Accountability Framework for the Use of Community Partners for the Delivery of Career and Employment Programs and Services

Prepared for:
Department of Human Resources, Labour and Employment
Government of Newfoundland and Labrador

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1.0 Introduction

1.1 Purpose of the Accountability Framework

This document presents the Accountability Framework for three programs of the Department of Human Resources, Labour and Employment (HRLE). 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 Career and Employment Programs and Services

The Government of Newfoundland and Labrador seeks to ensure that residents of the Province have full access to career and employment services which enable them to seek, obtain and keep employment. Primary responsibility for this rests with the Department of Human Resources, Labour and Employment (HRLE).

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

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

Through the Community Partnerships (CP) program, HRLE partners with community agencies for the delivery of a variety of career and employment programs and services. CP funding helps agencies deliver career and employment 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 in nature.

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 Program is enhanced employment readiness, i.e. clients 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.

The intermediate outcomes sought through Community Partnerships include:

- **Increased Employment of Clients –** in unsubsidized employment.
- **Clients Return to School –** Many of the clients served under Community Partnerships have limited formal education and this constitutes a significant barrier. Clients who return to school are an important intermediate outcome for Community Partnerships.

The ultimate outcome of Community Partnerships is **Increased Self-Reliance for Clients.**

2.4 Delivery and Governance Structure

Roles

Community Partnerships is a province-wide program that is delivered through collaboration between the Provincial, Regional and District Offices of HRLE and Community Agencies.

HRLE 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
- Evaluation of Community Partnerships
- Audit of Community Partnerships

HRLE Regional and District Offices are responsible for:

- Issuing call for proposals
- Reviewing proposals and making recommendations on funding
- Monitoring progress in relation to project outputs
- Financial monitoring

Community Agencies are responsible for:

- Designing and delivering programs and services that respond to identified labour market needs and the HRLE mandate
- Submitting proposals in line with the Accountability Framework and proposal guidelines
- 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:
- Be compatible with the goals and objectives of the Department of Human Resources, Labour and Employment;
- Be responsive to client needs;
- Be responsive to gaps in current services;
- Be programs/services best delivered by a community agency;
- Be linked to other employment and career services;
- Address employment and career competencies;
- Have demonstrated success in achieving outcomes related to preparing, obtaining and maintaining employment;
- Demonstrate cost-effectiveness.

Proposal process

A call for proposals will be issued annually; community agencies may also submit unsolicited proposals at any time.

Agencies must submit proposals for projects to the HRLE Regional Office where the headquarters of the agency is located. Agencies must submit an electronic or hard 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 the proposal and regional review report for consistency with program policy and funding availability and submit the proposal and recommendation to the Assistant Deputy Minister for approval.

Agreement management and monitoring

HRLE 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 in 2006-07 was approximately $3.4M.

2.6 Target Population/Beneficiaries

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

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:

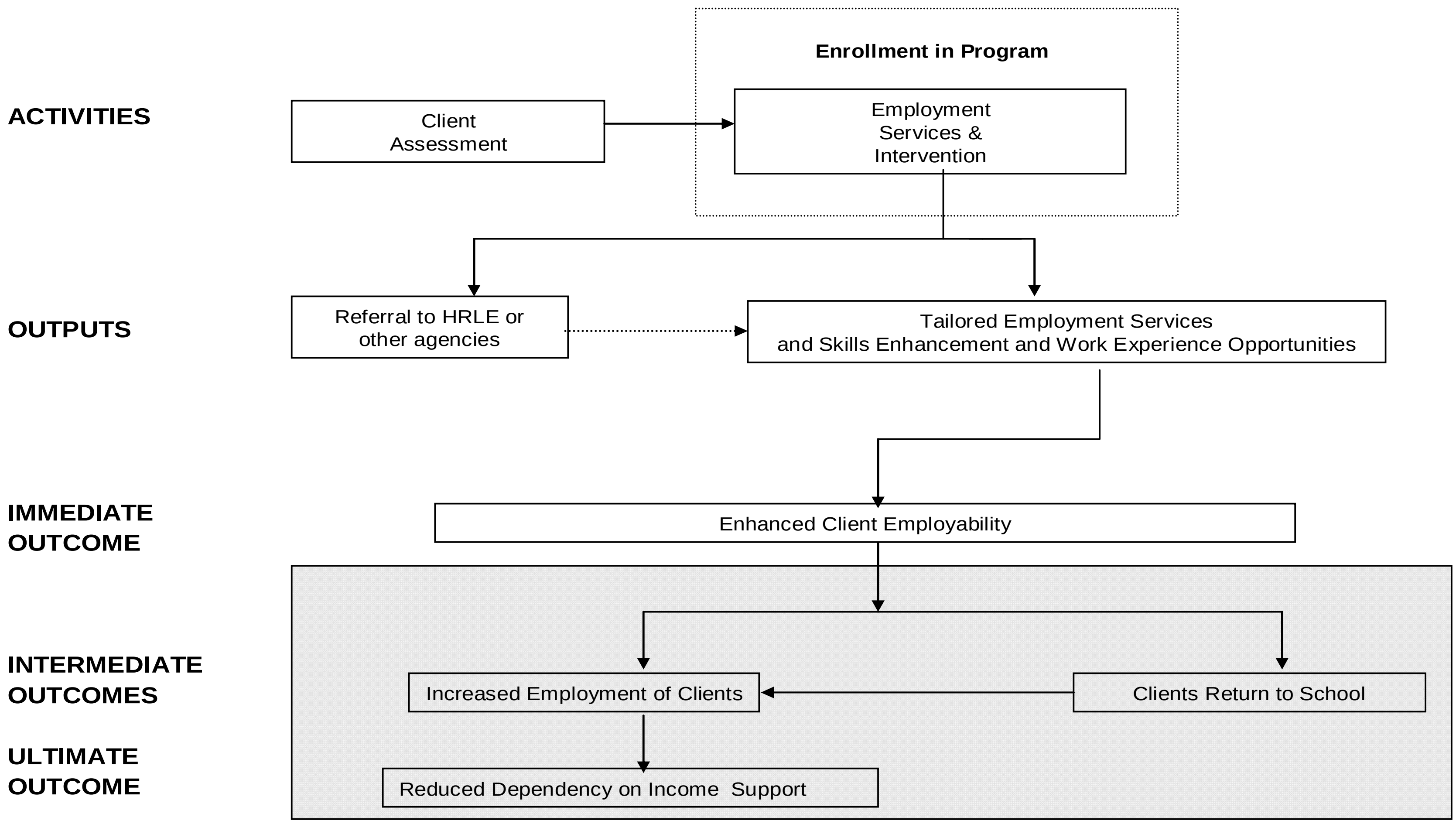
- **Activities**, “what Community Partnerships does” in terms of the most important work-tasks;
- **Outputs**, “what Community Partnerships produces” arising from these Activities; and,
- **Outcomes**, “why Community Partnerships is doing” the Activities and producing these Outputs to address the key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



3.1 Activities

The Community Partnerships logic model identifies two key activities. These key activities are:

Client Assessment. The Community Agencies funded under Community Partnerships assess the needs of clients to whom they provide programs and services from among those they recruit or who are referred to the agency. The following sub-activities are included in this activity:

- Screening to ensure the clients meet basic requirements for further consideration. This initial screening combines characteristics identified by HRLE and by the particular agency.
- 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 either prior to or instead of participating in Agency service(s)/program(s).
- Establish a baseline of employment readiness.
- Starting 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 HRLE or another Agency, this activity may consist of reviewing and validating an existing action plan.

At present, most Community Agencies do this assessment in relatively informal ways.

Employment Services & Interventions. Having assessed clients they will work with, 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 services may include the following:

- 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

The activity **Client Assessment** results in the provision of **Employment Services & Interventions.**

The activity **Employment Services & Interventions** result in the following outputs:

- **Tailored Employment Services, Skills Enhancement & Work Experience Opportunities –** 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.

- **Referral to HRLE or Other Agencies** –The Employment Services and Interventions may be designed to help clients to prepare for participation in Employment Services and Interventions offered by HRLE or other Community 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 HRLE 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 outcome is:

- **Enhanced Employment Readiness –** 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. This enhancement 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. A variety of products are available to measure such improvements. HRLE has adopted the ***Employment Readiness Scale*** and is exploring its use with Community Agencies funded under Community Partnerships.

3.3.2 Intermediate Outcomes

As a consequence of Enhanced Employment Readiness, two intermediate outcomes are sought:

- **Increased Employment of Clients –** The purpose of working with clients to enhance their employment readiness is to increase the chances they will be successful in obtaining work in the labour market. Note that clients who are subsequently placed in a wage subsidy program cannot be considered as employed for this outcome.

- **Clients Return to School –** Many of the clients served under Community Partnerships have limited formal education and this constitutes a significant barrier. ‘Clients who return to school’ is an important intermediate outcome for Community Partnerships.

3.3.3 Ultimate Outcomes

The ultimate outcome of Community Partnerships is **Increased Self-Reliance for Clients.**

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. At this stage, the logic model is preliminary and subject to review and refinement with HRLE. Nevertheless, to facilitate the review of the logic model, we have used it to develop a preliminary set of key performance indicators for activities, outputs and outcomes. In effect, this allows the implications of the logic model to be fully understood before it is agreed to. This is so because the performance indicators flow directly from the logic model itself. If a particular performance indicator causes concern, that may be so because there is an inaccuracy in the logic model.

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 HRLE proposes to utilize across Community Partnerships – Accountability and Resource Management System and the Employment Readiness Scale.

As noted, in the final set of performance indicators, it will be important to design a minimal set of priority performance indicators for the future implementation of the performance measurement strategy. Over-design (i.e. using too many indicators) can lead to costly and time-consuming data collection efforts and unnecessary burden on the various stakeholders responsible for the data collection and reporting of program results.

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 the:

- performance indicator;
- data source;
- timing/frequency of measurement ; and,
- collection method.

Exhibit 4.2 – Performance Measurement Strategy

	INDICATORS	TIMING	DATA SOURCE	METHOD
ACTIVITIES				
Client Assessment	- # of clients receiving initial assessment service o *by client status* o *by demographics* (Women, Youth, Person with disability, Aboriginal, Visible Minority or Ethnic Origin, Highest level of education) *Client Status Categories in ARMS:* • SAR: Client is receiving Income Support at the start of the casefile. • EI Claimant: Individual is on active Employment Insurance Claim at the start of the casefile. • EI Reachback: At the start of the casefile, the client has drawn Employment Insurance within the past three years, or received Paternity/Maternity benefits in the past five years. • SAR Claimant: Claimant is currently receiving both Income Support and EI at the same time at the start of the casefile. e.g. client is getting an Income Support "top up" on their Employment Insurance claim. • SAR Reachback: Client is currently receiving Income Support, is not currently on EI but has drawn Employment Insurance within the past three years, or received Paternity/Maternity benefits in the past five years. • Other: Client does not fit any of the above client types. e.g. recent high school graduate who has never been on EI or Income Support	Monthly	Program data	Review of data system or case management files (CMFs)

	INDICATORS	TIMING	DATA SOURCE	METHOD
Employment Services and Interventions	***If Agency delivers a structured program, with the same set of service(s) and/or intervention(s) delivered to all clients:*** - # of clients enrolled in program - attendance - # of clients completing program - # of clients discontinuing program*, by reason* ***If Agency delivers a set of service(s) and/or intervention(s) that may vary from one client to another (whether or not it is within the context of a specific agency program):*** - # of clients who started a counseling intervention, by dimension addressed (i.e. Career Decision-Making, Skills Enhancement, Job Search, Job Maintenance or Personal/Social/Life Skills) - # of clients who started an employment intervention (i.e. work experience interventions) - # of clients who started a training interventions (i.e. school interventions) - # of clients who received group services - # of clients who received other types of employment services, *by service type*	Monthly	Program data	Review of data system or CMFs

	INDICATORS	TIMING	DATA SOURCE	METHOD
OUTPUTS				
Tailored employment services, and skills enhancement and work experience opportunities	- Level of client satisfaction with program and services (1/2) - Degree to which services and interventions provided to client correspond to the employment barriers identified during his/her assessment or counseling sessions (3/4/5)	Evaluation	(1) Periodic client surveys (2) Program Exit Evaluation Form (3) Assessors/ Counsellors (4) Program data (5) Employment Readiness Assessments	(1) Survey review (2) Form review (3) Interviews with Assessors/ Counsellors (4)/(5) Review of data system or CMFs
Referral to further employment programs/services	- # of clients referred to HRLE for programs and services (at conclusion of program/services) - # of clients referred to outside agencies/government for services, *by agency, by program* (at conclusion of program/services)	Monthly	Program data	Review of data system or CMFs

	INDICATORS	TIMING	DATA SOURCE	METHOD
IMMEDIATE OUTCOME				
Enhanced Client Employability	- # of client Action Plans closed to 'completed' (1) - Increase in client's employment readiness (ER) rating after participating in agency program/service (compared to rating before participation) (2) ***Note:*** *as measured through the Employment Readiness Scale (ERS) or any other ER assessment tool used by the agency.* *And/or* - Self-Assessment by client of improvement in employability (3/4/5)	Monthly Evaluation	(1) Program Data (2) Employment readiness assessment scores (before/after) (3) Periodic client surveys (4) Program Exit Evaluation Form (5) Client interviews	(1)/(2) Review of data system or CMFs (3) Survey review (4) Form review (5) Interviews with clients

	INDICATORS	TIMING	DATA SOURCE	METHOD
INTERMEDIATE OUTCOME				
Increased employment of clients	➢ # of program participants who find employment (1/2) o *subsidized* (Action Plan is still open, with a subsidized employment intervention ongoing) o *unsubsidized* (Action Plan is closed to 'employed') ➢ Improved labour market participation for clients relative to pre-participation (1/2)	Monthly Evaluation	(1) Program data (2) Follow up survey	(1) Review of data system or CMFs (2) Survey conducted for evaluation
Clients return to school	➢ # of program participants who return to school (1/2) ➢ Increased recognition of importance of education in helping prepare for employment (2) ➢ Chosen field of study/training addresses barriers to employment (2) ➢ Chosen field of study/training reflects job opportunities (2)	Monthly Evaluation	(1) Program data (2) Follow up survey	(1) Review of data system or CMFs (2) Survey conducted for evaluation
ULTIMATE OUTCOME				
Reduced Dependency on Income Support	➢ Decreased use of Income Support by program participants	Evaluation	HRLE Client Data (benefits)	HRLE Data review

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.
- 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, but rather that the upload of accountability data to HRLE 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, returned to school, 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 HRLE 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 HRLE's *Financial Requirements Guide for Community Agencies.*

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Supporting Documents

Department of Human Resources, Labour and Employment

Government of Newfoundland and Labrador

October 22, 2007

Newfoundland Labrador

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Document 1

Human Resources, Labour and Employment

Guidelines for Funding Proposals from Community Agencies – Community Partnerships Program

October 22, 2007

1.0 Introduction

This document sets out the guidelines for proposals being submitted for funding of projects under the Community Partnerships Program of Human Resources, Labour and Employment (HRLE). 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:
    - Be compatible with the goals and objectives of the Department of Human Resources, Labour and Employment;
    - Be responsive to client needs;
    - Be responsive to gaps in current services;
    - Be programs/services best delivered by a community agency;
    - Be linked to other employment and career services;
    - Address employment and career competencies;
    - Where relevant, have demonstrated success in achieving outcomes related to, preparing for, obtaining and/or maintaining employment;
    - Demonstrate cost effectiveness.
- Funding is dependent on funding available in accordance with the specified yearly budget process.

1.2 Proposal submissions

Agencies must submit proposals for projects to the HRLE Regional Office where the headquarters of the agency is located. Agencies must submit both an electronic and hard copy of each proposal.

2.0 Proposal Outline

Title Page

Title of project

Submitted to: HRLE 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 HRLE to contact for further information

Date of proposal

Executive Summary

A short summary of the project that includes:

- the location(s)
- the 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
- 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, including any tools used.

Services and Programs

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

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 HRLE 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 HRLE (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, return to school, reduced income support). Indicate the anticipated level of results for each outcome.

Performance Monitoring

- *Agencies expecting a continuous inflow of clients:*

  In order to assist the agency and HRLE 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 HRLE (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 and the client **outcomes**.

Note on 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:

- Articles of Incorporation/Association;
- By-laws;
- Directors' Liability Insurance.

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 HRLE or other sources.

Financial proposal:

Provide information on how your agency intends to comply with the financial reporting and monitoring requirements set out in HRLE's 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 Human Resources, Labour and Employment Mandate

The mandate of the Department of Human Resources, Labour and Employment 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

Newfoundland and Labrador will have a diverse, self-reliant population with minimal dependency on Income Support and a labour supply that meets the economic development requirements of the province.

Mission

By 2011 the Department of Human Resources, Labour and Employment will have enhanced supports and services to better assist people, particularly youth, to enter the labour market and reduce dependency on Income Support.

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 Human Resources, Labour and Employment 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 HUMAN RESOURCES, LABOUR AND EMPLOYMENT
PROVINCE OF NEWFOUNDLAND AND LABRADOR

Financial Requirements Guide
for
Community Agencies

Prepared by: Mr. K. Adams
Ms. B. Cochrane
Mr. B. Follett

2007 10 15

Content

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 December 15th 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 statement of revenue/expenditures detailing HRLE funding.

Attendance Records:

Client attendance records must be forwarded to the Department by the 15th day of the following month for HRLE 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 <u>prior approval</u> 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: Core Staffing Employee Benefits MERC						
Sub-Total						
Salaries: Participant Wages Participant MERC Participant Stipends						
Sub-Total						
Operating: Administration Fee Cleaning Supplies Office Supplies Insurance Bank Charges Audit Fees Rent Travel Telephone Utilities Program Materials/Supplies						
Sub-Total						
Capital Expenditures:						
TOTAL						

REVENUES:						
Grants/Subsidies GST Rebate Other						
TOTAL						
Surplus (Deficit)						

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 December 15th 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 must be submitted to the Department by the 30thday 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 licenced by the Public Accountants Licencing 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 statement of revenue/expenditures detailing HRLE funding.

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

Document 2

Department of Human Resources, Labour and Employment

Community Partnerships

Proposal Assessment and Recommendation Report

October 22, 2007

Program:
Community Agency:
Project Title:
Location:
Contact Person(s):
Telephone No.
E-mail Address
Project Type: ❑ Regional (Specify Region) ____

❑ Pan-provincial (regions covered) ____________________
Date of Assessment Report:
HRLE contact person regarding: Program Issues: ____________________ Client Issues: ____________________ Financial Issues: ____________________

ASSESSMENT CRITERIA	YES	NO	N/A	NEED FOLLOW -UP
Proposals for renewal of projects				
1. Has the agency delivered the previous project activities as planned?	☐	☐	☐	☐
2. In this current fiscal year, is the agency on target with planned level of activities and outputs?	☐	☐	☐	☐
3. In previous fiscal years, has the agency met performance targets?	☐	☐	☐	☐

ASSESSMENT CRITERIA	YES	NO	N/A	NEED FOLLOW -UP
4. Has the agency submitted activity and financial reports as required and on time?	☐	☐	☐	☐
Project Description				
5. Does the proposal meet Community Partnerships policy?	☐	☐	☐	☐
6. Does the proposal describe adequately how the project is compatible with the HRLE mandate?	☐	☐	☐	☐
7. Are the objectives realistic given the project activities and resources?	☐	☐	☐	☐
8. Is there sufficient evidence of the need for the project (e.g. previous research, profile of clients to be served, gaps in service identified)?	☐	☐	☐	☐

ASSESSMENT CRITERIA	YES	NO	N/A	NEED FOLLOW -UP
9. Does the profile of the clients to be served provide sufficient detail?	☐	☐	☐	☐
10. Are the types of activities appropriate in relation to the client needs that have been identified?	☐	☐	☐	☐
11. Does project reflect current knowledge on effective program design?	☐	☐	☐	☐
12. Is the number of new and continuing clients reasonable?	☐	☐	☐	☐
13. Is the level of activity appropriate given the number of clients and resources requested?	☐	☐	☐	☐

ASSESSMENT CRITERIA	YES	NO	N/A	NEED FOLLOW -UP
14. Are the expected outcomes reasonable given the level of activity planned?	☐	☐	☐	☐
15. Is the agency's approach to monitoring client progress and evaluating outcomes appropriate?	☐	☐	☐	☐
The Agency				
16. Is the agency eligible for funding under Community Partnerships policy?	☐	☐	☐	☐
17. Has the Agency provided required documentation on its structure (Articles of Incorporation, By-laws, organization chart), and is it in good standing with Government Services Registry of Companies?	☐	☐	☐	☐

ASSESSMENT CRITERIA	YES	NO	N/A	NEED FOLLOW -UP
18. Has the organization provided required documentation of Directors' Liability Insurance?	☐	☐	☐	☐
19. Does the agency have the necessary experience/ expertise to carry out the project?	☐	☐	☐	☐
20. Does the agency have appropriate infrastructure for the project (space, equipment, other resources besides staff)?	☐	☐	☐	☐
Financial proposal				
21. Is the budget completed as per guidelines?	☐	☐	☐	☐
22. Amount of funding requested $________________	☐	☐	☐	☐
23. Is this amount an increase over the previous agreement?	☐	☐	☐	☐

ASSESSMENT CRITERIA	YES	NO	N/A	NEED FOLLOW -UP
24. If yes, amount of increase and purpose?	☐	☐	☐	☐
25. Is the rationale for the increase in funding and impacts on project activity and outputs/outcomes clear and reasonable?	☐	☐	☐	☐
Are there any other funding sources for this?				
a) project (if Yes list)	☐	☐	☐	☐
b) service (if Yes list)	☐	☐	☐	☐

Overall assessment		
Are you recommending the project for funding?	☐ Yes	☐ No

Provide a brief rationale for recommendation including any conditions that apply

Provide a brief rationale for non recommendation

Report submitted by Assessment Review Committee Members:
Name: ______________________________ Title: ______________________________ Signature: ______________________________ Date: ______________________________

Name: ____________________ Title: ____________________ Signature: ____________________ Date: ____________________
Name: ____________________ Title: ____________________ Signature: ____________________ Date: ____________________