# Accountability Framework for the Use of Community Partners - EDS in the Delivery of Employment and Training Programs and Services

Department of Advanced Education and Skills
Government of Newfoundland and Labrador

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# 1.0 Introduction

## 1.1 Purpose of the Accountability Framework

This document presents the revised Accountability Framework for Community Partnerships - EDS of the Department of Advanced Education and Skills. It outlines the strategy for measuring and reporting on the expected program results.

The purpose of the document is to provide a framework to measure and report on the results of the programs and services delivered by community agencies. This document provides a program profile, as well as a results-based logic model, a performance measurement strategy, an evaluation strategy, and a reporting strategy for the program.

# 2.0 Program Profile

## 2.1 Origin - Rationale of Employment and Training Programs and Services

The Government of Newfoundland and Labrador seeks to ensure that residents of the Province have full access to employment and training services which enable them to seek, obtain and keep employment. Primary responsibility for this rests with the Department of Advanced Education and Skills.

The Government of Newfoundland and Labrador partners with the Government of Canada to provide employment and training programs and services to individuals eligible under the Employment Insurance Act through the Canada- Newfoundland and Labrador Labour Market Development Agreement. Advanced Education and Skills is the lead department for this Agreement.

Advanced Education and Skills also is responsible for providing employment and training programs and services to other unemployed residents of the Province. These programs and services are provided directly by Advanced Education and Skills field staff across the province and also in partnership with community agencies. It is the employment and training services provided by community agencies on behalf of Advanced Education and Skills that are the subject of this framework.

Through the Community Partnerships (CP) program, Advanced Education and Skills partners with community agencies for the delivery of a variety of employment and training programs and services. CP funding helps agencies deliver employment and training counseling and other interventions to clients. The individuals who receive the services provided under Community Partnerships are income support clients or people who are at risk of receiving income support, and who are not EI- eligible. Special target groups within that population include youth, women and persons with disabilities. Many of these individuals face multiple challenges in terms of effective and successful participation in the labour market. The services provided by Community Agencies are comprehensive in nature, in view of these multiple challenges, and relationships with clients may be long term.

## 2.2 Increased Focus on Accountability of Third Party Agencies

On December 15, 2006 the Newfoundland and Labrador *Transparency and Accountability Act* was proclaimed. The Act aims to enhance the transparency and accountability of the Government and government entities to the people of the Province. The Act emphasizes the need for government entities (e.g. departments) to develop strategic plans that contain clearly defined goals and performance measures. Ministers are accountable for reporting annually on results achieved, and will need to explain any variance between projected results (in the strategic plan) and actual results.

For departments that rely on third parties to deliver programs and fulfill their mandate, the challenge is to ensure that funding recipients are accountable for defining and achieving clear and measurable results, and that those results are tied to the results and outcomes that the department itself has committed to achieve.

The growing focus on accountability for activities and results, and the ensuing impact on the relationship between governments and the third party agencies they fund, is true not only in Newfoundland and Labrador but also elsewhere in the country. The culture of financial and results-based management and accountability has grown since the 1990's at the federal level. Other provinces and territories have also felt compelled in recent years to establish accountability frameworks for third party agencies with which they partner to carry out their mandate. Examples of such frameworks include: the Government of Ontario's "Governance and Accountability: Framework for Transfer Payments to Community Agencies" (2003); the Government of the Northwest Territories' "Excellence through Partnership: Third Party Agencies Accountability Framework" (c. 2005); the Government of Alberta's "Accountability Framework Agreements" for Training Providers (April 2006).

## 2.3 Objectives

The immediate objective of the Community Partnerships – EDS Program is:

- Enhanced client employability; and
- Enhanced personal independence

The intermediate outcomes sought through Community Partnerships include:

- Increased employment of clients; and
- Clients' participation in skills development/training

The ultimate outcome of Community Partnerships is:

- Decreased Income Support Use;
- Increased Labour Market Participation; and
- Increased Self-Reliance for Clients.

## 2.4 Delivery and Governance Structure

**Roles**

Community Partnerships is a province-wide program that is delivered in collaboration between the Provincial, Regional and Local Offices of Advanced Education and Skills and Community Agencies.

Advanced Education and Skills Provincial Office is responsible for:

- Policy development and overall program direction/priority setting;
- Ensuring projects funded are consistent with government's policy;
- Monitoring client outcomes and;
- Evaluation of Community Partnerships; and

Advanced Education and Skills Regional and Local Offices are responsible for:

- Assessment and scoring of proposals and making recommendations on funding;
- Monitoring progress in relation to project outputs; and
- Financial monitoring

Community Agencies are responsible for:

- Designing and delivering programs and services that respond to identified labour market needs and the Advanced Education and Skills mandate;
- Submitting proposals in line with the Accountability Framework and proposal guidelines; and
- Submitting activity and financial reports as scheduled

**Eligibility**

To be eligible for funding:

- Community Agencies are required to be incorporated;
- Programs/services offered by the agency should demonstrate the following criteria:
    - Compatibility with the goals and objectives of the Department of Advanced Education and Skills;
    - Responsiveness to client needs and gaps in current services;
    - Programs/services best delivered by a community agency;
    - Links to other employment and career services;
    - Employment and career competencies;
    - Success in achieving outcomes related to preparing, obtaining and maintaining employment; and
    - Cost-effectiveness

## Proposal Process

A request for application submissions will be provided to continuing agencies annually; community agencies may also submit unsolicited proposals at any time.

Agencies must submit proposals for projects to the Advanced Education and Skills Regional Office where the headquarters of the agency is located. Agencies must submit an electronic copy of each proposal.

A Regional Review Committee will review and make a recommendation on each proposal. In the case of pan-provincial proposals, all applicable regions will participate in the review, with the lead being taken by the Regional Office where the headquarters of the agency is located.

The Provincial office will review all proposals and recommendations for funding to ensure consistency with program policy and funding availability, and submit recommendations to the Assistant Deputy Minister for approval.

## Assessment

Proposals must demonstrate the following assessment requirements and will be utilized by the Regional Assessment Committee for proposal recommendation to the Department.

- Identified need, service gap and demand
- Experience/expertise in the delivery of programs
- Proposed Activities demonstrate innovative approaches
- Relationship of proposed activities to logic model and to the department's mandate
- Reporting and Monitoring is clearly outlined
- Measurable goals and objectives, with demonstrated outcomes from previously funded programs

Requirements under each factor have been identified and will serve as a guide in scoring the factors. Weight scores define the relative value of the particular key factor and the total weight scores will add up to 100%.

## Agreement Management and Monitoring

Advanced Education and Skills Regional Offices are responsible for all aspects of funding agreement management and monitoring, including finalizing funding agreements, reviewing and approving activity and financial reports from Community Agencies and monitoring progress and results.

## 2.5 Resources

### 2.5.1 Community Partnerships

The annual budget for Community Partnerships for 2013-14 was approximately $4.8M. The budget for 2014-15 is subject to final approval.

## 2.6 Target Population/Beneficiaries

Community Partnerships – EDS funding is directed towards incorporated community agencies to enable them to assist clients of Advanced Education and Skills to prepare for, attain and/or maintain employment.

Individuals eligible to receive services under the CP Program are income support recipients or people who are at risk of receiving income support, and who are non EI-eligible. Special target groups within this population include youth, women and persons with disabilities. Many of these individuals face multiple challenges in terms of effective and successful participation in the labour market.

## 3.0 Logic Model

The logic model is shown in **Exhibit 3.1**. It depicts the linkages among the main Activities, Key Outputs and Outcomes (Immediate, Intermediate and Ultimate) of Community Partnerships.

The logic model can be summarized through its:

- **Activities**, “what Community Partnerships does” in terms of the most important work-tasks;
- **Outputs**, “what Community Partnerships produces” arising from these Activities; and,
- **Outcomes**, “why Community Partnerships is doing” the Activities and producing these Outputs to address the key question: what difference does the program make?

The Outcomes are the key focus of the logic model, as they effectively show the "bottom-

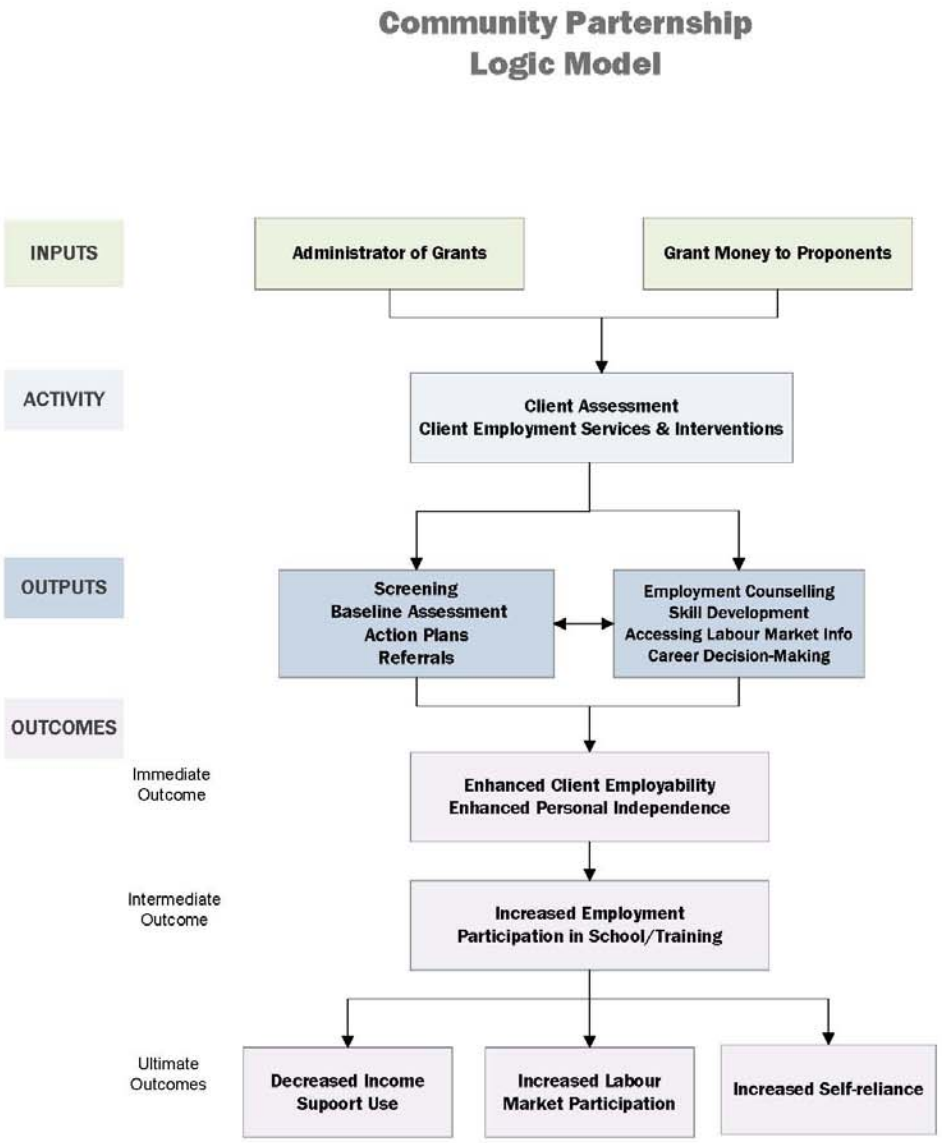
line" or intended results of Community Partnerships, thereby demonstrating accountability to the public on the difference that Community Partnerships makes. The Accountability Framework will focus on certain key outcomes in order to develop and implement a useful and practical performance measurement system that will track and monitor performance and provide an ongoing indication of Community Partnership's potential to meet its objectives. The monitoring and performance information is also one source of data that will be used in the project and program (summative) evaluations that will be conducted to measure program impacts. The initial set of indicators can be extended over time to other useful indicators as warranted by program management.

In the development of the logic model, adjectives such as 'enhanced' and 'increased' are used in front of the various Outcomes, where feasible. This allows for a positive bias and dynamic for performance measurement and reporting that is focused on ways to improve the program results over time.

## Exhibit 3.1 – Community Partnerships Logic Model

Please see next page

**Exhibit 3.1 Community Partnership Logic Model**



## 3.1 Activities

The Community Partnerships logic model identifies the following activities as requirements for funding:

**Client Assessment**

The Employment Readiness Scale (ERS) has been identified as the required assessment tool for community agencies to assess the needs of clients and includes the following:

- Identification of barriers;
- Screening to ensure clients meet basic requirements for further consideration;
- Determining which service(s)/program(s) will be most suitable for clients;
- Identifying clients who would benefit from referral to other agencies or government programs;
- Establishing a baseline of employment readiness, which includes the identification of labour market barriers;
- Commencing the development of an action plan which identifies activities and actions clients will undertake to achieve their employment-related goals. In the case of clients referred by Advanced Education and Skills or another agency, this activity may consist of reviewing and validating an existing action plan; and
- Conducting a post-ERS assessment at program completion

Alternate assessment tools may be considered but will require approval from the Department of Advanced Education and Skills prior to implementation along with a rationale for the alternate tool.

**Employment Services & Interventions**

Community agencies provide a variety of employment services and interventions to assist clients in their desire to effectively participate in the labour market. These may include some or all of the following, tailored to the needs of individual clients:

**Services:**

- Employment counselling
- Accessing and using labour market information
- Career decision making
- Job search skills development
- Job maintenance skills development
- Resume / portfolio preparation
- Employment maintenance skills development
- Personal/social counselling
- Life skills development
- Other services specific to the agency/target client group

**Interventions:**

- Pre-employment workshops/training
- Work experience
- Self-employment
- Academic upgrading
- Essential skills development
- Occupational skills development
- English as a Second Language training

Services are usually provided on a one-on-one basis tailored to the needs of individual clients. Some services may be provided in a group setting (e.g. short workshops on resume preparation, sessions on life skills). Employment services may include development of an action plan or periodic review and updating of the plans developed during the initial assessment.

Some agencies provide Employment Services and Interventions through a structured program developed to meet the needs of clients with defined characteristics. These programs are typically offered in a group setting and are offered on a scheduled basis for a pre-determined period of time. The group work is often complemented by one-one-one services and interventions.

## 3.2 Outputs

**Client Assessment**

- The activity of Client Assessment provides outputs in screening, baseline assessment, action plans and referrals as well as the provision of Employment Services and Interventions.
- This represents the opportunities the Community Agency provides to help individual clients improve their readiness for employment. These services and opportunities should link to employment barriers and proposed actions outlined in the client's action plan. Skills enhancement is broadly defined and includes life skills, job-seeking skills as well as academic learning and workplace-related skills.

**Employment Services and Interventions**

- The activity of Employment Services and Interventions provides outputs in skills enhancement and development, tailored employment services, accessing labour market information, career decision-making, and work experience opportunities.

- Employment Services and Interventions may be designed to help clients prepare for participation in programs and interventions offered by Advanced Education and Skills or by other Agencies**.** Such referrals at the conclusion of the services and

interventions are a second output. Referral may be for continuation/renewal of previous services, in the case where the client had been provided with tailored assistance that complements that of Advanced Education and Skills or the referring Agency. The referral may also be for new connections with programming or services for which the client is now ready (e.g. ABE, training, wage subsidy programs).

## 3.3 Outcomes

## 3.3.1 Immediate Outcomes

As a consequence of the outputs, the immediate outcomes are:

- Enhanced client employability; and
- Enhanced personal independence.

**Enhanced client employability**

- Progress or change may occur in many ways including (but not limited to) improved work skills, better awareness of labour market opportunities, improved job search skills, improved personal/life skills and support networks, having skills for the work desired.
- Advanced Education and Skills requires the use of the Employment Readiness Scale (ERS) to assist in measuring individual progress and where applicable requires all Community Agencies funded under Community Partnerships EDS to administer pre and post testing with participants.

**Enhanced personal independence**

- As a result of the activities undertaken by agencies and the outputs they produce, it is expected that clients will be more ready for employment, i.e. they will be able, with little or no outside help, to find, acquire, and keep an appropriate job as well as to be able to manage transitions to new jobs as needed.

## 3.3.2 Intermediate Outcomes

As a consequence of enhanced client employability and independence two intermediate outcomes are sought:

**Increased Employment of Clients**

- the purpose of working with clients to enhance their employability is to increase the chances they will be successful in obtaining work in the labour market

**Clients Participation in Skills Development/Training**

- Many of the clients served under Community Partnerships have limited formal education and this constitutes a significant barrier. 'Clients who participate in skills development/training' is an important intermediate outcome for Community Partnerships.

## 3.3.3 Ultimate Outcomes

The ultimate outcome of Community Partnerships includes the following:

**Decreased Income Support Use:**

- Income Support recipients are targeted as the participants of the program and it is anticipated that successful completion would ultimately lead to the individual no longer being in receipt of benefits or that their reliance on Income Support has decreased.

**Increased Labour Market Participation:**

- Through participation in the programs and services offered the individual would ultimately increase their skills and abilities to obtain an increased attachment to the labour market. It is anticipated that there would be an increase to the individuals earned income.

**Increased Self-Reliance for Clients:**

Client's increased self-reliance upon completion of programming or receipt of services would be demonstrated by the following:

- results of pre and post testing results from the Employment Readiness Scale;
- their ability to seek, obtain and maintain employment and;
- their increase in earnings and number of hours worked.

# 4.0 Ongoing Performance Measurement Strategy

## 4.1 Identification of Performance Indicators

The key underlying process in the identification of performance indicators is the existence of a clear, comprehensive and concise logic model.

Using the logic model, it is possible to identify the key pieces of information that need to be collected (i.e., the performance indicators) in order to determine the progress of the policy, program, or initiative toward the achievement of its final outputs and outcomes.

In preparing this preliminary set of performance indicators, we have used the following rules:

- The performance indicator must link back to the logic model;
- The performance indicators should be operationalized as much as possible;
- The proposed performance indicators are linked, to the extent possible, to the two tools which Advanced Education and Skills proposes to utilize across Community Partnerships – Accountability and Resource Management System and the Employment Readiness Scale.

Performance indicators have been developed for each component of the logic model as set out in section 4.2 and Annex A.

## 4.2 Performance Measurement Strategy

**Exhibit 4.2** provides an overview of the key results and elements (Outputs, Outcomes: Immediate, Intermediate, Ultimate) of the ongoing performance measurement strategy. This strategy includes:

- Performance indicators;
- Baseline Data;
- Data source and Collection method; and
- Timing/frequency of measurement

**Exhibit 4.2 – Performance Measurement Strategy**

| | EXPECTED OUTCOMES | INDICATORS | BASELINE DATA | DATA SOURCES/ COLLECTION METHOD | TIMING |
|---|---|---|---|---|---|
| Immediate Outcomes | Enhanced Client Employability<br><br>Enhanced Personal Independence | • Number of clients assessed<br>• Number of clients enrolled<br>• Number of action plans opened and completed<br>• Number of clients' self-assessments completed<br>• Number of clients referred AES and to other agencies<br>• Number of clients engaged in counseling intervention<br>• Number of clients received employment intervention (by type)<br>• Number of clients received group services<br>• Number of clients in job search | Program data<br>ERS<br>ETA | • Arms program data<br>• ERS pre/post<br>• Arms data re: action plans<br>• Percentage clients completed program<br>• Percentage clients closed action plans<br>• Client exit interview<br>• ERS pre/post<br>• JobNL activity | Quarterly<br><br>Program completion |
| Intermediate Outcomes | Increased Employment | • Number of action plans closed to employment<br>• Number of clients working (or increase work hours) | Program data | • Arms program data<br>• Client exit survey<br>• Follow up survey | On going<br>On completion<br>3 and 12 months |
| | Participation in Skills Development/Training | • Number of clients enrolled in skills development/training | Program data | • Arms program data<br>• Client exit survey<br>• Follow up survey | On going<br>On completion<br>3 and 12 months |
| Ultimate Outcomes | Decreased Income Support Use | • Decreased use of income support by client | Program data<br><br>IS stats | • ARMS program data<br>• IS stats | On completion<br>3 and 12 months |
| | Increased Labour Market Participation | • Client attachment to labour market<br>• Increased client income | Program criteria info re: LMA info | • Arms program data<br>• Client exit survey<br>• Follow up survey | On going<br>On completion<br>3 and 12 months |
| | Increased Self-Reliance | • Change in clients readiness (ERS) rating<br>• Change in client status (available for work)<br>• Increased earnings or number of hours worked | ERS (Pre) | • ERS Post<br>• Program data<br>• Client exit survey<br>• Follow up survey | On completion<br>3 and 12 months |

## 4.3 System Requirements / Protocols

System requirements/protocols set out to meet accountability requirements must be designed to ensure:

- Accountability data generated contains the necessary data fields required for reporting purposes;
- Data is timely, accurate, and complete; and
- Data is provided in an electronic format consistent across all funded agencies.

Consistency across funding agencies does not necessitate use of a common computer system; however use of the ARMS system is preferred. It is important that the upload of accountability data to Advanced Education and Skills be consistent and the definitions of data in these uploads be common across agencies.

Basically, each data upload must contain information on:

- **Clients** – Information identifying the client and client characteristics.

- **Interventions** – Information identifying what type of program or service each client participated in and when (start and end dates), how that program/service was funded, whether or not the program/service was successfully completed, and which agency provided the program/service.

- **Outcomes** – As outcomes can often be the result of a combination of interventions, interventions need to be logically grouped together in casefiles (or action plans) and outcomes (employed, skills development/training, etc.) recorded at the end of each casefile. A casefile can have one or many interventions to achieve an outcome. There would also be an indication as to whether the casefile/action plan was completed or not.

Using this approach, regular uploads of data on a monthly or quarterly basis will, over time provide the Department with longitudinal data on client participation in programs and services offered by funded agencies. This will facilitate reporting on activities and outcomes on a regular basis without placing an undue reporting burden on either Advanced Education and Skills or the agencies funded to deliver programs and services.

Experience has shown that ongoing training and monitoring is required to ensure data consistency across (and even within) agencies. Common definitions and

documentation processes are necessary as is regular monitoring of the uploaded data.

## 5.0 Financial Reporting

Agencies funded through the Community Partnerships program are expected to abide by financial reporting and monitoring requirements that will be stipulated in Advanced Education and Skills' *Financial Requirements Guide for Community Agencies.*

# Accountability Framework for Community Partners - EDS

## Delivery of Employment and Training Programs and Services

***Supporting Documents***

Department of Advanced Education and Skills

Government of Newfoundland and Labrador

Newfoundland Labrador

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# Document 1

Advanced Education and Skills

## Guidelines for Funding Proposals from Community Agencies – Community Partnerships Program

# 1.0 Introduction

This document sets out the guidelines for proposals being submitted for funding of projects under the Community Partnerships – EDS Program of Advanced Education and Skills (Advanced Education and Skills). The following sections set out the eligibility criteria for Community Agencies, the process for submission of proposals, the topics to be covered and the details to be provided for each topic in the proposals.

## *1.1 Eligibility*

To be eligible for funding:

- Community Agencies are required to be incorporated and hold directors' liability insurance.

- Programs/services offered by the agency should demonstrate the following criteria:
  - Compatibility with the goals and objectives of the Department of Advanced Education and Skills;
  - Responsiveness to client needs and gaps in current services;
  - Programs/services best delivered by a community agency;
  - Links to other employment and career services;
  - Employment and career competencies;
  - Success in achieving outcomes related to preparing, obtaining and maintaining employment; and
  - Cost-effectiveness

- Eligibility for program funding is in accordance with approved budget funds.

## *1.2 Proposal submissions*

Agencies must submit proposals for projects to the Advanced Education and Skills Regional Office where the headquarters of the agency is located. Agencies must submit an electronic copy of their proposal.

## 2.0 Proposal Outline

### Title Page

Title of project

*Submitted to:* Advanced Education and Skills office and address

*Submitted by:* Name, address, telephone and email address of organization

*Contact person for information:* Name, title, telephone number and email address of person in organization Advanced Education and Skills to contact for further information

Date of proposal

### Executive Summary

A short summary of the project that includes the following:

- Location(s);
- Services and programs offered. If this is a proposal for renewal of funding, include highlights of any changes planned from previous contract;
- Number of new and continuing clients;
- Duration of project; and
- Total funding requested

## Proposal Description

### *Objectives*

Provide a general statement of the outcomes you are hoping to achieve for clients through this project in terms of enhanced employability and/or employment.

### *Rationale*

Describe the evidence of the need for the project and the appropriateness of the design. This may include any or all of the following or other related information:

- any research or consultation done specifically for this project;
- broader research (national, provincial or local) that helps explain why this project is needed and how the project reflects the knowledge on effective program design,
- the findings from previous assessments or evaluations of this project,
- any identified gaps in current services that the project will fill;
- labour market information you have gathered,
- a profile of the demographics and needs of clients to be served, including the dimensions of employability for which they face barriers and any changes observed over time.

If the project involves working with employers or sectors to meet their needs, also include any evidence of needs from a labour market *demand* perspective.

Also state how the objectives of the project relate to the intent of the Community Partnerships Program and the mandate, vision and mission of the department and the services of the Career, Employment and Youth Services core business. These are summarized in Annex A.

***Activities***

**Total number of clients to be served**

Anticipated number of clients in the period covered by the proposal by:

- New clients
- Continuing clients

A client is an individual who is recruited or referred to the project, who goes through an intake/assessment process, is served in some way by the project, and has information gathered about him/her and the program/services provided.

**Client assessment**

Describe the expected sources of clients and any recruitment or marketing activities planned

Describe the assessment process, which must include the Employment Readiness Scale. Alternate assessment tools may be considered but will require approval from the Department of Advanced Education and Skills.

**Services and Programs**

These are typically provided either through one-on-one services or group programs/sessions or some combination. Describe concisely and clearly the activities you plan to conduct.

If this is a proposal for a renewal of funding, indicate any changes/enhancements planned and the reasons for these.

**Programs**

Programs are defined as structured activities and interventions delivered in a group setting.

Describe any programs, including the purpose, activities/topics, location(s), schedule (duration, number of days per week, number of hours per day, number of sessions in total during the funding period, number of participants per session). Describe any financial benefits to be provided to individual participants (e.g. honorarium, wage subsidy) that are to be funded through Community Partnerships or other sources (name sources).

Indicate the number of clients you expect to enroll in each program.

Indicate how many enrolled participants you expect will complete the program, and how many you expect will not complete the program.

**Employment Services**

Employment services are defined as activities or interventions that are usually provided on a one-on-one basis with clients.

Describe the employment services to be delivered and the client needs to be met through the various interventions offered.

Indicate the number of clients you expect will receive each service.

**Referrals**

Indicate how many clients you expect to refer to Advanced Education and Skills once they have completed the program and/or you have finished serving them. Indicate the kinds of services/programs you expect them to receive from Advanced Education and Skills (e.g. wage subsidy program, academic upgrading).

Indicate how many clients you expect to refer to other community agencies or other government departments as an interim part of your program/service and/or once they have completed the program/service and/or you have finished serving them. Indicate the kinds of services/programs you expect them to receive from these agencies.

***Outcomes***

Outcomes are the consequence of the services provided - what these are expected to achieve (essentially why you are providing the program or service). Outcomes also may describe the change that happens for individual clients as a result of interventions (e.g. increased employment of clients, improvements in various dimensions of employability, skills development/training, and reduced income support). Indicate the anticipated level of results for each outcome, as outlined within the Logic Model.

***Performance Monitoring***

- **Agencies expecting a continuous inflow of clients:**

  In order to assist the agency and Advanced Education and Skills in monitoring progress towards the ultimate targets, specify your overall target for each of the *applicable* services/interventions listed in the table below, and break down your activity/output targets into **quarterly targets** – e.g.

| *Total # of clients to be served under the Agreement = 100 clients* | | | |
|---|---|---|---|
| *1st Qtr* | *2nd Qtr* | *3rd Qtr* | *4th Qtr* |
| *25 clients* | *50 clients* | *12 clients* | *13 clients* |

| **Targets (i.e. expected level of activity)** | **1st QTR** | **2nd QTR** | **3rd QTR** | **4th QTR** | **Total under Agreement** |
|---|---|---|---|---|---|
| # of Clients to be **served** | | | | | |
| Initial client **assessments** to be conducted | | | | | |
| # of Clients who will enroll in an **employment (work experience) intervention*** | | | | | |
| # of clients who will enroll in a **training (school) intervention*** | | | | | |
| # of clients who will receive **employment services (counseling and other employment services)*** | | | | | |
| # of clients who will participate in **group sessions** | | | | | |
| # of clients to be **referred to Advanced Education and Skills (at the conclusion of programs and services)** | | | | | |
| # of clients to be **referred to other agencies/ governments** | | | | | |
| # of case files/action plans to be **completed** | | | | | |
| # of case files/action plans to be closed to **Employed** (unsubsidized employment) | | | | | |
| # of case files/action plans to be closed to **'Returned to School'** | | | | | |

* May be a structured program delivered by the Agency

**All Agencies:**

Describe the methods you will use to track, monitor and report on your **activities** with clients as well as client **outcomes**, using the ARMS database system, if applicable for your program.

***Additional Activity & Results Reporting Requirements***

- **Agencies delivering structured programs**

  In addition to reporting on the number of clients who enroll in, discontinue and complete their program, these agencies will also be required to submit a quarterly narrative report that provides details on:

  - the reasons for individuals discontinuing the program (when applicable);
  - attendance levels, and any issues related to attendance; and
  - any changes to program design or delivery process from that set out in the proposal.

- **Agencies delivering services and interventions outside of a structured program**

  In addition to reporting on the activities and results listed in the table above, agencies delivering services and interventions outside of a structured program will be expected to submit a narrative report that will provide:

  - details on the types (e.g. employment group services, workshops) and topics (e.g. resume-writing; counseling, LMI) of group sessions that were conducted;
  - explanation for any significant discrepancies between the activity and results targets set out in the project proposal/agreement, and the actual levels of activity and results achieved for the quarter; and
  - explanation for any changes to the service delivery process from that set out in the proposal.

## Profile of organization

### *Organization structure*

Briefly describe the following information on your organization:

- Mandate;
- Structure of the Board of Directors and names of current directors;
- Organization Structure (overall organization);
- Project organization structure (if this is a unit within the overall organization).

Include with the proposal a copy of:

- Minutes from most recent AGM;
- Audited Financial Statements;
- Articles of Incorporation/Association;
- By-laws;
- Directors' Liability Insurance and Minutes from most recent AGM

### *Expertise*

Provide a profile of the staff who will deliver the programs and services, including their credentials and experience.

Describe previous related projects funded by Advanced Education and Skills or other sources.

## Financial proposal:

Provide information on how your agency intends to comply with the financial reporting and monitoring requirements set out in Advanced Education and Skills' Financial Requirements Guide for Community Agencies (2007 20 15)(Appendix B), including, where applicable, costs for an audited financial statement.

Include details on any other funding sources (organizations, funding requested) that are being sought or have been confirmed.

# Annex A

## Department of Advanced Education and Skills Mandate

The mandate of the Department of Advanced Education and Skills is to support human resource development through providing:

- Income and employment supports;
- Youth supports;
- Emergency social services; and
- Policy and information services for labour market development and immigration.

## Vision

Growth through employment, strength in diversity, dignity by inclusion.

## Mission

By 2017, the Department of Advanced Education and Skills will have improved the quality and the delivery of supports and services.

## Core Business Line: Career, Employment and Youth Services

The department provides career, employment and youth services to individuals and groups that meet designated criteria. More specifically, the department provides:

- Assistance to acquire the necessary skills and experience to prepare for, find and keep employment, including self-employment;
- Career counseling services;
- Financial assistance to employers offering on-the-job training and experience;
- Grants to community agencies offering employment services;
- Additional supports to persons with disabilities to prepare, find and keep employment, including self-employment, and accommodation of their unique circumstances;

- *Youth employment initiatives, including tuition vouchers and wage subsidies;*

- *Support for youth leadership, including awards programs, grants to organizations and the provincial Youth Advisory Council.*

***Community Partnership Program***

*The intent of the Community Partnerships Program is to assist the Department of Advanced Education and Skills to fulfill its mandate, goals and objectives to help clients prepare for, attain, and/or maintain employment through establishment of community partnerships (Income and Employment Support Policy and* Procedural Manual).

# Annex B

**DEPARTMENT OF Advanced Education and Skills PROVINCE OF NEWFOUNDLAND AND LABRADOR**

**Financial Requirements Guide for Community Agencies**

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**Content**

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**Budget Position Statement**

Financial Responsibilities of Organization Being Funded

**Financial**

**Reporting/Monitoring:**

Project proposal should include all funding sources and all expenditures relating to the total project. The project budget must be submitted on the prescribed forms for the Government fiscal year by the last Friday in October of the year prior. Organizations should be aware that funding might not be approved in the amount requested in their submission. If the amount of funding approved is different from the funding requested, the organization will be required to submit a revised budget statement based on amount approved.

Full reporting on prescribed forms (Appendix A–Budget Position Statement) must be submitted to the Department by the 30th day of the month following the end of each quarter. The assurance that regular payments will be made may be dependent upon the receipt of timely and accurate financial information. As per Section 3.4 of the contract:

(a) The Service Provider shall keep proper accounts and records, including contracts, invoices, receipts, vouchers, bank statements and cheques of all financial transactions, and its records shall be open to inspection and audit by the Minister or the Minister's designate; or

(b) The Service Provider shall furnish to the Minister or the designate, for review and approval, an independent audit prepared by an auditor licensed by the Public Accountants Licensing Board outlining revenues and expenditures associated with this Agreement.

All special funding requests should be accompanied by the most recent monthly financial statement.

Audited financial statements for funding in excess of $100,000 are to be submitted annually to the Department, no later than ninety (90) days following the agency's fiscal year end. The audited statement will include a separate statement of revenue/expenditures detailing Advanced Education and Skills funding.

**Attendance Records:**

Client attendance records must be forwarded to the Department by the 15th day of the following month for Advanced Education and Skills funded programs**.** For agencies capturing data using the automated records management system (ARMS), attendance records must be inputted into that system.

**Payments / Procedures:**

Payments will be made on a quarterly basis or as per outlined in Schedule B of contract.

**General Financial Policies:**

- Financial Liability as outlined in Section 4.3 of contract.

- **Deficit/Surplus**:

  At the end of each fiscal year, upon completion of the audited/unaudited financial statement, the organization will deal with any deficit position that exists. Deficit financing will not be considered by the Department. The Department, in consultation with the organization, will address any surplus position that exists. The Department may permit the retention of a portion of the surplus based on needs identified by the organization.

- **Capital Expenditure**:

  The *prior approval* of the Department will be required for any capital items in excess of that approved in the budget.

- **Retention of Records**:

  All financial records, books of account must be retained for a period of seven (7) years. Financial records may not be destroyed without the prior approval of the department.

- **Wind-up Procedures**:

  - Close-out audit required.

  - Surplus funds are to be returned to the department.

  - All capital items funded by the department will be returned to the department for appropriate distribution subject to the discretion of the department.

  - All records should be returned to the designate departmental official for appropriate action.

**Guidelines for Completion of Budget Position Statement (SEE APPENDIX A.)**

**General**:

The Budget Position Statement is to be prepared by all organizations. This financial report is a very useful tool for the financial management of the organization and is essential to the department in providing accurate and up-to-date financial information.

**Report**

**Preparation**

**Original Budget** (Column 1) - Enter the amount of the original budget allocation for each account. This amount will be the approved budget provided by the Department at the beginning of the fiscal year, together with any approved financial top-ups to the contract.

**Year-To-Date Actuals-YTD** (Column 2) - Enter the actual revenue and expenditure amounts to the end of the reporting period as recorded in the General Ledger.

**Projected Expenses To Year-End** (Column 3) - Enter the amount of anticipated expenditures for the remaining months of the fiscal year. It is recommended that the process of determining projected expenditure be a joint effort on behalf of the Board of Directors and the accountant. Supporting calculations for projections should be maintained. The Department will provide support to this process when requested by the organization.

**Projected Total Expenditures Budget** (Column 4) - Enter the sum of Year-To-Date Actuals and Projected Expenses to Year-End (Columns 2+3).

**Variance Surplus/Deficit** (Column 5) - Enter the difference between the Original Budget and Projected Total Expenditures Budget (Columns1- 4).

**Notes**

Explanations are required for all variances in excess of 10% of original budget and should be referenced by note number.

**BUDGET POSITION STATEMENT**

Community Agency: _____ For the Period Ended: _____

| ACCOUNT | ORIGINAL BUDGET 1 | YTD ACTUALS 2 | PROJECTED EXPENSES TO YEAR END 3 | PROJECTED TOTAL EXPENDITURES 4 (2+3) | VARIANCE: Surplus (Deficit) 5 (1-4) | NOTES 6 |
|---|---|---|---|---|---|---|
| **EXPENSES**: | | | | | | |
| **Salaries:**<br>Core Staffing<br>Employee Benefits<br>MERC | | | | | | |
| **Sub-Total** | | | | | | |
| **Salaries**:<br>Participant Wages<br>Participant MERC<br>Participant Stipends | | | | | | |
| **Sub-total** | | | | | | |
| **Operating:**<br>Administration Fee<br>Office Supplies<br>Insurance<br>Bank Charges<br>Audit Fees<br>Rent<br>Travel<br>Telephone<br>Utilities<br>Program Materials/Supplies | | | | | | |
| **Sub-Total** | | | | | | |
| Capital Expenditures: | | | | | | |
| **TOTAL** | | | | | | |
| **REVENUES:** | | | | | | |
| Grants/Subsidies<br>GST Rebate<br>Other | | | | | | |
| **TOTAL** | | | | | | |
| **Surplus (Deficit)** | | | | | | |

**Document 2**

Department of Advanced Education and Skills

Community Partnerships

Proposal Assessment Matrix and Recommendation Report

**Employment Development Supports Proposal Assessment Matrix**

| | A. Experience of the Organization | Score | Comments |
|---|---|---|---|
| **A -1** | To what extent does the project sponsor:<br>(1) have expertise in delivery of employment programming; or<br>(2) have the necessary partnerships to ensure appropriate programming? | | |
| **A - 2** | To what degree has the proponent demonstrated the required human resource capabilities to successfully implement the proposed program? | | |
| | | **Total Score:** | |

| | B. Identified Need | Score | Comments |
|---|---|---|---|
| **B -1** | To what degree has the proponent demonstrated evidence of a service gap/service demand? This may include statistical evidence, research findings, or other existing resources. | | |
| **B - 2** | Is there evidence to support that proposed activity will address identified needs? | | |
| | | **Total Score:** | |

| | C. Proposed Activities | Score | Comments |
|---|---|---|---|
| **C -1** | To what degree do the proposed activities meet the department's mandate? | | |
| **C - 2** | To what degree do the proposed activities demonstrate innovative practices to address employment barriers for individuals with multiple challenges currently impacting successful participation in the labour market? | | |
| | | **Total Score:** | |

| | D. Financial Clarity | Score | Comments |
|---|---|---|---|
| **D -1** | To what degree does the proponent demonstrate financial management procedures that are in keeping with the department's financial accountability requirements to ensure sound financial monitoring? | | |
| **D - 2** | To what degree is the budget clear and realistic, demonstrating cost effective approaches in the development and delivery of the proposed project? | | |
| | | **Total Score:** | |

| | E. Monitoring, Reporting and Evaluation | Score | Comments |
|---|---|---|---|
| **E -1** | To what degree does the proposal have measureable goals and objectives? | | |
| **E- 2** | To what degree has the agency demonstrated outcomes from previously funded projects? | | |
| | | **Total Score:** | |

**Assessment Results**

| Area of Assessment | Experience | Identified Need | Proposed Activities | Financial Capability | Evaluation Processes | RESULTS |
|---|---|---|---|---|---|---|
| **Weight Factor** | | | | | | |
| **Proponent** | | | | | | |

**Recommendation**

☐ This proposal is recommended for funding

☐ This proposal is recommended based on the following conditions:

☐ This proposal is not recommended for funding based on the following: