WIA Youth Participant File Review

Grantee: _____Date: _____

Participant Name: _____Last 4 of SSN:_____

Case Manager: _____Reviewer:_____

Registration Date:_____   Case Status: ☐ Active Participant   ☐ Exited

Exit Date: _____ _____

Comments:

Application /Assessment Documents			Hard File	ICM
Documents may be located either in the hard file or scanned into ICM.				
1. Is there a Youth Program Application and is it signed and dated?	Y	N	☐	☐
2. Is there a Release of Information and is it signed and dated?	Y	N	☐	☐
3. Is there a Program Eligibility Checklist completed, signed and dated?	Y	N	☐	☐
4. Is there a copy of the signed Grievance Procedures brochure signature page?	Y	N	☐	☐
6. Is there assessment information? (e.g. Assessment forms, Barriers Checklist, Comprehensive Assessment Summary, Partner Assessment, Case Note with Assessment Information)	Y	N	☐	☐
7. Are there pre and post TABE scores documented in ICM?	Y	N	☐	☐

Comments:

ISS Documents/ Case Notes/Credential			Hard File	ICM
Documents may be located either in the hard file or scanned into ICM.				
8. Is there an Individual Service Strategy (ISS)	Y	N	☐	☐
9. Does the ISS identify goals and dates to achieve goals?	Y	N	☐	☐
10. Is the ISS signed and dated by the participant and the case manager?	Y	N	☐	☐

					Hard File	ICM
11.	Is there a copy of the credential earned in the file and/or was it case noted?	Y	N	N/A	☐	☐
12.	Are the case notes dated and writer documented in the hard file or entered into the ICM?	Y	N		☐	☐
13.	If the youth performed a work, is the necessary paperwork in the file or scanned into ICM? E.g. copies of timesheets, Work Permit (if under 18) and a Worksite Agreement, I-9, W-4?	Y	N	N/A	☐	☐

Comments:

Individual Case Management System (ICM)

Documents may be located either in the hard file or scanned into ICM.

					Hard File	ICM
14.	Does the information entered into the Participant Enrollment sections in ICM match the information provided in the Program Application form?	Y	N	N/A	☐	☐
15.	Are there services entered into the ICM that reflect what is listed on the ISS? (only applicable when hard copy ISS is used)	Y	N	N/A	☐	☐

Comments:

Data Validation

Documents may be located either in the hard file or scanned into ICM.

					Hard File	ICM
16.	Date of Birth – is there appropriate supporting documentation ? A hard or electronic copy of the participant's I.D. should be one of the following: driver's license, baptismal record, birth certificate, DD-214, Report of Transfer or Discharge paper, Federal, state or local identification card, passport, hospital record of birth, public assistance/social service records, school records or ID cards, work permit, cross match with Department of Vital Statistics, or tribal records.	Y	N		☐	☐
17.	Veteran's Status - is there appropriate supporting documentation? DD-214, cross match with veterans data, a letter from the Veterans' Administration	Y	N	N/A	☐	☐
18.	Employment Status at Registration – is there appropriate supporting documentation? Pay stub, case notes showing information collected from participant.	Y	N	N/A	☐	☐
19.	Low Income – is there appropriate supporting documentation? Alimony Agreement, applicant statement, award letter from veteran's administration, bank statements, compensation award letter, court award letter, pension statement, employer statement/contact, family or business financial records, housing authority verification, pay stubs, public assistance records, quarterly estimated tax for self-employed persons, Social Security benefits, UI documents	Y	N		☐	☐

#	Question					
20.	TANF (Needy Family Status) – is there supporting documentation of a cross-match with TANF/ATAP cash public assistance records?	Y	N	N/A	☐	☐
21.	Other Public Assistance - is there appropriate supporting documentation? Copy of authorization to receive cash public assistance, copy of public assistance check, medical card showing cash grant status, public assistance records, refugee assistance records, cross- match with public assistance database	Y	N	N/A	☐	☐
22.	Homeless individual and/or runaway youth – is there supporting documentation? Written statement from an individual providing residence, shelter or social service agency, WIA intake or registration form, self-attestation	Y	N	N/A	☐	☐
23.	Offender – is there documentation? Documentation from juvenile or adult criminal justice system, documented phone call with court or probation representatives, WIA intake or registration form, self-attestation	Y	N	N/A	☐	☐
24.	Pregnant or parenting youth – is there documentation? Copy of child's birth certificate, baptismal record, observation of pregnancy status, doctor's note confirming pregnancy, self- attestation	Y	N	N/A	☐	☐
25.	Youth who needs additional assistance- is there documentation? Individual service strategy, case notes, WIA intake or registration form, State MIS, self-attestation	Y	N	N/A	☐	☐
26.	School Status at Participation- is there documentation? Applicable records from education institution (GED certificate, diploma, attendance record, transcripts, drop out letter, school documentation), WIA intake or registration form, State MIS, self- attestation	Y	N	N/A	☐	☐
27.	Foster Care Youth- is there documentation? Written confirmation from social services agency, case notes (N/A for older youth)	Y	N	N/A	☐	☐
28.	Date of first youth service –does it match ICM? WIA intake or registration form, State MIS, case notes	Y	N		☐	☐
29.	Enrolled in education – is there documentation? Applicable records from education institution certifying enrollment, case notes with verification from education institution or training provider that the individual is enrolled in education	Y	N	N/A	☐	☐
30.	Received educational achievement services – is there documentation? Activity sheets, sign-in sheets, attendance record, vendor contract, State MIS, case notes, WIA status forms noting receipt of educational services and type of services received	Y	N	N/A	☐	☐
31.	Received employment services – is there documentation? Activity sheets, vendor contract, attendance record or roster, State MIS, case notes	Y	N	N/A	☐	☐
32.	Received summer youth employment opportunities - is there documentation? Activity sheets, work agreement, sign-in sheets, attendance record or roster, State MIS, case notes	Y	N	N/A	☐	☐
33.	Received additional support for youth services- is there documentation? Activity sheets, pay stub, sign-in sheets, attendance record or roster, State MIS, vendor contract, case notes	Y	N	N/A	☐	☐
34.	Received leadership development opportunities- is there documentation? Activity sheets, vendor contract, attendance record, State MIS, case notes	Y	N	N/A	☐	☐
35.	Type of recognized Credential- is there documentation? Transcripts, certificates, diploma, surveys, case notes	Y	N	N/A	☐	☐
36.	Goals Type including date goal was set, attainment of goal, date goal was attained - is there documentation? Test Records, Transcripts, School/Employer Notification or documentation, State MIS, Case notes	Y	N	N/A	☐	☐

					Hard File	ICM
37.	Attained Diploma, GED, or Certificate - is there documentation? Transcripts, certificates, diploma, letter or documentation from school system	Y	N	N/A	☐	☐
38.	Date Attained Degree or Certificate – is there documentation? Transcripts, certificates, diploma, letter or documentation from school system	Y	N	N/A	☐	☐
	The following applies to **Exited Participants**					
39.	Date of WIA exit – does it match the last service date? WIA status/exit forms, State MIS, case notes	Y	N	N/A	☐	☐
40.	Other reasons for exit - is there documentation? Information from partner services MIS systems, WIA status/exit form, case notes, Information from institution or facility	Y	N	N/A	☐	☐
41.	Received follow-up services - is there documentation? Activity sheets, attendance record or roster, documented receipt of follow-up support services, State MIS, case notes	Y	N	N/A	☐	☐
42.	School Status at Exit - is there documentation? Transcripts, certificates, diploma, letter or documentation from school system, case notes	Y	N	N/A	☐	☐
43.	Youth placement information - is there documentation? Cross-match with other agencies, apprenticeship verification, documentation of military service, advanced training, post-secondary education, transcripts, registration forms, college info, employer contacts, U.I. wage records, WRIS, case notes	Y	N	N/A	☐	☐
44.	Youth Retention Information - is there documentation? Cross match with other agencies, apprenticeship verification, documentation of military service, advanced training, post-secondary education, transcripts, registration forms, community college info, employer contacts, U.I. wages WRIS, case notes	Y	N	N/A	☐	☐

Comments:

PERFORMANCE / FOLLOW-UP PLAN

Documents may be located either in the hard file or scanned into ICM.

					Hard File	ICM
45.	When participant has obtained employment, is there at a minimum of a quarterly follow-up service for up to 12 months or a case note showing that participant was unable to be located?	Y	N	N/A	☐	☐
46.	If the participant was exited without employment. or could not be contacted, are there case notes documenting job search assistance offered, or case manager contact attempts, over a period of 90 days?	Y	N	N/A	☐	☐

Comments: