March 4, 2013

Re: Your request for access to information under Part II of the Access to Information and Protection of Privacy Act [Our File #: AES/005/2013]

On February 12, 2013, the Department of Advanced Education and Skills received your request for access to the following records:

I am requesting under the Access to Information Act:
A copy of the guidelines governing the Self-Employment Assistance (SEA) program under the LMGA and administered by AES

Your request for access to these records has been granted. In accordance with your request for a copy of the records, the appropriate copies have been enclosed.

If you have any further questions, please feel free to contact Janelle Kenway at 729-7920 or janellekenway@gov.nl.ca

Yours sincerely,

Darrin Pike
Deputy Minister

Enclosure
Newfoundland and Labrador
Benefits and Measures

OPERATIONAL DIRECTIVES

Chapter 4:
Self Employment Assistance

October 2010
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1. INTRODUCTION

1.1 About HRLE Directives

HRLE directives are detailed instructions related to the administration of specified services delivered by HRLE staff on behalf of the government of Newfoundland and Labrador. A key objective of the directives is to ensure the consistent delivery of high-quality services to individuals and community groups who are our clients and partners. Questions pertaining to this directive are to be directed through normal channels (e.g. Client Services Managers, Regional Managers) to Provincial Office.

2. LEGISLATION AND GOVERNMENT POLICIES

2.1 Employment Insurance Act (EI Act), Part II

Under Section 59 of the Employment Insurance (EI) Act, the Canada Employment Insurance Commission (the Commission) may establish employment benefits to enable unemployed persons who qualify as “insured participants” within the meaning of Section 58 of the EI Act to obtain employment.

Section 61 of the Act authorizes the Commission to provide financial assistance for the purpose of implementing employment benefits and support measures (as well as implementing support measures established by the Commission under Section 60(4) of the Act).

Section 25 of the EI Act and Section 50 of the EI Regulations are also relevant in the administration of SEA. They permit the payment of EI Part I benefits to insured participants who are active EI claimants while they are participating in the SEA benefit if they have been referred to SEA by the Commission or an authority designated by the Commission.

2.2 Canada-NL Labour Market Development Agreement

In May 1996 the federal government made the offer to provinces and territories to assume full responsibility for the delivery of employment programming.

The Canada-NL Labour Market Development Agreement was signed in September 2008 and allows Newfoundland and Labrador to assume an expanded role in the design and delivery of labour market development programs and services in Newfoundland and Labrador to benefit clients.

Section 3.1 of the agreement states that Newfoundland and Labrador will provide the NL Benefits and Measures. Those benefits and measures include NL Wage Subsidies, NL Job Creation Partnerships, NL Self Employment Assistance, NL Skills Development, NL Earnings Supplements, NL Employment Assistance Services, NL Labour Market Partnerships, and NL Research and Innovation.

Section 3.6 and 3.8 provide for the authorization of designated authorities in Newfoundland and Labrador to refer active EI claimants, for the purposes of section 25 of the EI Act, to:

   a) courses or programs of instruction or training which the claimant is attending at his or her own expense, or under Newfoundland and Labrador Benefits, or
b) any other employment activity for which assistance has been provided for the claimant under a NL Benefit which is similar to the Commission’s Job Creation Partnerships Benefit or Self-Employment Benefit.

2.3 NLBM Terms & Conditions
The Terms and Conditions constitute the basic framework for the Newfoundland and Labrador Benefits and Measures (NLBM). They define or describe the core elements and requirements of each NLBM. They are the key source document for fundamental matters such as the objective of each benefit, who is eligible to receive funding, what activity costs are eligible for funding, the duration of funding, any maximum on funding, method of payment (e.g. advances or progress payments), etc.

The Operational Directives supplement the Terms and Conditions. They provide more details for how each NLBM is to be implemented.

3. OVERVIEW OF THE SELF EMPLOYMENT ASSISTANCE BENEFIT

3.1 Purpose of the Self Employment Assistance Operational Directives
The purpose of the NL Self Employment Assistance (SEA) Operational Directives is to provide staff with guidance and direction on the administration and appropriate delivery of the SEA benefit. This directive is to be read in conjunction with Chapter 1: Common Elements of the NL Benefits and Measures (NLBM) Operational Guidelines and the Operations Guide.

The electronic version of the SEA Operational Directives and related forms, schedules and checklists are located on Human Resources, Labour and Employment’s Labour Market Development Agreement Intranet site.

3.2 Objective of SEA
The objective of Self Employment Assistance (SEA) is to provide financial and entrepreneurial assistance to eligible participants to help them start their own businesses. Self Employment Assistance allows participants to concentrate on making their businesses succeed.

3.3 Key Elements of SEA
The key elements of SEA which focus on the needs of the individual eligible participants are:
• client orientation sessions to enable the eligible participants to assess risk and opportunities of self-employment and personal suitability;
• support and workshops to enable potential eligible participants to develop business concepts;
• mechanism for review of the viability of proposed business plans;
• agreement to support approved eligible participants with the development and implementation of their business plans, based on participant eligibility and viability of their business concepts;
• provision of income support for eligible participants in the SEA program;
• business development support, including workshops, coaching and access to specific business implementation training; and
• on-site monitoring of the implementation of the business plans.
4. ELIGIBLE PARTICIPANTS

SEA must only be used to assist individuals who:

- Are unemployed
- Are Canadian citizens or permanent residents legally entitled to work in Canada
- are “EI Clients.” That is an unemployed person who, when applying for NLBM:
  - is an active EI claimant;
  - had a benefit period that ended within the last 36 months;
  - is re-entering the labour force after having left it to care for newborn or newly adopted children. This individual must have had a benefit period established within the last 60 months and been paid maternity or parental benefits under the EI Act.
- Have a Return to Work Action Plan (RTWAP) that identifies SEA as an appropriate intervention for them

EI clients who are active EI claimants must also receive approval under Section 25 of the *EI Act*.

5. DURATION

Under SEA, assistance can be provided for a maximum of 52 weeks and up to 78 weeks for persons with a disability. If an individual were to develop a disability while participating in SEA, which results in the need for longer support, his/her grant agreement may be extended to 78 weeks.

6. ELIGIBLE BUSINESS ACTIVITIES

The following constitute eligible business activities under SEA:
- a new business;
- an existing business in which the eligible participant had no prior ownership;
- the proposed business must be full time, which means that the eligible participant must devote at least 35 hours per week to developing and implementing the business (fewer hours may be approved for a person with a disability that necessitates part-time hours);
- a seasonal business, however, the eligible participant must devote their efforts full-time to the development/implementation of the business plan for the duration of the SEA agreement. In some cases, the eligible participant may be engaged in more than one full-time seasonal activity within the 52 consecutive week period;
- a home-based business;
- conversion of a hobby into a business

7. INELIGIBLE BUSINESS ACTIVITIES

The following constitute, but are not inclusive of, ineligible business activities under SEA:
- a business that involves sexual exploitation, illegal activity, promoting hate/discrimination or illegal activity, or proselytizing of a particular religious or political opinion
- a business based partly or entirely on commission when it is acting as an agent of a parent company. Eligible participants must prove that they are the owners of the business and that they are not employed by another business;
- a business (that is currently in operation and open for business) that the applicant has ownership in
- a business owned previously by the applicant.
- a business owned previously by the applicant’s spouse, parent or child where the applicant has had significant involvement in the management/decision-making process;
- a business that may (high probability) put another individual out of business
- a not-for-profit organization (that does not qualify as a business under Canada Revenue Agency regulations)
- a business that is currently in operation by the applicant (i.e. the applicant has been advertising or providing revenue-generating products or services prior to SEA approval) including open for business through the underground economy

8. WAGE SUBSIDIES (WS)

An eligible participant who is engaged in a SEA business at the operational stage and who wishes to hire employees may be eligible as an employer to access NL Wage Subsidies to fill those positions. WS should only be considered when the stability of the SEA business and evidence of potential ongoing employment for the WS client at the end of the WS agreement have been taken into account. The focus of WS should be on the needs of the client and not the needs of the employer.

For further information, see Chapter 3, Wage Subsidies of the NLBM Operational Directives.

9. STRUCTURE OF A BUSINESS

Acceptable types of business structures for SEA:
- a) Sole ownership; or
- b) Partnership: the partnership agreement must reflect that the SEA applicant(s) is/are a general partner(s), the major decision maker(s) and have control of the venture;
- c) Corporation: a SEA applicant(s) must hold (or jointly hold) the majority of voting shares and not be in insurable employment with the company.
- d) Cooperatives: Individuals who intend to be owners/members in a new worker co-op are eligible. A cooperative is an autonomous association of persons united voluntarily to meet their common economic, social and cultural needs and aspirations through a jointly-owned and democratically controlled enterprise. Worker co-ops are employee-owned businesses which operate in accordance with the co-op principles and in which the cooperative’s membership consists of employees of the business. As with other co-ops, worker co-ops are controlled on the basis of one member-one vote.
- e) Franchises: individuals who intend to purchase a franchise and who can demonstrate that they will have some flexibility in operating the franchise and in decision-making are eligible for SEA. If the parent company exercises complete control then the SEA applicant would have little need of the support offered by the SEA coordinator. Even if the parent company offers support/training, as long as the applicant has need for the support offered under SEA and this support would be different than what is offered by the parent company, this is acceptable. SEA coordinators are in a good position to assess whether such applicants will have discretion in their business operations and whether they would benefit from participation.
10. MODELS FOR PROVIDING ASSISTANCE UNDER SEA

There are two different models for providing financial and entrepreneurial assistance to eligible participants under SEA.

10.1 Model A: The joint HRLE / SEA Coordinator Model
In this model, the HRLE office signs a Contribution Agreement with a SEA coordinator who provides entrepreneurial, technical and consultative expertise to assist eligible participants in assessing their business concepts, and in developing and implementing their business plans. The responsibility to approve a client’s application for financial and entrepreneurial support assistance under SEA and to provide income support rests solely with HRLE.

10.1.1 Role and Responsibilities of the SEA Coordinator
The SEA coordinator plays a key role in the implementation of SEA through the provision of a series of services to eligible participants to improve their opportunity for success.

A SEA coordinator must not be providing a service to HRLE, nor prepare agreements with eligible participants on behalf of HRLE. When the SEA coordinator and eligible participant decide to proceed with the application to HRLE, the SEA coordinator may help the eligible participant prepare an application to HRLE for financial and entrepreneurial assistance, prior to starting the SEA intervention.

When a negotiated income support rate rather than a flat rate is being used, the SEA coordinator cannot negotiate financial assistance on behalf of HRLE. The SEA coordinator can help the eligible participant work out in detail, his/her ability to cover costs and determine what financial and entrepreneurial assistance the eligible participant will need to request from HRLE. In helping the eligible participant to make an application, there is an implied recommendation on the part of the SEA coordinator, but it is nevertheless only HRLE that can ultimately make the final decision and enter into an agreement with the eligible participant.

For eligible participants who are accepted into SEA, the SEA coordinator would develop a business development support plan for each eligible participant to assist them in the development and implementation of the business plan which may include workshops, coaching, mentoring and access to entrepreneurial training.

10.1.1.1 The SEA coordinator with the HRLE office:
- consults with the HRLE office with regard to the establishment of priorities in terms of interventions;
- notifies the HRLE office when an eligible participant exceeds the 10-week period for preparing a business plan. In such cases, a decision should be made in conjunction with the coordinator as to whether it would be appropriate to continue to provide financial and entrepreneurial assistance to the eligible participant;
- develops mechanisms to adequately monitor the progress of the business;
- keeps records on eligible participants' progress and collects required statistical data on target groups, earnings, types of businesses, etc;
- informs the HRLE office of any change to the eligible participant's situation that could affect his/her participation.
- monitors each eligible participant’s progress throughout the implementation of the business, reviews the eligible participant’s monthly business reports and hours worked, via on-site visits, telephone contact and other approaches;
- visits each place of business within the first three months

10.1.1.2 The SEA coordinator with the client:
- provides information on SEA to eligible participants;
- provides an orientation session to eligible participants prior to selection for SEA;
- facilitates participants’ assessments of their risks and opportunities and personal suitability for self-employment;
- evaluates the participant’s ability to finance the proposed venture;
- provides the client with a letter supporting or not supporting the client's application to HRLE for participation in SEA. This letter will also provide the client with the rationale behind the decision. In the case of a letter of support, the letter will certify/confirm that the eligible participant and business have met all the criteria;
- ensures participants are aware of the SEA coordinators obligations and of supports available to them;
- ensures participants are aware of their obligations as they relate to Environmental Assessment Impact Studies, permits, licenses, taxes, etc.
- ensures participants have completed their market research and competitive impact studies;
- determines the viability of the participant’s proposed business concept through an independent business review process;
- assists participants in developing their business concept through workshops and one on one coaching;
- provides technical and counseling advice to participants as needed.

10.1.2 Role and Responsibilities of the HRLE office
The HRLE office is responsible for developing the contribution agreement with the SEA coordinator at the local level and for the full administration and monitoring of the SEA contribution agreement with the coordinator. This includes:
- marketing; developing and assessing; negotiating; recommending and approving of proposals;
- contracting with eligible coordinators using the forms as outlined for the SEA contribution agreement;
- monitoring and evaluating agreements to determine success as defined by NLBM accountability measures;
- providing Regional office and Provincial Office with status reports and summary information as required

10.1.2.1 The HRLE office with the SEA coordinator:
- develops a strategy for delivery of the program;
- negotiates and enters into agreements with selected coordinators who will provide business development support to eligible participants;
- administers the SEA Coordinator contribution agreement;
- monitors the terms of the contribution agreement; and
- evaluates the quality of services being provided to eligible participants and recommends corrective measures if required.

10.1.2.2 The HRLE office with the Eligible Participant:
The HRLE office:
- provides general information on the program and directs eligible participants to the SEA coordinator. This role can also be provided by an EAS case manager where one exists;
- confirms the eligible participant’s EI status;
- makes the decision to support an eligible participant under SEA by considering the participant’s Return-to-Work Action Plan, eligibility, self assessment and SEA coordinator’s assessment of the eligible participant’s suitability for SEA, local labour market and the HRLE office’s local business plan;
- advise the client in writing that his/her application for participation in SEA has been accepted or rejected. The letter of rejection must advise the client why HRLE has not approved the application for SEA;
- approves the participant’s request for a Section 25 Referral for Active EI claimants;
- establishes a negotiated rate of eligible participant financial support or flat rate of support;
- enters into a grant agreement with the eligible participant;
- submits a Section 25 referral to Service Canada via LMDA Access, so they will be able to enter the necessary information into the On-line Insurance System for eligible participants who are in receipt of EI Part I benefits.
- ensures the eligible participant understands his/her roles and responsibilities;
- administers the SEA grant agreement including the responsibility for monitoring the eligible participant’s continued eligibility and overall progress;
- issues income support payments where the eligible participant enters into a SEA grant agreement with the HRLE office;
- assesses potential environmental impact of the proposed business activities;
- ensures eligible participants are informed that although earnings from the business are not declared or considered income for purposes of receiving EI Part I, these earnings will be considered at tax time and an overpayment could be established should the eligible participant's earnings for the year exceed the maximum stated in the *EI Act*.

10.2 Model B: Community Coordinator Model
Under SEA, a community coordinator receives a contribution to support the costs of a project designed to help eligible insured participants in a community start their own businesses and become self-employed. The community coordinator provides or arranges business counseling, entrepreneurial training advice and assistance for the eligible insured participants and provides them with temporary financial and entrepreneurial assistance while they are engaged in developing and implementing their business plans. The community coordinator engages in the same activities as the SEA coordinator and also provides the eligible participant with financial assistance.

In this model, the same participant eligibility and standards apply; however, the full administration and accountability rests with the community coordinator. This is explained fully in the Community Coordinator Operations Guide.

11. ROLES AND RESPONSIBILITIES OF THE ELIGIBLE PARTICIPANT
In order to participate and to maintain eligibility for SEA, each eligible participant must meet the following requirements:

11.1 Prior to applying for SEA
• develop a Return-To-Work-Action-Plan with an Employment Assistance Services case manager or HRLE official;
• attend an orientation session provided by the SEA coordinator or the HRLE office;
• complete a self-evaluation exercise on suitability for self-employment;
• prepare and submit a preliminary business concept;
• have the preliminary business concept validated by a SEA coordinator;
• if the eligible participant has an active EI claim, he/she must continue to be capable of and available for work in order to be entitled for continued EI benefits;
• complete and submit the claimant’s report regularly, if an EI claimant;
• provide evidence of a personal investment equal to 25 percent (includes in-kind contribution) of the total amount of financial assistance that will be paid to the eligible participant (Part I and/or LMDA funding). Further details are available under 11.4.

11.2 Applying for Assistance
In applying for assistance under SEA, the eligible participant must:
• apply to the local HRLE office;
• provide an attestation from the SEA coordinator on the viability of the business concept;
• provide evidence of the need for financial supports, if applicable;

11.3 Approval by the HRLE office
Once the HRLE office has approved an eligible participant’s application for SEA, the participant must:
• sign a SEA grant agreement, NLBM5099, which includes a request for a Section 25 referral if an active EI claimant in order to have the availability obligation waived;
• develop a comprehensive business plan within a reasonable time frame with the assistance of a SEA coordinator. Although there is no deadline for preparing a business plan, a reasonable time frame is considered to be 10 weeks;
• be actively engaged in the development and implementation of the business plan for a minimum of 35 hours per week;
• prepare a monthly report for the HRLE office that includes an income statement, a narrative on the progress of the business and proof that they are actively engaged in the development and implementation of the business plan;
• report all earnings from other sources.

11.4 Evidence of a Personal Investment
Under SEA, the eligible participant must provide evidence of a personal investment. The personal investment contributed by the eligible participant is over and above the financial assistance and incremental costs.

Example: HRLE agrees to provide the eligible participant with a total amount of $13,000 for the duration of the agreement. The participant must contribute a personal investment of $3,250 (equal to 25%) of his/her own money or the equivalent through an in-kind contribution, or combination of both, before the implementation phase.

However, if the business involves low start up and overhead costs, the participant must demonstrate his/her ability to adequately cover those costs.

One or more of the following items could be considered as proof of equity:
• a current bank statement showing at least the minimum investment in the bank account of the proposed venture;
• evidence of a loan of at least the minimum investment from a bank or other financial institution, specifically for use in the business and available only through a bank account in the individual’s name or a joint account;
• in-kind contribution which includes non-monetary items or resources that the individual can contribute or obtain which are needed for the business, such as proof of ownership and/or a signed statement showing ownership of equipment or materials to be used in the business and a reasonable estimate of their value from a legitimate source;
• evidence that an overdraft facility of at least the minimum investment has been formally accepted and is available through their bank account or joint account, and
• any cost to conduct an environmental assessment that the individual has agreed to cover.

12. FINANCIAL ASSISTANCE FOR PARTICIPANTS

Financial assistance provided to an eligible participant is not provided for investment in the business. Financial assistance is intended to cover personal living expenses, including other allowable expenses during the initial stages of their businesses, as explained below.

Financial assistance under LMDA funds is in the form of a grant.

12.1 Active EI claimants
Participants who have an active EI claim may continue to receive EI benefits under Part I of the El Act for the duration of their benefit entitlement if they have been referred by a HRLE official under Section 25 of the El Act. They must continue to complete and return the claimant’s reporting cards to continue to receive insurance benefits until the intervention is completed, or the EI claim is exhausted. If the EI claim is exhausted before the intervention is completed, then financial assistance may be provided under LMDA funds.

Active EI claimants may be enhanced to a regionally/locally set flat rate or a negotiated rate from LMDA funds to cover living expenses.

Financial assistance may be provided to individuals to cover all or a portion of the incremental costs of participation (e.g. dependent care).

12.2 No Active Claim
Individuals who do not have an active claim but who meet one of the other conditions as an eligible participant may receive LMDA funds to cover living expenses and incremental costs. This type of funding is in the form of a grant.

Non-claimants receive a flat rate or a negotiated rate from LMDA funds.

Financial assistance may be provided to individuals to cover all or a portion of the incremental costs of participation, such as living expenses, tuition costs, dependent care costs, disability needs costs, transportation costs and accommodation costs.

Financial assistance may also be provided to SEA participants for tuition costs in order to enable them to take entrepreneurial training deemed necessary for developing and/or implementing the business plan. The type of training the participant wishes to register
for must not be part of the support provided by the SEA coordinator. The participant must arrange for his/her own training.

The onus of providing evidence for entitlement to incremental costs is the responsibility of the participant and will be maintained in the participant’s file as part of the audit trail.

13. EARNINGS

When completing the claimant’s reporting cards, an active EI claimant is not required to declare the income (revenue) that is earned by the business being established under SEA.

Eligible participants receiving LMDA funds also are not required to report the income (revenue) that is earned by the business being established under SEA. However, any other income, such as wages or income received as a result of working for someone else, must be declared on the claimant’s reporting cards and to the Client Services Officer in accordance with the *EI Act* and the SEA grant agreement. In this case, the standard allowable deduction of 25% (or $50 whichever is greater) would apply.

If the eligible participant receiving Part I or LMDA funds quits the SEA program, then he/she is responsible for advising the HRLE office and, if applicable, inquiring about the possible continuation of their EI benefits.

Participants should be informed that although earnings from the SEA business are not declared or considered income for purposes of receiving EI Part I, these earnings will be considered at tax time. A repayment could be established should the participant’s income for the year exceed the maximum specified under the *EI Act*.

If the business is earning sufficient revenue to provide an income for several consecutive months and shows a good possibility of continuing to do so, then the necessity of providing Part I and/or LMDA funding should be revisited.

14. ACTIVITIES OUTSIDE OF CANADA

A SEA participant is not necessarily disentitled from receiving financial assistance if, for a period of time, the participant is engaged in activities outside of Canada. However, the participant must have the HRLE office's approval prior to leaving Canada and must demonstrate that the purpose of carrying out activities outside of Canada is directly related to developing and implementing his/her business plan.

While outside of Canada the participant must still devote 35 hours per week to developing/implementing the business plan.

15. DEFAULTS/OVERPAYMENTS

The agreement will be terminated and an overpayment may be established when the time spent on the business does not justify further assistance. Situations such as:
- not spending the required amount of time on the development of the business plan or on implementation of the business plan;
- false or misleading declaration;
- failure to carry-out the contracted activities;
- not meeting conditions set out in the agreement;
- not reporting other earnings.

16. ACCOUNTABILITY
The primary success indicator of SEA is that the business plan has been implemented, and the eligible participant is self-employed. Another success indicator is a saving to the EI Account.

The SEA participant is not considered to be employed for accountability purposes while working on their SEA intervention. SEA participants are recorded as employed by the case manager for the purposes of this indicator once the SEA grant agreement has been completed or has ended and the eligible participant is self-employed. Since SE eligible participants are required to have Return-to-Work-Action-Plans, they must also be case managed. The responsibility for case management rests with the EAS case manager or the HRLE office. Case managers are responsible for reporting to HRLE on the outcomes of the Return-To-Work-Action-Plan.

17. MONITORING
For further information, please refer to the Risk Assessment Section of the Operations Guide.

Under SEA the following points related to the monitoring of agreements must be given attention:

17.1 SEA Coordinator:
The HRLE office will monitor the SEA coordinator according to the following:
- the extent to which any recruitment plan for targeted groups is followed;
- the relevance of amending the agreement, the work plan or the budget;
- the orientation sessions provided for in the agreement are in fact held and the coordinator ensures that people who are interested in starting their own business know about the sessions;
- the entrepreneurial training, consulting services and technical assistance provided by the coordinator are adequate;
- follow-up visits to businesses funded under SEA are carried out in accordance with the terms of the agreement;
- the business concepts and business plans approved were appropriate;
- the entrepreneurial assistance provided to participants was appropriate.

17.2 The participant:
The HRLE office will monitor the participant based on the following:
- actively engaged in the development and implementation of the business plan for a minimum of 35 hours per week;
- monthly reports to HRLE that include an income statement, a narrative on the progress of the business and proof that they are actively engaged in the development and implementation of the business plan;
- the reporting of all earnings from other sources; and
- directions given by the HRLE office or the SEA coordinator.

18. REPORTING REQUIREMENTS
SEA coordinators are required to report monthly activities to HRLE, (i.e. a narrative or a general update).
SEA eligible participants are required to submit the claimant’s cards if receiving EI Part I benefits. In addition, they are required to report monthly to the HRLE office on the progress made regarding the development and implementation of their business plan.

19. FORMS

The following forms are to be used:

### Client Forms

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<th>Form or Schedule</th>
<th>Number</th>
<th>Mandatory/Optional</th>
<th>Generated By CSGC</th>
<th>Comments</th>
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<td>SEA Client Application</td>
<td>NLBM5260</td>
<td>mandatory</td>
<td>No</td>
<td>Available on internet.</td>
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<tr>
<td>Client File Content Checklist</td>
<td>NLBM5269</td>
<td>Optional</td>
<td>No</td>
<td>On NLBM intranet</td>
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<td>Client Assessment, Recommendation and Approval Form</td>
<td>NLBM5270</td>
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<td>Generated in Assessment Recommendation and Approval phase of Client Module. Signed paper copy to be retained on participant file.</td>
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<td>SEA Grant Agreement</td>
<td>NLBM5099</td>
<td>Mandatory</td>
<td>Yes</td>
<td>Generated by Agreement, Amendment and Agreement Management phases of Client Module. Signed copy to be retained in participant file. (Draft copy available in Financial Set-up)</td>
</tr>
<tr>
<td>SEA Participant File Close Out Summary</td>
<td>NLBM5271</td>
<td>Mandatory</td>
<td>No</td>
<td>On NLBM intranet. Signed copy to be retained on participant file.</td>
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### SEA Coordinator Forms

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<th>Application for Funding</th>
<th>NLBM5209</th>
<th>Mandatory</th>
<th>No</th>
<th>Available on Internet or in paper format at local offices</th>
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<td>Budget Template for Contribution Project Proposal</td>
<td>NLBM5386</td>
<td>Optional</td>
<td>No</td>
<td>Available on Internet. To be used if funding requested in many budget categories.</td>
</tr>
<tr>
<td>Budget Template Supporting Details</td>
<td>NLBM5387</td>
<td>Optional</td>
<td>No</td>
<td>Available on Internet. To accompany budget template if used.</td>
</tr>
<tr>
<td>Forecast of Cash</td>
<td>NLBM5216</td>
<td>Mandatory if</td>
<td>No</td>
<td>Available on Internet.</td>
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<td>Flow</td>
<td>File Content Checklist</td>
<td>advance payments required</td>
<td>Available on NLBM intranet</td>
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<td>Assessment, Recommendation</td>
<td>NLBM5210</td>
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<tr>
<td>and Approval Report</td>
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<td>Articles of Agreement</td>
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<td>Schedule B</td>
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<td>Schedule C</td>
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<tr>
<td>Schedule D</td>
<td>NLBM5161</td>
<td>Optional – needed if there are</td>
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Assessment, Recommendation and Approval Report:
- Mandatory
- Yes
- Completed in recommendation and approval phase of PLC module of CSGC. Signed copy to be retained on file.
- Articles of Agreement:
  - Mandatory
  - Yes
  - Generated in agreement, amendment or agreement management phases of PLC module in CSGC. Draft copy available in agreement phase. Signed copy to be retained on file.
- Schedule A:
  - Mandatory
  - Yes
  - Generated in agreement, amendment or agreement management phases of PLC module in CSGC. Draft copy available in agreement phase. Signed copy to be retained on file.
- Schedule B:
  - Mandatory
  - Yes
  - Generated in agreement, amendment or agreement management phases of PLC module in CSGC. Draft copy available in agreement phase. Signed copy to be retained on file.
- Schedule C:
  - Mandatory
  - Yes
  - Generated in agreement, amendment or agreement management phases of PLC module in CSGC. Draft copy available in agreement phase. Signed copy to be retained on file.
- Schedule D:
  - Optional – needed if there are
  - Yes
  - Generated in agreement, amendment or agreement
| **Novation** | NLBM4081 | Mandatory to assign the Contribution Agreement to another sponsor | No | Available on NLBM intranet. Signed copy to be retained on file. |
| **Payment Claim or Advance and Activity Report** | NLBM5219 | Mandatory | No | Available on Internet. |
| **On-Site Financial Monitoring Report** | NLBM5220 | Mandatory when an on-site monitor is done | No | Available on NLBM intranet |
| **Monitoring Details Report** | | Mandatory | Yes | All monitoring must be entered in CSGC, from the monitoring assessment screen in the monitoring phase of PLC. Signed copy to be retained on file. |
| **File Close Out Summary** | | Mandatory | Yes | Completed in close out summary screen in close out phase of PLC in CSGC. Signed copy to be retained on file. |