page one and continuing through for each section. See sample table of contents in Section 5.*
- *Proposals may be submitted in a three ring binder (Optional).*
- *Tabbing of sections (Recommended).*
- *Applicants must also include a Table of Contents with the Proposal Application. A sample format is reflected in Section 5, Attachment B of this RFP.*
- *A written response is required for each item unless indicated otherwise. Failure to answer any of the items will impact upon an applicant's score.*
- *Applicants are strongly encouraged to review evaluation criteria in Section 4, Proposal Evaluation when completing the proposal.*
- *This form (SPO-H-200A) is available on the SPO website (see Section 1, paragraph II, Website Reference). However, the form will not include items specific to each RFP. If using the website form, the applicant must include all items listed in this section.*

The Proposal Application comprises the following sections:

- *Proposal Application Identification Form*
- *Table of Contents*
- *Program Overview*
- *Experience and Capability*
- *Project Organization and Staffing*
- *Service Delivery*
- *Financial*
- *Other*

I. Program Overview

Applicant shall give a brief overview to orient evaluators as to the program/services being offered.

II. Experience and Capability

A. Necessary Skills

The applicant shall demonstrate that it has the necessary skills, abilities, and knowledge relating to the delivery of the proposed services.

B. Experience

The applicant shall provide a description of projects/contracts pertinent to the proposed services that reflect their experience providing employment and training or related services to low income individuals. The description should also reflect the applicant's ability to work with older individuals with multiple barriers to employment. The applicant shall identify point(s) of contact for references, addresses, email addresses and/or phone number. The State reserves the right to contact references to verify experience.

C. Quality Assurance and Evaluation

The applicant shall describe its own plans for quality assurance and evaluation for the proposed services, including methodology. The plans should include an explanation of how the applicant plans to monitor its progress in meeting reporting requirements and performance goals and how it will ensure compliance with the contract terms.

D. Coordination of Services

The applicant shall demonstrate the capability to coordinate services with other agencies and resources in the community, especially other employment and training programs and other programs that serve older individuals. The applicant must illustrate their familiarity with resources in their area which may assist them to address the supportive service needs of their participants and their ability to coordinate services with such entities to ensure non-duplication of services. As a mandatory partner of the Workforce Investment Act One Stop system, the selected provider will also need to coordinate its services and develop a Memorandum of Understanding with the Local Workforce Investment Board in the area in which it serves. Copies of signed MOUs may be required at the point of contracting but are not required at the point of proposal submission.

E. Facilities

The applicant shall provide a description of its facilities and demonstrate its adequacy in relation to the proposed services. If facilities are not presently available, describe plans to secure facilities. Also describe how the facilities meet ADA requirements, as applicable, and special equipment that may be required for the services.

III. Project Organization and Staffing

A. Staffing

1. Proposed Staffing

The applicant shall describe the proposed staffing pattern, client/staff ratio and proposed caseload capacity appropriate for the viability of the services. Please identify the position(s) which will be the primary point of contact. (Refer to the personnel requirements in the Service Specifications, as applicable.)

2. Staff Qualifications

The applicant shall provide the minimum qualifications (including experience) for staff assigned to the program. (Refer to the qualifications in the Service Specifications, as applicable)

B. Project Organization

1. Supervision and Training

The applicant shall describe its ability to supervise, train and provide administrative direction relative to the delivery of the proposed services.

2. Organizational Chart

The applicant shall reflect the position of each staff and line of responsibility/supervision. (Include position title, name and full time equivalency) Both the "Organization-wide" and "Program" organizational charts shall be attached to the Proposal Application.

IV. Service Delivery

The Applicant shall include a detailed discussion of their approach to ensure that all applicable mandatory service activities and management requirements from Section 2, Item III. - Scope of Work will be provided. The discussion should include descriptions of 1) key individual(s) or position(s) that will be responsible for the provision of all identified administrative and program functions and activities, 2) the proposed program design and participant flow of the project, 3) planned coordination activities, 4) its planned tracking, reporting and monitoring activities, and 5) the agency's planned mechanism to track the costs between the three cost categories—administration, participant wages and fringe benefits, and other program costs.

The discussion should also include a description of planned grant management, program management and fiscal management activities to ensure attainment of

performance goals and compliance with the Older Americans Act statutes and regulations, and its plans to implement corrective actions, if necessary. For each of the core performance indicators, the applicant should indicate the goals they propose to attain for the project for the year.

V. Financial

A. Pricing Structure

Applicant shall submit a cost proposal utilizing the pricing structure designated by the state purchasing agency. The cost proposal shall be attached to the Proposal Application.

All budget forms, instructions and samples are located on the SPO website (see Section I, paragraph II Websites referred to in this RFP). The following budget form(s) shall be submitted with the Proposal Application:

All budget forms, instructions and samples are located on the SPO website (see Section I, paragraph II Websites referred to in this RFP). NOTE: The budget forms on the SPO website have been modified to include cost categories for this RFP. Please note that the budget forms required for this RFP include special instructions to allocate costs by cost category--- Administration, Program-Participant Wages and Fringe Benefits, and Program-Other Costs. See Section III.A, for the definitions of the cost categories. Samples of the revised budget forms are included in Section 5, Attachments. Key changes on the budget form are indicated in red. The following budget form(s) shall be submitted with the Proposal Application:

SPO-II-205	Budget
SPO-H-206A	Budget Justification-Personnel-Salaries and Wages
SPO-H-206B	Budget Justification-Personnel-Payroll Taxes, Assessment and Fringe
SPO-H-206C	Budget Justification-Travel-Inter-island
SPO-II-206D	Budget Justification-Travel-Out of State
SPO-II-206E	Budget Justification-Contractual Services-Administrative
SPO-H-206F	Budget Justification-Contractual Services-Subcontracts
SPO-H-206H	Budget Justification-Program Activities
SPO-H-206I	Budget Justification-Equipment Purchases
SPO-II-206J	Budget Justification-Motor Vehicle

Program Specific Forms:

Budget Justification-Program Activities Other Costs
Budget Request Summary Supplement

If the applicant plans to make cash or in-kind contributions to the operation of the project from nonfederal sources, please indicate the amount of the planned

contributions in the proposal narrative and/or on the Budget Form SPO-H-205 and list as item (b) Other Non-Federal contribution under Sources of Funding.

B. Other Financial Related Materials

I. Accounting System

In order to determine the adequacy of the applicant's accounting system as described under the administrative rules, the following documents are requested as part of the Proposal Application (may be attached):

The Independent Auditor's summary report of the last financial audit conducted for the organization, including any findings and recommendations made by the auditor. In the absence of an Independent Auditor's Audit Report, the applicant shall provide a description of its accounting system, including at a minimum responses to the following questions:

- Is the organization's accounting system a manual or computerized system?
- Is the accounting system operated on a cash or accrual basis?
- Does the organization maintain an overall general ledger?
- Does the organization maintain a separate ledger for each funding source/agreement?
- Does the organization classify any of its costs as indirect?
- Does the organization have a written/formal internal control procedure?

VI. Other

A. Litigation

The applicant shall disclose any pending litigation to which they are a party, including the disclosure of any outstanding judgment. If applicable, please explain.

B. Federal Assurances and Certifications

If selected, the applicant will need to comply with the Federal Assurances and Certifications as reflected in Section 5, Attachment F. Signed certification forms will be required at the point of contracting.

Section 4

Proposal Evaluation

Section 4 Proposal Evaluation

I. Introduction

The evaluation of proposals received in response to the RFP will be conducted comprehensively, fairly and impartially. Structural, quantitative scoring techniques will be utilized to maximize the objectivity of the evaluation.

II. Evaluation Process

The procurement officer or an evaluation committee of designated reviewers selected by the head of the state purchasing agency or procurement officer shall review and evaluate proposals. When an evaluation committee is utilized, the committee will be comprised of individuals with experience in, knowledge of, and program responsibility for program service and financing.

The evaluation will be conducted in three phases as follows:

- Phase 1 - Evaluation of Proposal Requirements
- Phase 2 - Evaluation of Proposal Application
- Phase 3 - Recommendation for Award

Evaluation Categories and Thresholds

<u>Evaluation Categories</u>	<u>Possible Points</u>
<i>Administrative Requirements</i>	
<i>Proposal Application</i>	100 Points
Program Overview	0 points
Experience and Capability	20 points
Project Organization and Staffing	15 points
Service Delivery	55 points
Financial	10 Points
TOTAL POSSIBLE POINTS	100 Points

IX. Evaluation Criteria

A. Phase 1 - Evaluation of Proposal Requirements

1. Administrative Requirements

If the applicant is not a public federal, state or local governmental entity, the agency must include verification that it is a tax exempt organization under section 501(c)(3) of the Internal Revenue Code.

In addition, the applicant should ensure that it has complied with the administrative requirements in Section I of this Request for Proposals.

2. Proposal Application Requirements

- Proposal Application Identification Form (Form SPO-H-200)
- Table of Contents
- Program Overview
- Experience and Capability
- Project Organization and Staffing
- Service Delivery
- Financial (All required forms and documents)
- Program Specific Requirements (as applicable)

B. Phase 2 - Evaluation of Proposal Application (100 Points)

Program Overview: No points are assigned to Program Overview. The intent is to give the applicant an opportunity orient evaluators as to the service(s) being offered.

1. Experience and Capability (20 Points)

The State will evaluate the applicant's experience and capability relevant to the proposal contract, which shall include:

A. Necessary Skills

- Demonstrated skills, abilities, and knowledge relating to the delivery of the proposed services _____
- Demonstrated ability to work with the target population and provide services and activities in a manner which is sensitive to the learning styles and needs of the older worker. _____

2. **Project Organization and Staffing (15 Points)**

The State will evaluate the applicant's overall staffing approach to the service that shall include:

A. **Staffing**

- Proposed Staffing: That the proposed staffing pattern, client/staff ratio, and proposed caseload capacity is reasonable to insure viability of the services
- Staff Qualifications: Minimum qualifications (including experience) for staff assigned to the program
- Assigned staff is familiar with the needs of older workers and available resources in the community
- Adequate fiscal and administrative support to ensure the proper allocation of funds and the timely preparation and submission of records and reports

B. **Project Organization**

- Supervision and Training: Demonstrated ability to supervise, train and provide administrative direction to staff relative to the delivery of the proposed services.
- Organizational Chart: Approach and rationale for the structure, functions, and staffing of the proposed organization for the overall service activity and tasks.

3. **Service Delivery (55 Points)**

Evaluation criteria for this section will assess the applicant's approach to the service activities and management requirements outlined in the Proposal Application.

- The planned delivery of services complies with SCSBP statutes and rules.
- All required services and activities shall be provided.
- The design of the services shall meet the needs of the target population to transition into unsubsidized employment.
- The services/activities should be coordinated with the One Stop Centers in the service areas that have been developed under the Workforce Investment Act Programs.

- Design of the program shall be sufficient to ensure timely and accurate reporting of program performance.
- The program design illustrates the agency's ability to meet or exceed minimum performance goals
- Program design shall include the timely implementation of corrective action plans, if necessary.
- Services and activities shall meet the satisfaction of program participants, host agencies and employers.

4. *Financial (10 Points)*

Pricing structure based on cost reimbursement

- Personnel costs are reasonable and comparable to positions in the community.
- Non-personnel costs are reasonable and adequately justified.
- The budget supports the scope of services and the requirements of the Request for Proposal.
- Costs are applicable to appropriate cost categories and are within applicable cost limits.
- Additional non-federal contributions offered, if applicable.
- Adequacy of accounting and financial management systems (see below).

Adequacy of accounting system

The respondent must ensure that their own financial systems, as well as those of their subcontractors (if applicable), provide fiscal control and accounting procedures that are in accordance with generally accepted accounting principles and include:

- Accrual base reporting
- Adequate information
- Effective Internal Control
- Comparison of Outlays with Budget
- Proper Charging of Costs and Cost Allocation
- Source Documentation

The financial management system must be sufficient to:

- a. Permit preparation of required reports

- b. Permit the tracing of funds to a level of expenditure adequate to establish that funds have not been used in violation of the applicable restrictions on the use of funds.

C. Phase 3 - Recommendation for Award

Each notice of award shall contain a statement of findings and decision for the award or non-award of the contract to each applicant.

Section 5

Attachments

- A. Proposal Application Checklist
- B. Sample Table of Contents
- C. Sample Cost Proposal Forms with Program Specific Modifications
- D. Program Specific Forms
- E. Sample Reporting Forms
- F. Federal Assurances and Certifications
- G. References

Proposal Application Checklist

Applicant: _____

RFP No.: _____

The applicant's proposal must contain the following components in the order shown below. This checklist must be signed, dated and returned to the purchasing agency as part of the Proposal Application. SPOH forms are on the SPO website. See Section 1, paragraph II Website Reference.*

Item	Reference in RFP	Format/Instructions Provided	Required by Purchasing Agency	Completed by Applicant
General:				
Proposal Application Identification Form (SPO-H-200)	Section 1, RFP	SPO Website*	X	
Proposal Application Checklist	Section 1, RFP	Attachment A	X	
Table of Contents	Section 5, RFP	Section 5, RFP	X	
Proposal Application (SPO-H-200A)	Section 3, RFP	SPO Website*	X	
Tax Clearance Certificate (Form A-6)	Section 1, RFP	Dept. of Taxation Website (Link on SPO website)*		
Cost Proposal (Budget)				
SPO-H-205	Section 3, RFP	SPO Website*	X	
SPO-H-205A	Section 3, RFP	SPO Website* Special Instructions are in Section 5		
SPO-H-205B	Section 3, RFP,	SPO Website* Special Instructions are in Section 5		
SPO-H-206A	Section 3, RFP	SPO Website*	X	
SPO-H-206B	Section 3, RFP	SPO Website*	X	
SPO-H-206C	Section 3, RFP	SPO Website*	X	
SPO-H-206D	Section 3, RFP	SPO Website*	X	
SPO-H-206E	Section 3, RFP	SPO Website*	X	
SPO-H-206F	Section 3, RFP	SPO Website*	X	
SPO-H-206G	Section 3, RFP	SPO Website*	X	
SPO-H-206H	Section 3, RFP	SPO Website*	X	
SPO-H-206I	Section 3, RFP	SPO Website*	X	
SPO-H-206J	Section 3, RFP	SPO Website*	X	
Certifications:				
<i>Federal Certifications</i>		Section 5, RFP		
Debarment & Suspension		Section 5, RFP	X**	
Drug Free Workplace		Section 5, RFP	X**	
Lobbying		Section 5, RFP	X**	
Program Fraud Civil Remedies Act		Section 5, RFP		
Environmental Tobacco Smoke		Section 5, RFP		
Program Specific Requirements:				
Budget Justification-Other Costs		Section 5, RFP	X	
Budget Request Summary Supplement		Section 5, RFP	X	

 Authorized Signature

 Date

**Required at point of contracting only. Does not need to be submitted with proposal.

Proposal Application Table of Contents

I.	Program Overview	1
II.	Experience and Capability	1
	A. Necessary Skills	2
	B. Experience	4
	C. Quality Assurance and Evaluation.....	5
	D. Coordination of Services.....	6
	E. Facilities	6
III.	Project Organization and Staffing.....	7
	A. Staffing.....	7
	1. Proposed Staffing	7
	2. Staff Qualifications	9
	B. Project Organization	10
	1. Supervision and Training.....	10
	2. Organization Chart (Program & Organization-wide) (See Attachments for Organization Charts)	
IV.	Service Delivery	12
V.	Financial	20
	See Attachments for Cost Proposal	
VI.	Litigation.....	20
VII.	Attachments	
	A. Cost Proposal	
	SPO-H-205 Proposal Budget	
	SPO-H-206A Budget Justification - Personnel: Salaries & Wages	
	SPO-H-206B Budget Justification - Personnel: Payroll Taxes and Assessments, and Fringe Benefits	
	SPO-H-206C Budget Justification - Travel: Interisland	
	SPO-H-206E Budget Justification - Contractual Services – Administrative	
	B. Other Financial Related Materials	
	Financial Audit for fiscal year ended June 30, 1996	
	C. Organization Chart	
	Program	
	Organization-wide	
	D. Performance and Output Measurement Tables	
	Table A	
	Table B	
	Table C	
	E. Program Specific Requirements	

BUDGET

(Period _____ to _____)

Applicant/Provider: _____
 RFP No.: _____
 Contract No. (As Applicable): _____

BUDGET CATEGORIES	Budget Request (a)	Administration (b)	Prog-PWFB (c)	Prog-Other (d)
A. PERSONNEL COST				
1. Salaries				
2. Payroll Taxes & Assessments				
3. Fringe Benefits				
TOTAL PERSONNEL COST				
B. OTHER CURRENT EXPENSES				
1. Airfare, Inter-Island				
2. Airfare, Out-of-State				
3. Audit Services				
4. Contractual Services - Administrative				
5. Contractual Services - Subcontracts				
6. Insurance				
7. Lease/Rental of Equipment				
8. Lease/Rental of Motor Vehicle				
9. Lease/Rental of Space				
10. Mileage				
11. Postage, Freight & Delivery				
12. Publication & Printing				
13. Repair & Maintenance				
14. Staff Training				
15. Substance/Per Diem				
16. Supplies				
17. Telecommunication				
18. Transportation				
19. Utilities				
PROGRAM ACTIVITIES				
21. Participant Wages				
22. Participant Fringe				
23. Supportive Services				
24. Classroom Training				
TOTAL OTHER CURRENT EXPENSES				
C. EQUIPMENT PURCHASES				
D. MOTOR VEHICLE PURCHASES				
TOTAL (A+B+C+D)				
SOURCES OF FUNDING		Budget Prepared By:		
(a) Budget Request		Name (Please type or print)		Phone
(b)		Signature of Authorized Official		Date
(c)		Name and Title (Please type or print)		
(d)		For State Agency Use Only		
TOTAL REVENUE		Signature of Reviewer		Date

**BUDGET JUSTIFICATION
PERSONNEL: PAYROLL TAXES, ASSESSMENTS, AND FRINGE BENEFITS**

Applicant/Provider: _____ RFP No.: _____ Period: _____ to _____ Date Prepared: _____
 Contract No.: _____
 (As Applicable)

TYPE	BASIS OF ASSESSMENTS OR FRINGE BENEFITS	% OF SALARY	TOTAL	ADMIN	PROGRAM-PWFB	PROGRAM-OTHER
PAYROLL TAXES & ASSESSMENTS:						
Social Security	As required by law	As required by law				
Unemployment Insurance (Federal)	As required by law	As required by law				
Unemployment Insurance (State)	As required by law	As required by law				
Worker's Compensation	As required by law	As required by law				
Temporary Disability Insurance	As required by law	As required by law				
SUBTOTAL:						
FRINGE BENEFITS:						
Health Insurance						
Retirement						
SUBTOTAL:						
TOTAL:						

JUSTIFICATION/COMMENTS:

**BUDGET JUSTIFICATION
PROGRAM ACTIVITIES**

Applicant/Provider: _____ Period: _____ to _____ Date Prepared: _____
 RFP No.: _____
 Contract No.: _____
 (As Applicable)

DESCRIPTION	AMOUNT	JUSTIFICATION/COMMENTS	ADMIN	PROG-EWFB	PROG-OTHER
PROGRAM ACTIVITIES					
Participant Wages:					
Number of Participants					
Number of Hours					
Number of Weeks					
\$ /Hour					
TOTAL PARTICIPANT WAGES					
FRINGE BENEFITS					
Social Security (FICA)					
Worker's Compensation					
Unemployment Insurance					
Medical Exams					
\$ /Exam x Number of Participants					
TOTAL FRINGE BENEFITS					
SUPPORTIVE SERVICES					
CLASSROOM TRAINING					
Total:					

**OLDER AMERICAN COMMUNITY SERVICE EMPLOYMENT PROGRAM
BUDGET REQUEST SUMMARY SUPPLEMENT**

Applicant/Provider: _____ Date Prepared: _____

RFP No.: _____

Contract No.: _____

GRANT PROGRAM, FUNCTION OR ACTIVITY	First Quarter	Second Quarter	Third Quarter	Fourth Quarter
1. <u>TOTAL FEDERAL</u>				
A. Administration				
B. Program-PWFB				
C. Program-Other Costs				
2. <u>TOTAL NON-FEDERAL FUNDS</u>				
(In-Kind)				

SCSEP SAMPLE REPORTING FORMS

This project will be utilizing the internet based SCSEP Data Collection System (DCS) to generate the SCSEP Quarterly Progress Report for program reporting. The system has been developed by contractors of the U.S. Department of Labor. Sample forms and instructions may be found via the Charter Oak Group, Inc. website at <http://charteroakgroup.com/resources/scsep.shtml>. This site includes the various data collection forms presently utilized for the program as well as the SPARQ Quarterly Progress Report form, ETA 5140. A copy of the information found at this website is attached. These forms are subject to revisions as the system is updated.

Fiscal Reporting forms include the Subrecipient's Request for Advance or Reimbursement, SCSEP Expenditure Report, SCSEP Program Income and Non-SCSEP Funds Expenditure Register, and Inventory Listing. Sample forms and instructions are attached. In addition, the SCSEP Closeout Procedures are included for information. The report forms and instructions for closeout will be issued when required.



The Charter Oak Group LLC

Interactive Decision Consulting

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Senior Community Service Employment Program

This Senior Community Service Employment Program (SCSEP) web page is sponsored by The Charter Oak Group, LLC. From here, you can access the latest information on the SCSEP data collection system, the data collection forms, and related issues.

SCSEP Forum

The link below will take you to COG's forum site, which includes two forums related to the SCSEP data collection system. The first is an *Ask the Experts* forum, where you can post questions and COG, in consultation with the USDOL Division of Older Worker Programs (DOWP), will respond. The second is a moderated *General Discussion* forum which allows participants to discuss topics related to SCSEP data collection. While COG will monitor this forum as a way of identifying technical assistance needs, COG is not responsible for any information conveyed in the *General Discussion* forum. Some topics discussed in the *General Forum* may be used as the basis for *Ask the Experts* questions and responses.

[Go to Forums](#)

Other Resources

[Standardized Grantee Names and Codes](#)

Training Materials

[Assessments](#)

[IEPs](#)

Using the QPR and Other Performance Tools to Diagnose Performance

- [Part I: Entered Employment, Retention, and Average Earnings](#) (Powerpoint ppt file)
- [Part II: Service Level, Community Service, and Most in Need](#) (Powerpoint ppt file)

Employee Survey Kit 08/04/04 (all files are PDF unless otherwise noted).

- [Sample SCSEP Survey](#)
- [Checklist for Administration of Employer Survey](#)
- [Alerting Employers to First Survey](#)
- [Letter to Unsubsidized Employers for First Survey](#)
- [Talking Points for Informing Employers of Second Survey](#)

Data Collection Forms Effective March 2009

[Participant Form 03/20/09](#)

[Community Service Assignment Form 02/13/09](#)

[Exit Form 02/13/09](#)

[Unsubsidized Employment Form 03/20/09](#)

SCSEP Data Collection Handbook

You can download and print the complete Handbook by clicking on the link below. The Handbook is designed to be printed in landscape format, back-to-back, bound on the top, exactly as it appears. The first page of text for each Guide will be on the top when the Handbook is opened.

[Complete Handbook Rev. 6 \(4/19/10\)](#)

 The Handbook files and forms require Adobe Acrobat Reader. If you have difficulty viewing these documents you can download a free copy from [Adobe](#).

Quarterly Progress Report

[SPARQ Quarterly Progress Report, ETA-5140 \(5/19/10\)](#)

[QPR Handbook Rev.5 \(5/19/10\)](#)

For technical assistance regarding the SCSEP Data Collection System, contact COG at:

olderworker@charteroakgroup.org

COG will respond within 24 hours. Some e-mail questions and responses will be posted (no authorship indicated) on the *Ask the Experts* forum.

- [Follow-up Letter to Employers for Second Survey](#)
- [Tracking form](#) (Excel File)

Links to Other Organizations

[Division of Older Worker Programs](#)

[Easter Seals](#)

[Mathematica Policy Research](#)

[National Able Network, Inc.](#)

[National Indian Council on Aging](#)

[Senior Service America, Inc.](#)

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SCSEP FORUM CODE: xyz7m98ssfw

SUBRECIPIENT'S REQUEST FOR ADVANCE OR REIMBURSEMENT

Invoice No. _____

(1) Subrecipient's Name (Agent or Organization)		(2) Address (No. & Street, City, State, ZIP)			
(3) Operational Plan No./Agreement No.		(5) Funds Requested for:			
(4) Funds Requested for (Specify Program)		a) Initial Advance	<input type="text"/>	c) Reimbursement	<input type="text"/>
(6) Operational Plan/Agreement Period From: _____ To: _____		b) Periodic Advance	<input type="text"/>	d) Final Invoice	<input type="text"/>
(8) Cash Transaction Data		(7) Report Period From: _____ To: _____			
		Other Funds (Cash Basis)	Federal Funds (Cash Basis)	Official Use Only	
a) Total Cash Received to Date From: _____ To: _____				+	
b) Total Disbursement to Date From: _____ To: _____				-	
c) Cash on Hand/Deposit				=	
d) Cash Requested & Not Received to Date				+	
e) Interest Income/Payable to State (Deduct)				-	
f) Cash on Hand/Deposit & Cash Requested But Not Received to Date				=	
g) Estimated Disbursements From: _____ To: _____				-	
h) Amount of Cash Requested				*(+) Pay *(-) Due State	
(9) Expenditure Data - Total Expenditures to Date from Expenditure Register		Other Funds Accrued Expenditures	Federal Funds Accrued Expenditures		
(10) Subrecipient's Certification - I certify that the costs incurred are taken from the books of account and that such costs are valid and consistent with the terms of the plan or agreement.					
Authorized Subrecipient's Signature and Title				Date Signed	
State Administration Use Only					
I certify satisfactory receipt of goods/services listed on this request. Approved for Payment.		Appropriation No.			
		Amount to be Paid			
		Signature		Date	

DLIR WORKFORCE DEVELOPMENT DIVISION
OLDER AMERICANS ACT (OAA)
SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)
SUBRECIPIENT'S REQUEST FOR ADVANCE OR REIMBURSEMENT

I. Purpose

This form will be used to request advance or reimbursement payments from the State. A signed original should be submitted.

II. Facsimile of Form

Refer to the attached blank form.

III. General Instruction

Prepare a separate form for each operating entity plan or agreement. Another form or format may be substituted if the same information is displayed. When available, submit a completed expenditure register when submitting a request for reimbursement.

IV. Frequency and Report Due Date

This report will be submitted monthly beginning with the first month immediately following the effective date of the operational plan or after the initial advance payment is received. The reimbursement request should be submitted no later than thirty (30) calendar days after the end of each month to:

Department of Labor and Industrial Relations
Administrative Services Office / WIA Unit
830 Punchbowl Street, Room 309
Honolulu, Hawaii 96813

SUBRECIPIENT'S REQUEST FOR ADVANCE OR REIMBURSEMENT
INSTRUCTION FOR COMPLETING THE FORM

1. Subrecipient's Name
2. Subrecipient's Address
3. Indicate the number assigned to the Operational Plan or agreement that is applicable to the request for advance or reimbursement.
4. Specify what program the fund is being requested for (i.e. SCSEP).
5. Indicate whether this is an initial advance, periodic advance, reimbursement, or final invoice. Check final invoice only if the grant is closed and expenditures equal disbursement.
6. Operational Plan or agreement period as stated in the approved plan or agreement.
7. Period this request for advance or reimbursement covers; inception of grant period to present.
8. Cash Transaction Data
 - a. Total cash received to date.
 - b. Total disbursements from inception of grant period to present.
 - c. Cash on Hand / Deposit (8a minus 8b).
 - d. Cash requested and to date not received.
 - e. Interest income earned.
 - f. Cash on Hand/Deposit & Cash Requested But Not Received to Date (8c plus 8d minus 8e).
 - g. Estimated disbursements for the advance period, stating the period for the advance.
 - h. Amount of cash requested (8f minus 8g).
9. Total accrued expenditures from the program's expenditures register (i.e. SCSEP Expenditure Report).
10. Subrecipient's certification and authorized signature and date.

SCSEP Expenditure Register

I. IDENTIFYING INFORMATION		C. AGREEMENT/PLAN NO.		E. ANNUAL PLAN PERIOD		F. REPORT PERIOD		G. PAGE NO.			
A. NAME		D. MOD. NO.		From: _____ To: _____		From: _____ To: _____		Page <input type="text" value="1"/> of <input type="text" value="1"/> Pages			
B. PROGRAM OR ACTIVITY SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM											
II. ACCRUED EXPENDITURES											
A. Object of Expenditures	B. Planned Budget	C. Total Accrued Expenditures	D. Variance - % of Planned Budget #DIV/0!	E. Expenditures by Cost Categories							
				E.1. Admin	E.2. EWFB	E.3. Other					
1.											
2.											
3.											
4.											
5.											
6.											
7.											
8.											
9.											
10.											
11.											
12.											
13.											
14.											
15.											
16.											
17.											
F. Total SCSEP Accrued Expenditures		0.00	0.00	#DIV/0!	0.00	0.00	0.00				
G. Unliquidated Obligations			0.00								
H. Total Federal Obligations			0.00								
I. Total Unobligated Balance			0.00								
<p>CERTIFICATION: I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unpaid obligations are for the purposes set forth in the agreement.</p>											
NAME				TITLE				SIGNATURE		DATE	

DLIR WORKFORCE DEVELOPMENT DIVISION
OLDER AMERICANS ACT (OAA)
SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)
EXPENDITURE REGISTER

I. Purpose

The SCSEP Expenditure Register itemizes accrued federal expenses for personal and non-personal costs for the report period. The total expenditures are also totaled by the three primary SCSEP cost categories – Administration, Enrollee Wages and Fringe Benefits, and Other costs.

II. Facsimile of Form

Refer to the attached blank form.

III. General Instructions

Prepare a separate form for each subrecipient's annual plan or grant agreement. A supplemental worksheet may be included to summarize information used to complete this form. Where possible, round off all entries to the nearest dollar. The reported expenditures shall be cumulative from the start of the plan period to the end of the reporting period.

Program Income and Non-SCSEP expenditures are reported separately on the Program Income and Non-SCSEP Funds form as instructed in Appendix A of this manual.

IV. Frequency and Report Due Date

This report shall be submitted monthly beginning with the effective date of the annual plan or grant agreement. The report is due no later than thirty (30) calendar days after the end of each month to:

Department of Labor and Industrial Relations
Administrative Services Office / WIA Unit
830 Punchbowl Street, Room 309
Honolulu, Hawaii 96813

SCSEP EXPENDITURE REGISTER

INSTRUCTIONS FOR COMPLETING THE EXPENDITURE REGISTER REPORT FORM

General Instructions – SCSEP subrecipients will follow SCSEP allowable activities, cost limitations, and audit requirements, and shall not lose their appropriation year identity, and will report the expenditures separately on the SCSEP Expenditure Register in accordance with these instructions.

To implement this reporting requirement, complete a separate Expenditure Register for each operational plan or agreement.

I. Identifying Information

A. Subrecipient Name

Enter the subrecipient's name.

B. Program or Activity

Specify the "Senior Community Service Employment Program" name as shown in the annual plan or grant agreement.

C. Annual Plan No.

Enter the annual plan or agreement number assigned by the State Department of Labor and Industrial Relations. If unknown, leave blank. This number will not change for the duration of the grant.

D. Mod. No.

Enter the modification number of the annual plan or grant agreement, if applicable.

E. Annual Plan Period

Enter the month, day, and year of the start and end dates of the annual plan or grant agreement period.

F. Report Period

Enter the month, day, and year of the start and end dates of the report period for which this report is being submitted.

G. Page Number

Enter each page number and the total number of expenditure register pages (i.e. page 1 of 2, etc). Submit as many pages as necessary and have the last page signed by an authorized signatory.

II. Accrued Expenditures

A. Object of Expenditures (Column A, Lines 1 to 17)

List expense account titles, names or objects. (i.e. personal cost, equipment, and other current expenditures) as listed in the Budget Request Summary of the approved operating budget (original budget or the latest approved modification). An additional worksheet should be submitted if the form is unable to accommodate all cost items.

B. Planned Budget (Column B)

Enter the total SCSEP expenditures to be spent during the annual plan period for each corresponding Object of Expenditure cost category.

C. Total Accrued Expenditures (Column C)

Enter the total SCSEP expenditures accrued to date for the reporting period for each corresponding Object of Expenditure cost category. The accrued expenditures are cumulative from the program start date and should be reported to the nearest dollar, except for the final report, which should be reported in exact amounts (dollars and cents). Accrued expenses are the actual disbursements (payments other than advances) plus invoices on hand and other projected payments for goods and services received (for which invoices have not been received), and salaries and related benefits (earned but not paid) for the days between the beginning and the end of the reporting period.

D. Variance – Percentage of Planned Budget versus Expenditures (Column D)

For each cost category divide the Total Accrued Expenditures (Column C) by the corresponding budget amount in Column B and enter the resulting variance percentage in Column D. Apply the same calculation to Line F, Total SCSEP Accrued Expenditures. The variance will assist in determining whether the program's expenditures are in compliance with any imposed variance restrictions.

E. Expenditures by Cost Categories (Column E)

Extend the sum of each accrued expense (Column C) to the respective cost categories below.

1. Administration (Column E1)

Enter the actual accrued expenditures for the plan period to date, for administration costs as defined in Sections 641.856 of the SCSEP Final Rule (administrative regulations).

2. EWFB and Other Program Costs (Columns E2 and E3)

Enter the actual accrued expenditures for the plan period to date for program activity costs, as defined in Sec. 641.864 of the SCSEP Final Rule (program regulations).

F. Total SCSEP Accrued Expenditures/Obligations (Lines F - I)

1. Total SCSEP Accrued Expenditures (Line F)

Enter the total expenditures for Columns B (Planned Budget), C (Total Accrued Expenditures), E1 (Administration Expenditures), E2 and E3 (Program Expenditures) on line F. Enter the Percentage of Variance to Budget (Column D).

2. Unliquidated Obligations (Line G)

Enter the total unliquidated obligations of SCSEP funds in Column C on line G. Unliquidated obligations are the total amount of obligations incurred by the subrecipient for which an outlay or expenditure has not been recorded.

3. Total Federal Obligations (Line H)

Enter the total federal obligations in Column C on line H. The total federal obligation is a legal commitment of federal funds. Line H is the sum of lines F and G.

4. Total Unobligated Balance (Line I)

The total unobligated balance is the portion of funds to which there is no legal commitment by the subrecipient. The Total Unobligated Balance (line I) is the difference between the Total Budget (Column B, line F) and the Total Federal Obligations (Column C, line H).

G. Certification

Name, title, and signature of an authorized official of the subrecipient organization certifying the accuracy of the expenditure report will be entered here and dated.

SCSEEP PROGRAM INCOME AND NON-SCSEEP FUNDS EXPENDITURE REGISTER

I. IDENTIFYING INFORMATION		PAGE of		
A. NAME	C. ANNUAL PLAN NO.	E. ANNUAL PLAN PERIOD	F. REPORT PERIOD	
B. PROGRAM OR ACTIVITY SCSEEP	D. MOD. NO.	From: To:	From: To:	
II. ACCRUED EXPENDITURES				
A. OBJECT OF EXPENDITURES	B. PROGRAM INCOME ACCRUED EXPENDITURE	C. NON-SCSEEP FEDERAL ACCRUED EXPENDITURE	D. NON-FEDERAL ACCRUED EXPENDITURE	E. TOTAL NON-SCSEEP ACCRUED EXPENDITURE
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
F. Total Accrued Expenditures	0	0	0	0
G. Prior Year Carry-over Balance	0			
H. Total YTD Receipts	0			
I. Total Funds Realized (Line G+H)	0			
J. Undisbursed Fund Bal (Line I-F)	0			
CERTIFICATION: I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unpaid obligations are for the purposes set forth in the agreement.				
NAME			DATE	
TITLE			SIGNATURE	

DLIR WORKFORCE DEVELOPMENT DIVISION
OLDER AMERICANS ACT (OAA)
SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)
PROGRAM INCOME AND NON-SCSEP FUNDS EXPENDITURE REGISTER

I. Purpose

The Expenditure Register itemizes accrued program income and non-SCSEP (matching) fund expenditures. The personal and non-personal expenditures are listed by allowable SCSEP cost categories for the report period.

II. Facsimile of Form

Refer to the attached blank form.

III. General Instructions

Prepare a separate form for each subrecipient's annual plan or grant agreement that earned the program income and/or incurred non-SCSEP expenses for the benefit of that specific SCSEP program. A supplemental worksheet may be included to summarize information used to complete this form. Where possible, round off all entries to the nearest dollar. This report will be cumulative from the start of the plan period to the end of the report period.

IV. Frequency and Report Due Date

This report shall be submitted when a benefiting SCSEP program incurred reportable program income or has received and expended non-SCSEP funds for the benefit of a SCSEP program. The report is due no later than thirty (30) calendar days after the end of each month to:

Department of Labor and Industrial Relations
Administrative Services Office / WIA Unit
830 Punchbowl Street, Room 309
Honolulu, Hawaii 96813

SCSEP PROGRAM INCOME AND NON-SCSEP FUNDS EXPENDITURE REGISTER

INSTRUCTIONS FOR COMPLETING THE EXPENDITURE REGISTER REPORT FORM

General Instructions -- The reporting of the receipt and disbursement of program income and non-SCSEP funds shall be subject to the SCSEP regulations on allowable activities, cost limitations, and audit requirements.

To implement this reporting requirement, complete a separate Program Income and Non-SCSEP Funds Expenditure Register as an attachment to the corresponding SCSEP Expenditure Register to be submitted monthly.

The following instructions will be applicable for the completion of all Expenditure Register reports:

I. Identifying Information

A. Name

Enter the subrecipient's name.

B. Program or Activity

Specify the "Senior Community Service Employment Program" name for which this Program Income and Non-SCSEP Funds Expenditure Register report is to be submitted.

C. Annual Plan No.

Enter the annual plan number or agreement number assigned by the State Department of Labor and Industrial Relations to the benefiting SCSEP program. If unknown, leave blank. This number will not change for the duration of the grant.

D. Mod. No.

Enter the modification number of the corresponding SCSEP annual plan, if applicable.

E. Annual Plan Period

Enter the month, day, and year of the start and end dates of the SCSEP program annual plan or grant agreement period.

F. Report Period

Enter the month, day, and year of the start and end dates of the report period for which this report is being submitted.

II. Breakout of Accrued Expenditures

A. Object of Expenditures (Column A, Lines 1 to 14)

List expense account titles, names, or objects (i.e. personal cost, program activities, other current expenditures, etc.) that are allowable under the SCSEP program.

B. Total Program Income Accrued Expenditure (Column B)

Enter the total expenditure of program income during the reporting period on the same line as the respective detailed expense in Column A. Enter program income expenditures that met the requirements under Sec. 641.803 of the SCSEP Final Rule (administrative regulations). Program income is any income or profit earned by a subrecipient from SCSEP activities including income generated from the sale of commodities (products) fabricated under the agreement.

The addition method described at 29 CFR 95.24(a) or 29 CFR 97.25(g)(2) as appropriate, must be used for all program income earned under SCSEP.

C. Total Non-SCSEP Federal Accrued Expenditure (Column C)

Enter the total expenditure of other non-SCSEP federal funds during the reporting period on the same line as the respective detailed expense in Column A. The reportable non-SCSEP federal expenditures must be allowable SCSEP costs expended for the same purpose for which the subject grant was awarded.

D. Total Non-Federal Accrued Expenditure (Column D)

Enter the total expenditure of non-federal funds during the reporting period on the same line as the respective detailed expense in Column A. Non-federal expenditures should include amounts incurred as stand-in costs that meet the requirements under Sec. 641.809 of the SCSEP Final Rule (administrative regulations). A subrecipient is not required to provide non-federal resources for the use of the SCSEP project as a condition of entering into a subrecipient or host relationship.

E. Total Non-SCSEP Accrued Expenditures (Column E)

Enter the total non-SCSEP accrued expenditures during the reporting period on the same line as the respective detailed expense in Column A. Column E is the sum of Columns B, C, and D.

F. Total Accrued Expenditures

Enter the totals for Column B, C, D, and E on line F. This represents the accrued expenditure of SCSEP program income, non-SCSEP federal funds, and non-federal funds that benefited the SCSEP program.

G. Prior Year Carry-over Balance

SCSEP subrecipients are to maintain records for the receipt and disbursement of program income, including the reporting of such information on a monthly cumulative basis. Federal reporting of program income requires that receipts and expenditures and the carrying balance of the fund be disclosed in the SCSEP Federal Status Report.

Enter the unexpended balance of the program income account from the prior year on line G.

H. Total YTD Receipts

Enter the total program income revenue generated during the reporting period on line H.

I. Total Funds Realized

Enter the sum of the prior year carry-over balance and the total receipts for the report period on line I. (Line I = lines G + H)

J. Undisbursed Fund Balance

Enter the difference of the Total Funds Realized (line I) and the Total Accrued Expenditures (line F) on line J. This represents the end of year fund balance to carry forward to the next year.

K. Certification

Name, title, and signature of an authorized official of the subrecipient organization certifying the accuracy of the expenditure report will be entered here and dated.

STATE OF HAWAII
DEPARTMENT OF LABOR AND INDUSTRIAL RELATIONS
WORKFORCE DEVELOPMENT DIVISION

INVENTORY LISTING

I. IDENTIFICATION INFORMATION

- A. Subrecipient Name _____
 - B. Program _____
 - C. Plan / Agreement No _____
 - D. Plan / Agreement Period _____
- From: _____
- To: _____

Item Description	Serial or Factory I.D. Number	Date Acquired	Unit Cost	I.D. Tag No.	Purchase / Dispose
Computer, Dell, XX5, personal desktop, with 17" color monitor	Serial #1111111111	10/11/2007	\$1,500.00	L00001	P

CERTIFICATION: I hereby certify that, to the best of my knowledge, all property listed has been purchased or disposed of in accordance with applicable property management guidelines as provided by the State.

Authorized Signature & Title Date

DLIR WORKFORCE DEVELOPMENT DIVISION
OLDER AMERICANS ACT (OAA)
SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)
INVENTORY LISTING REPORT

I. Purpose

The form will be used to submit a listing of nonexpendable personal property acquired or disposed of in the report quarter.

II. Facsimile of Form

Refer to the attached blank form

III. General Instruction

Prepare a separate form for each operational plan or agreement. Another form or format may be substituted if the same information is displayed.

List all non-expendable personal property acquired in whole or in part with financial assistance awarded by the State. Be sure to include all property with a unit cost of \$250.00 or more and with a useful life of one (1) year or more that has been purchased or disposed of in this grant period. Use additional pages as necessary.

IV. Frequency and Report Due Date

This report will be submitted quarterly within thirty (30) calendar days after the end of each report quarter. Once an inventory report is submitted for an operational plan or agreement, subsequent quarterly reports are required only when there is a change to the previously submitted report.

Department of Labor and Industrial Relations
Administrative Services Office / WIA Unit
830 Punchbowl Street, Room 309
Honolulu, HI 96813

INSTRUCTIONS IN COMPLETING THE INVENTORY LISTING OF PROPERTY

I. IDENTIFICATION INFORMATION

A. Subrecipient Name

Enter the name of the subrecipient as shown in the annual plan or grant agreement.

B. Program

Enter the type of program as shown in the annual plan or grant agreement.

C. Plan/Agreement Number

Enter the agreement number as designated by the State in the annual plan or grant agreement.

D. Plan/Agreement Period

Enter the beginning and ending dates of the annual plan or grant agreement.

II. COLUMN HEADINGS

A. Item Description

Enter the complete description of the property, including size, color, and other pertinent description.

B. Serial or Factory I.D. Number

Enter the Manufacturer's Serial Number or Factory Identification Number.

C. Date Acquired

Enter the date of purchase or acquisition.

D. Unit Cost

Enter the purchase cost of each item including taxes, shipping cost, and other related cost in the acquisition of the property.

E. I.D. Tag No.

Enter the number assigned by the subrecipient to identify a specific property from other properties in its custody.

F. Purchased or Disposed Identifier

1. For items purchased this agreement period, place a "P" next to the item.
2. For items disposed of this agreement period, place a "D" next to the item.

III. Certification Statement

To be signed and dated by an authorized signatory that is on file with the State.

DLIR WORKFORCE DEVELOPMENT DIVISION
OLDER AMERICANS ACT (OAA)
SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)
CLOSEOUT PROCEDURES

I. Purpose

CLOSEOUT is the process by which the State requires the final accounting of all funds upon the termination of all activities under an agreement with a subrecipient. The State determines that all applicable administrative actions and all required work under the grant have been completed by the subrecipient at the expiration or termination of the grant, whichever comes first. It also requires the submission of the annual grant reconciliation, the subrecipient's release certification, assignment of refunds, rebates or credits, final property accountability and tax clearance certificate.

II. Facsimile Form

Refer to each blank form in the closeout packet.

III. General Instructions

Prepare a separate closeout packet for each grant agreement. Follow the detailed instructions in completing each form. Some forms are self-explanatory and therefore have no written instructions. Since this is the final report, all entries in dollars and cents should be reported. The packet is made up of nine (9) separate report forms and a submittal form that is self-explanatory. Each report will be accrual based and cumulative from the beginning of the plan period to the end of the report period.

IV. Frequency and Report Due Date

The report is due no later than 60 calendar days after the end of the grant agreement or at the termination of the agreement whichever comes first to:

Department of Labor and Industrial Relations
Administrative Services Office / WIA Unit
830 Punchbowl Street, Room 309
Honolulu, Hawaii 96813

SCSEP CLOSEOUT PROCEDURES

INSTRUCTIONS FOR COMPLETING AND SUBMITTING THE CLOSEOUT PACKET

The State, within 30 days before the expiration of the grant period or the early termination of the grant agreement, whichever comes first, sends to the subrecipient a closeout notification letter. Failure by the State to issue a notification does not preclude the subrecipient's requirement of submitting a timely closeout package.

The subrecipient is required to submit a complete closeout package of nine (9) report forms along with the submittal checklist for the final accounting of all activities under each agreement with the State within 60 days after the termination date of the grant.

1. Cash Reconciliation Statement of Final Accrued Expenditures and Payments (Attach a copy of the subrecipient's final request for cash advance or reimbursement if it is being amended due to this closeout activity.)

This form is provided to subrecipients in order to reconcile the accrued expenditures and cash advances received. Excess cash in the expired grant shall be returned to the State with the closeout package. Accrued liabilities not liquidated at the time of closeout shall be deobligated and become a liability of the subrecipient. Any unexpended funds in the expired grant will be subject to deobligation by the State.

2. Subrecipient's Release Form

The Subrecipient's Release Form shall be signed by a corporate officer (in the case of private agencies) or by the chief elected official or their designee for government agencies. Include with the release form a list of unclaimed wages or outstanding checks that may be subject to the State assuming disposition responsibility in accordance with the State of Hawaii Uniform Unclaimed Property Act (HRS Sec. 523A).

3. Subrecipient's Assignment of Refunds, Rebates, and Credits

Outstanding refunds, rebates, and credits after the expiration of the grant agreement should be collected and turned over to the State. Refunds include:

- a. Workers' Compensation and other insurance overpayment.
- b. Unliquidated advance payments.
- c. Interest earned or owed on SCSEP and State funds.
- d. Program income not deducted from accrued expenditures.
- e. Any other unexpended sums.

4. Final Inventory Certification

The subrecipient will certify to the accuracy of the inventory listing that is submitted with this certification. The Inventory Listing Report should be either the most current inventory listing submitted to the State or an amended "final" listing. Reference Inventory Listing Report in Appendix A.

a. For Grants with Government Property

If property was purchased with grant funds with a unit cost of \$250.00 or more and/or furnished by the Federal or State government under the terms of the grant agreement, the subrecipient shall:

- (1) Take a physical inventory and submit an inventory listing with this certification.
- (2) Report discrepancies between inventory records and the physical count.

b. For Grants with No Government Property

If there was no acquisition of nonexpendable personal property through purchase with the use of grant funds or furnished through transfer from other projects, the subrecipient shall likewise certify to this effect.

5. Special Bank Statement of Financial Account

Subrecipients with a special bank account established solely for the grant in accordance with the grant agreement shall close the account or provide an explanation as to why the account cannot be closed. A copy of the bank statement or passbook reflecting a zero balance shall be submitted with the closeout packet.

6. Annual Grant Reconciliation Settlement Worksheet and Summary

This report form, when completed, reconciles the total uncommitted balance of funds to be deobligated by the State. This form also addresses fiscal-related information as to unpaid liabilities, litigation or disputes, property management, discrepancies, and audits. A copy of the final Expenditure Register Report should be submitted with this summary worksheet.

7. Subrecipient's Closeout Tax Certificate

The subrecipient certifies that all requirements for the collection, deposit, payment and reporting of federal, state, and local taxes have been complied with as required by law. A tax clearance issued by the State of Hawaii Department of Taxation for the payment of general excise taxes and the remittance of state income taxes withheld from employees and participants shall also be submitted (when applicable).

8. Representation Letter

The representation letter is to be signed by an authorized official of the subrecipient with overall responsibility for the operation of the agency.

9. Balance Sheet

This report is to be submitted to show the financial condition of the agency with respect to the specific grant that is under consideration for closeout.

ASSURANCES AND CERTIFICATIONS

The Department of Labor and Industrial Relations will not award an Agreement where the PROVIDER has failed to accept the ASSURANCES AND CERTIFICATIONS contained in this section. In performing its responsibilities under this Agreement, the PROVIDER hereby certifies and assures that it will fully comply with the following regulations:

- 29 CFR Part 97 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments);
- 29 CFR Part 95 (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations) supersedes 41 CFR 29-70 (Administrative Requirements);
- 29 CFR Parts 96 and 99 (Single Audit Requirements);
- 29 CFR Part 98 (Debarment and Suspension, Drug Free Workplace);
- 29 CFR Part 93 (Lobbying Certification);
- 29 CFR Parts 33 and 34 (Nondiscrimination and Equal Opportunity);
- 29 CFR Part 37 (Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998);
- OMB Circular A-87 (Cost Principles for State and Local Governments);
- OMB Circular A-122 (Cost Principles for Non-Profit Organizations);
- Public Law 109-234, Salary and Bonus Limitations;
- Public Law 107-288, Jobs for Veterans Act;
- Public Law 109-365, Older Americans Act Amendments of 2006, Title V, Older American Community Service Employment Program; and
- 20 CFR Part 641 (Senior Community Service Employment Program, Final Rule)
- Public Law 109-282, Federal Funding Accountability and Transparency Act of 2006 as amended.
- SF 424B (Assurances for Non-Construction Programs)

By signing the face sheet of this contract or agreement, the PROVIDER is providing the certifications set forth below:

Assurances - Non-Construction Programs

Debarment and Suspension Certification
Certification Regarding Lobbying
Drug Free Workplace Certification
Certification of Non-Delinquency

- A. **ASSURANCES – NON-CONSTRUCTION PROGRAMS.** NOTE: Certain of these Assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for federal funds and the institutional managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding federal agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L.88-352) which prohibits discrimination on the basis of race, color or

national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686) which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616) as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd.3 and 290 ee.3) as amended, relating confidentiality of alcohol and drug abuse patient records; (h) Title VII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.) as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Title II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91.646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276 a 7), the Copeland Act (40 U.S.C. 276 and 18 U.S.C. 874, and the Contract Work Hours and Safety Standards Act (40.327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with Flood Insurance Purchase Requirements of Section 102(A) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and

Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470) EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a.1 et seq).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held in research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C.4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations".

B. **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS – PRIMARY COVERED TRANSACTIONS.** The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
2. Have not within a three-year period preceding this proposal been convicted or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or Local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
3. Are not presently indicted or otherwise criminally or civilly charged by a government entity (Federal, State, or Local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and;
4. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, Local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

C. **CERTIFICATION REGARDING LOBBYING – Certification for Contracts, Grants, Loans, and Cooperative Agreements.** By accepting this grant, the signee hereby certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of Congress, or any employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure Form to Report Lobbying”, in accordance with its instructions.

3. The signer shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements), and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of facts upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

D. **DRUG FREE WORKPLACE.** By signing this application, the grantee certifies that it will provide a drug free workplace by implementing the provisions at 29 CFR 98.630, Appendix C, pertaining to the Drug Free Workplace. In accordance with these provisions please provide in the space below, a list of places where performance of work done in connection with this specific grant will take place. This information must be included with this signed document or maintained at your office and available for Federal Inspection.

E. **CERTIFICATION OF NON-DELINQUENCY:**

Please check the appropriate statement.

_____ Not Delinquent on any Federal Debt

_____ Delinquent on any Federal Debt

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB

0348-0046

(See reverse for public burden disclosure.)

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Congressional District, if known: _____	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Congressional District, if known: _____	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Registrant <i>(If individual, last name, first name, MI):</i>	b. Individuals Performing Services (including address if different from No. 10a) <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the USG above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-L.L.I., DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

REFERENCES

This project is authorized under Title V of the Older Americans Act Amendments of 2006 (Public Law 109-365, October 17, 2006) and shall be operated following its statutes and the Senior Community Service Employment Program, Final Rules (20 CFR Part 641) which were published on September 1, 2010.

Links to both the statutes and rules can be accessed through the U.S. Department of Labor's website at http://www.doleta.gov/Seniors/html_docs/regs.cfm

The respondent shall be responsible to review both the Older Americans Act Amendments of 2006 and its final rules and ensure that its proposed services are compliant with both the statutes and rules.

Although the site also provides linkages to the Jobs for Veterans Act, Workforce Investment Act, Americans with Disabilities Act (ADA), Age Discrimination Act, and the Age Discrimination in Employment Act; please note that some of these Acts may have subsequently been amended or revised such as the ADA which has been amended with the ADA Amendments Act of 2008 (ADAAA). The Department of Labor and Industrial Relations is not responsible for update the U.S. Department of Labor's website.