

Participant  
Name

# YouthBuild Participant File Folder



# Table of Contents

<a href="#"><u>Introduction</u></a>	5
<a href="#"><u>DOL Policy Guidelines</u></a>	6
<a href="#"><u>Policy Resources</u></a>	8
<a href="#"><u>Components</u></a>	9
<a href="#"><u>Security</u></a>	10
<b><i>Folder Sections</i></b>	
<a href="#"><u>Section 1: Eligibility</u></a>	11
<a href="#"><u>Identity and Age</u></a>	12
<a href="#"><u>Selective Service</u></a>	13
<a href="#"><u>Income</u></a>	14

# Table of Contents

Section 1: Eligibility Continued	
<u>Out of School Verification</u>	15
<u>Basics Skills Deficient/ 25%</u>	16
<u>Foster Youth</u>	18
<u>Disabled</u>	19
<u>Youth Offender</u>	20
<u>Migrant Youth</u>	21
<u>Child of Incarcerated Parent</u>	22
<u>Section 2: In Program Course Work</u>	23
<u>IDP, Career Plan</u>	24
<u>Attendance Records</u>	25
<u>Literacy Gains and Testing</u>	26
<u>Other Course Work</u>	27
<u>Section 3: Post Placement &amp; Retention</u>	28
<u>Certifications</u>	29
<u>Other Certifications</u>	30
<u>Documenting Course Work</u>	31
<u>Follow Up Documentation</u>	32
<u>Verification of Placement &amp; Retention</u>	33

## Table of Contents

<u>Section 4: Case Notes</u>	34
<u>Security of Case Notes</u>	35
<u>Updating Information</u>	36
<u>Documentation</u>	37
<u>What to Document</u>	38
<u>Referrals</u>	39
<u>Appendix</u>	40
<u>YouthBuild Eligibility</u>	
<u>Guidelines &amp; Source</u>	
<u>Documentation</u>	41
<u>Resource Links</u>	48

## ***Introduction***

This Sample DOL YouthBuild Participant Folder was developed to assist grantees in creating participant folders that meet Federal Guidelines.

While this is not the only way to set up a participant folder, it does demonstrate and include all required eligibility, testing and in program work, as well as placement /retention services and case notes.

Keys to a participant folder are:

- Documentation is organized and complete for all participants folders;
- Participant folders are kept secure;
- All participant folders are in line with DOL Standards, following the Core Monitoring Guide, Case Management Tools, and the YouthBuild Eligibility Requirements and Source Documentation.

As always, if grantees have questions concerning participant folders, or other issues, you should contact your FPO first.

# DOL Policy Guidelines

Your programs should have a policy reflecting equal opportunity under the law.

This policy should be provided to any prospective applicant being served with Federal funds.

Some organizations provide a brochure or one page summary of the law available from their state Equal Opportunity office and ask participants to sign saying they received it.

The statement/information required may be placed on intake forms/pre-applications – a box they can check would ensure they have read their rights. The following is a sample statement:

*“As a recipient of Federal financial assistance, YouthBuild Niceville is prohibited from discriminating on the grounds of race, color, religion, gender, national origin, age, disability, political affiliation or belief, and against any beneficiary of programs on the basis of the beneficiary’s citizenship/status as a lawfully admitted immigrant authorized to work in the United States.”*

To Review Actual Guidelines go to

[\*\*YouthBuild Eligibility Guidelines  
and Source Documentation\*\*](#)

# Complaint Grievance Policy

Your organizations “Complaint/Grievance Policy” should state:

- Clearly how and where your participant can file a complaint for an alleged violation of the equal opportunity law:

*Sample Grievance phrasing:*

*“If you think that you have been subjected to discrimination, or have a complaint or grievance about Niceville YouthBuild, its programs or activities, you may file a complaint with.....”*

Generally this will reflect your state’s EEOC’s office which can be located at:

<http://www.eeoc.gov/offices.html>. Don’t hesitate to ask them how you can obtain brochures or pamphlets to distribute or obtain sample forms.

# Helpful Ideas for Maintaining DOL Guidelines

Your local One-Stop Career Center can also assist by providing you with samples of the forms/brochures, etc. they utilize with their WIA participants.

You may also inquire about EEOC training for your staff.

Ask how you can obtain EO posters that can be prominently displayed where your program participants (as well as YB staff) can see them.

<http://www.eeoc.gov/offices.html>

For additional information, please see the Department of Labor's Civil Rights Office: <http://www.dol.gov/oasam/programs/crc/>

Your facility and services, whenever possible, should be ADA compliant – the Information and Technical Assistance for Americans with

Disabilities Act website: <http://www.ada.gov/> provides extensive detail on what this means and how it can be accomplished.



# Components

These are the required Components for Each Section:

## Eligibility Verification

- Income
- Identity
- Address
- Left School
- Basics Skills Deficient

## In Program Information

- Course Work
- Literacy/Numeracy Testing
- IDP
- Attendance

## Placement / Certifications

- Pay Stub 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup> Quarter
- Advanced Ed/ College Acceptance Letter Bursar Receipt, 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup>
- Any Nationally Recognized Certification: GED, HSED, NCCER, PACT

## Case Notes;

- Dated from Enrollment Through 12 Month Follow Up
- Case Notes Need to be Consistent, Without Time Lapses
- Referral Information

# Security

- All Participant File information should be stored in a locked cabinet;
- Programs should assign one person, or position, (Case Manager) to track and monitor these files.



# Section One

## *YouthBuild Eligibility Guidelines and Source Documentation*



**Checklist**

## Section 1, Eligibility: Proof of Identity and age

- 
- Driver's license or Government Identification Card
  - School Records/School Identification Card
  - Birth Certificate
  - Hospital Birth Record
  - U.S. Passport
  - Naturalization Certificate

# Section 1, Eligibility: Selective Service

- Selective Service Letter/Registration Letter
- DD-214 Report of Transfer or
- Discharge from Military Service;
- Board/State Registration
- Stamped Post Office Receipt of Registration;
- Internet verification/registration ([www.sss.gov](http://www.sss.gov)) or
- Telephone Verification: (847-688-6888)

## Section 1, Eligibility: Income

*Income levels can be established through information contained within the following documents:*

- Pay Stubs
- Bank statement (direct deposit)
- Employer statement/contact
- Parents tax return if under 18
- Tax Return if over 18 or emancipated
- Public assistance records/receipt (TANF/Food Stamps)
- Documentation from Social Security Medical card
- Refugee Assistance records
- Public Housing Authority
- Written statement from an individual providing temporary residence or a shelter (homelessness/runaway)
- Court documentation/contact/verification of payment made on behalf of youth (supported foster child/court supported)

## Section 1, Eligibility: School Drop Out

*Verify youth is no longer attending school.*

- Letter/documentation from the school stating the youth has dropped out
- School attendance record
- Applicant statement

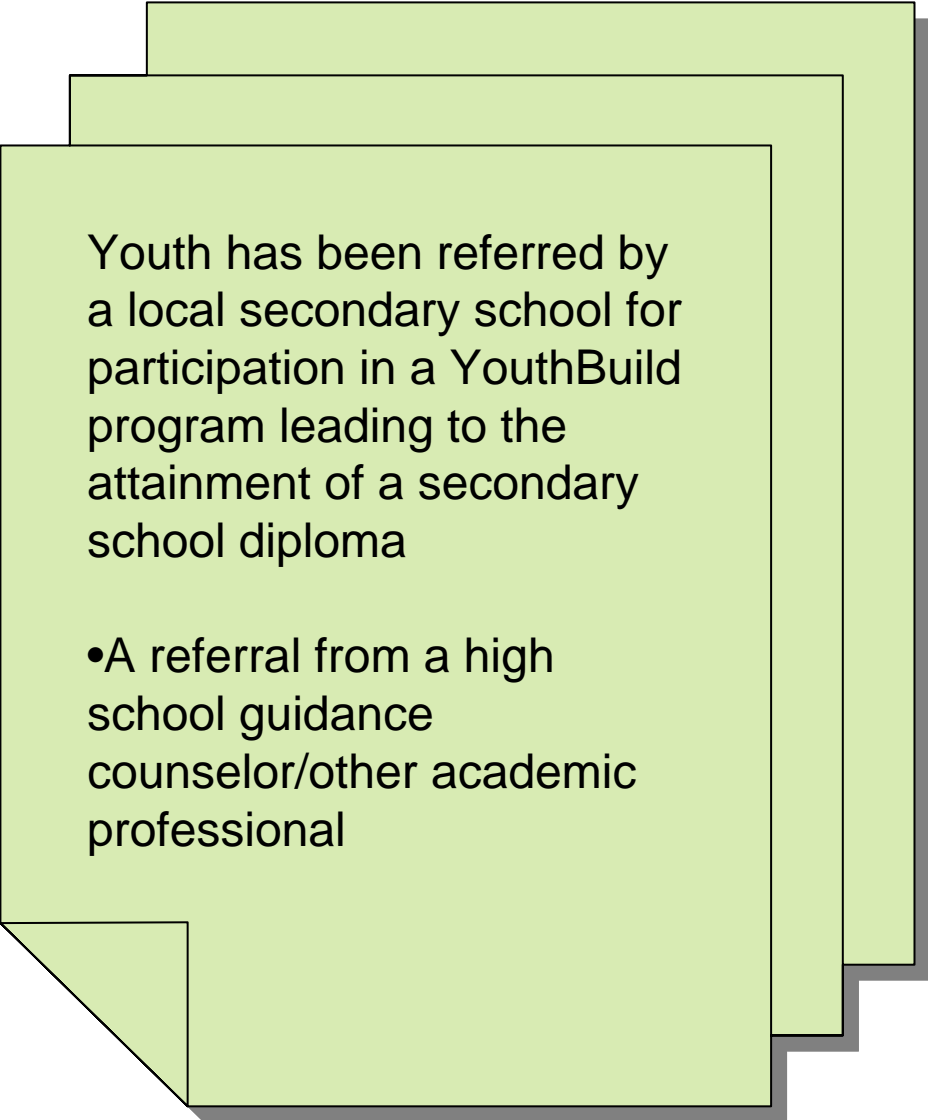
**Section 1, Eligibility:** Youth is enrolled under the 25% exemption: Basic skills deficient. Place documentation in folder (include test results and copy of diploma/GED).

*Verify youth has a diploma/GED or other State-recognized equivalent and is basic skills deficient*

- Youth tests at or below the 8th grade level on a generally accepted standardized academic test (regardless of the attainment of a diploma/GED)
- Testing indicates youth is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job



## **Section 1, Eligibility:** Youth is enrolled under the 25% exemption: Basic skills deficient, No HSD.



Youth has been referred by a local secondary school for participation in a YouthBuild program leading to the attainment of a secondary school diploma

- A referral from a high school guidance counselor/other academic professional

## Section 1, Eligibility: Current foster youth or youth aging out of foster care

Verify youth is in the foster care system or aging out of the foster care system

- Court contact/documentation
- Social Services contact/documentation
- Medical Card
- Verification of payment made on behalf of the youth

## **Section 1, Eligibility:** Youth is an individual with a disability (includes learning disabilities)

Verify disability (an individual with any disability as defined in Section 3 of the Americans with Disabilities Act of 1990 (42U.S.C. 12102))

- Social Security Administration Disability Records statement
- Academic records
- Medical records
- Physician statement

## Section 1, Eligibility: Youth Offender

Verify youth is an offender  
or involved with the criminal  
justice system

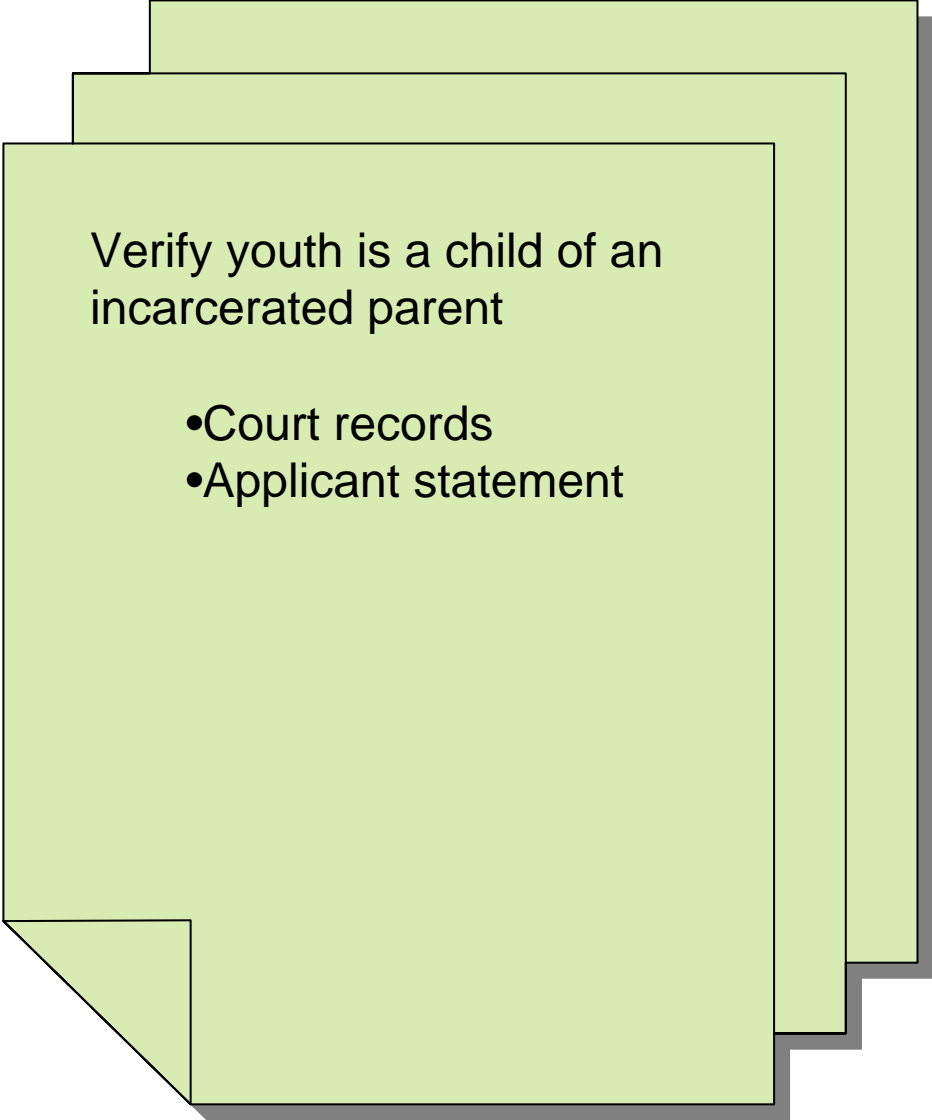
- Court documentation
- Resident of a  
detention facility, group  
home, or restricted  
state run facility
- Letter of  
parole/probation officer
- Police records
- Applicant statement

## Section 1, Eligibility: Migrant youth

Verify youth is a migrant youth worker or part of a family of migrant workers

- Employer statement
- Wage records/family wage records
- Work permits

## Section 1, Eligibility: Youth is a child of an incarcerated parent



Verify youth is a child of an incarcerated parent

- Court records
- Applicant statement

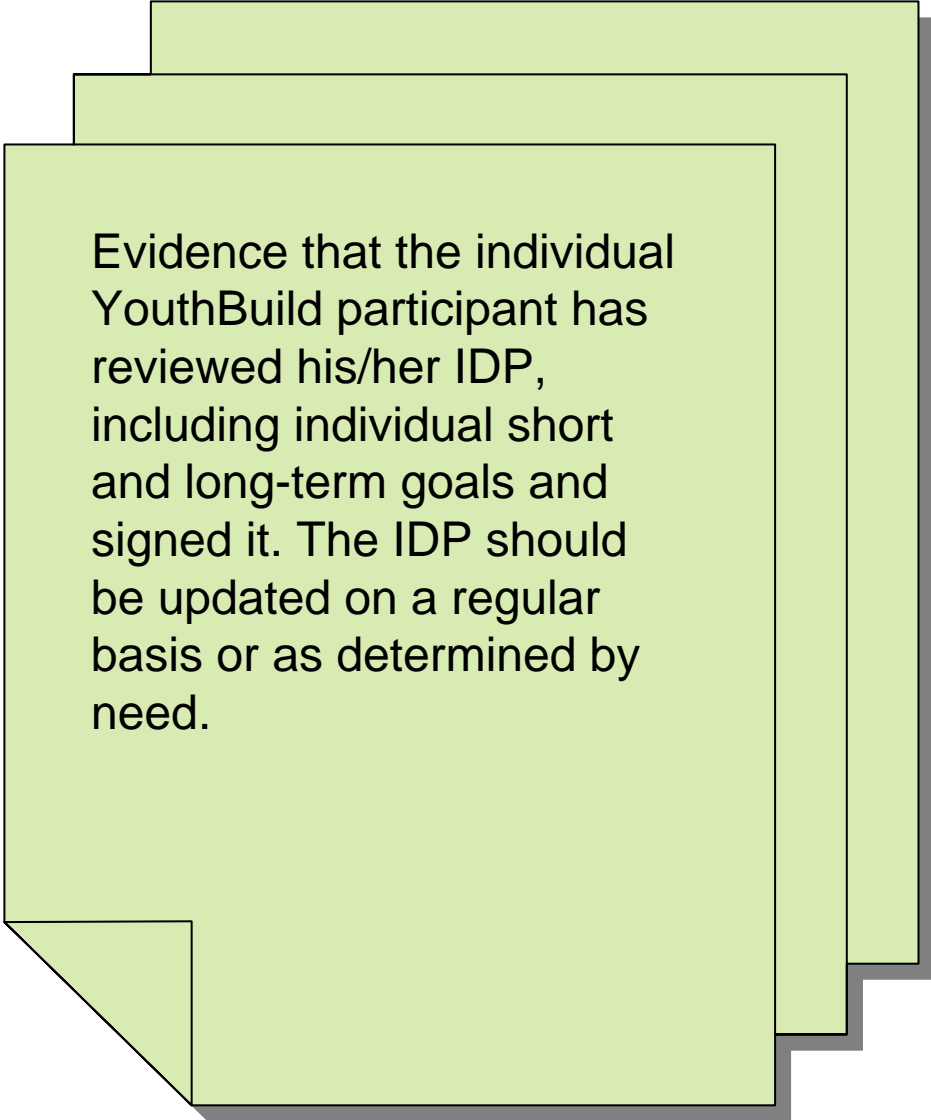
## **Section Two**

### ***YouthBuild In Program Guidelines and Source Documentation***



**Checklist**

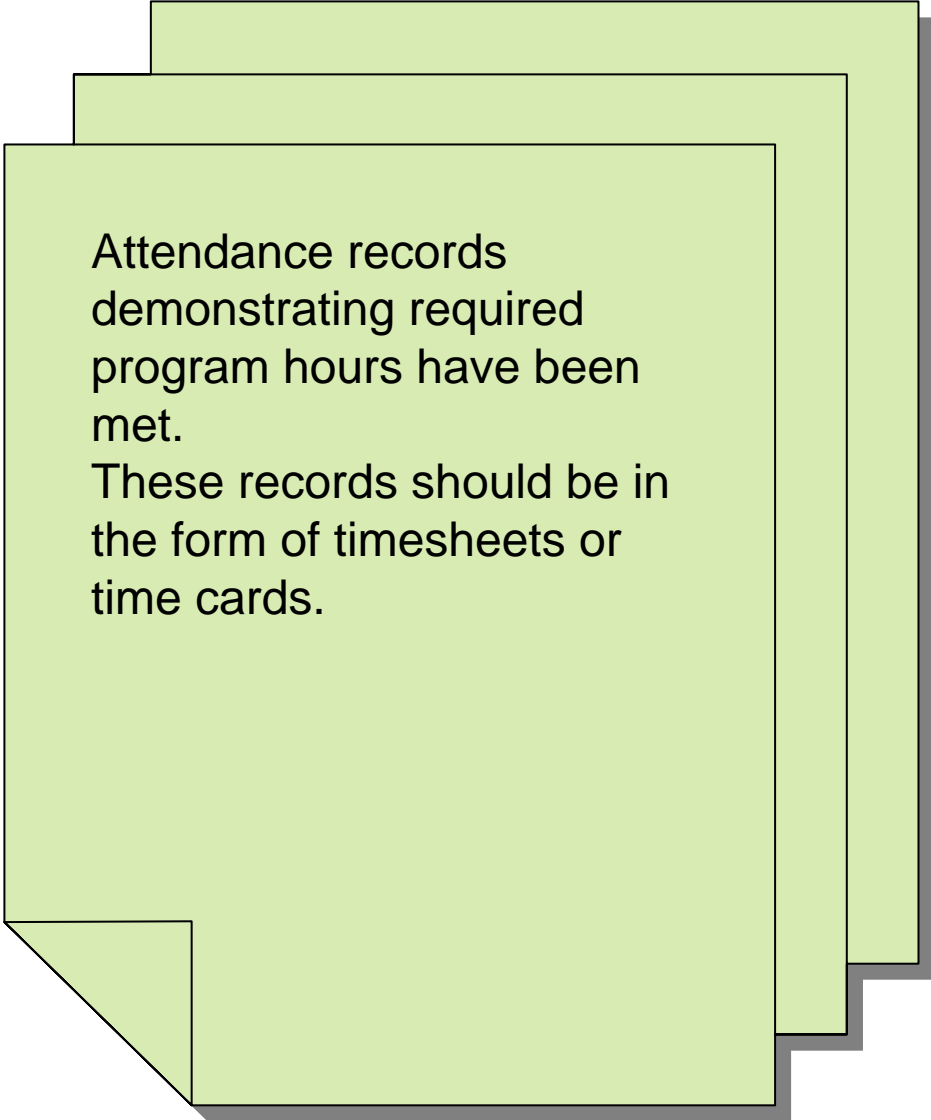
## Section 2, In Program Work: IDP, Employment Plan, etc.



Evidence that the individual YouthBuild participant has reviewed his/her IDP, including individual short and long-term goals and signed it. The IDP should be updated on a regular basis or as determined by need.



## Section 2, In Program Work: Attendance Records



Attendance records demonstrating required program hours have been met.

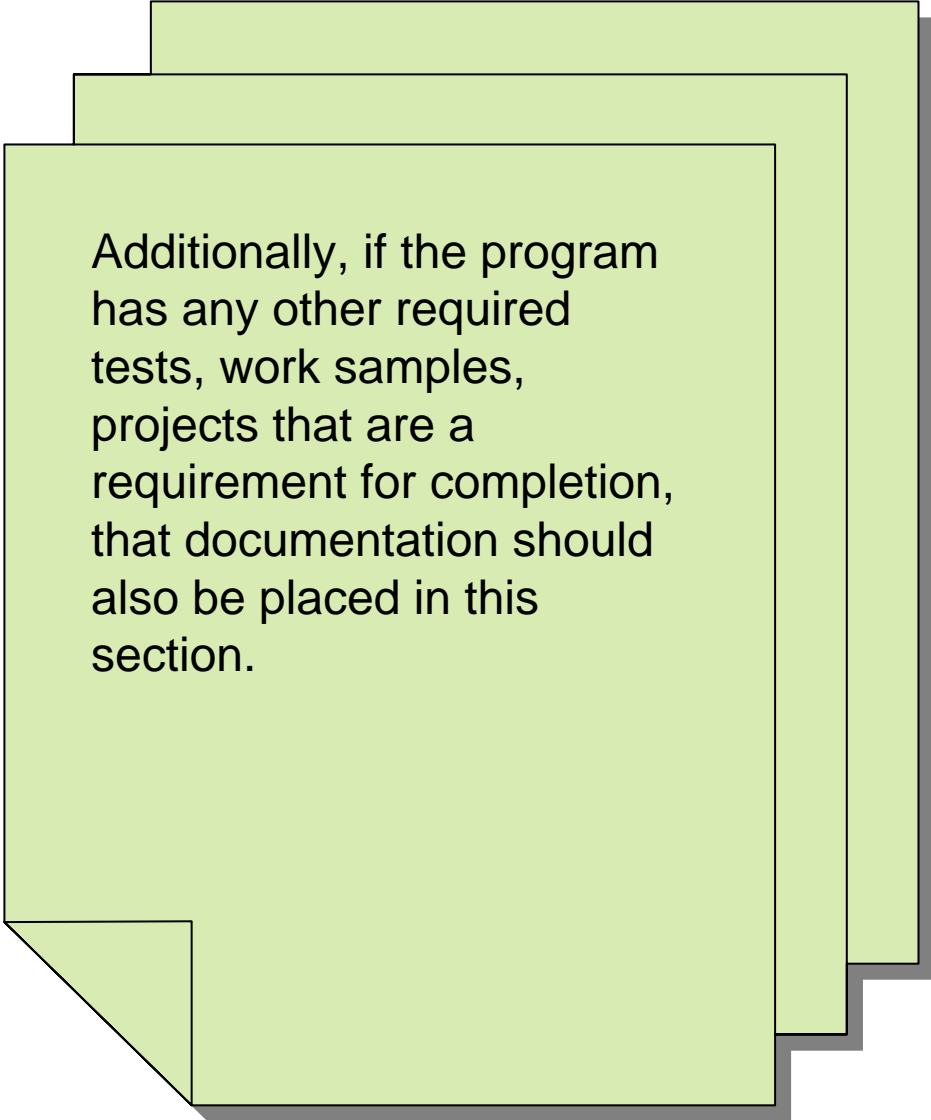
These records should be in the form of timesheets or time cards.

## Section 2, In Program Work: Literacy gains, and sampling of participant work, or portfolio.

This would be the section to place the participants:

- Portfolio, a sampling of participant work, critical thinking
- Literacy gains documentation, i,.e., Tabe tests, Casas. Keep in mind entrance, interim and exit tests must be the same type of test.

## Section 2, In Program Work: Other program course work requirements



Additionally, if the program has any other required tests, work samples, projects that are a requirement for completion, that documentation should also be placed in this section.

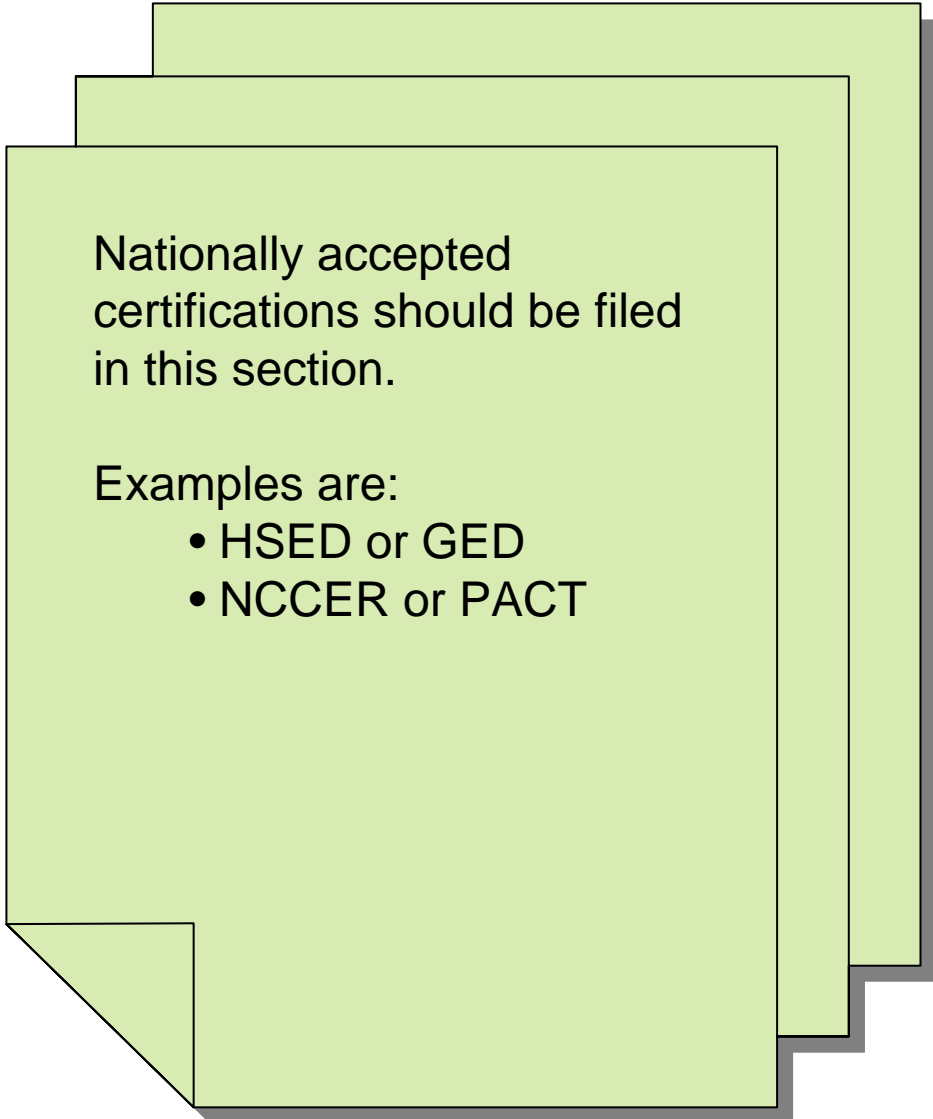
## **Section Three**

### ***YouthBuild Placement Guidelines and Source Documentation***



**Checklist**

## Section 3, Placement and Certifications: Copies of Certifications



Nationally accepted  
certifications should be filed  
in this section.

Examples are:

- HSED or GED
- NCCER or PACT

## Section 3, Placement and Certifications: Other valuable certifications.

Certification which may be valuable to participants but are not nationally recognized by DOL are:

- OSHA 10 hour
- CPR

## Section 3, Placement and Certifications: Other documentation or course work

Copies of the following documents should also be kept in a participant folder:

- Resume, updates to the resume should become part of retention services;
- Internships forms and evaluations;
- Raises, promotions, recognitions, grades, and other certificates of completion.

## Section 3, Placement and Certifications: Placement follow up entries.

*Post-placement follow-up entries should be made at regular intervals, at least quarterly, to document employer or school placement.*

- Letters from employers or evaluations from employer
- Grade Documentation/GPA from a community or four year college
- Letters of dismissal, or suspension.



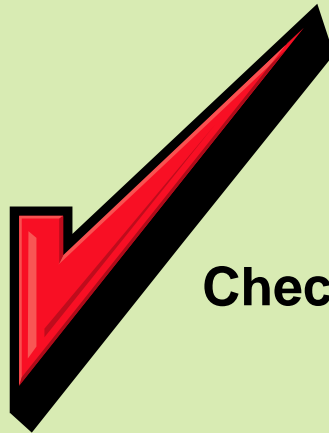
## Section 3, Placement and Certifications:

This would also be the section to place:

- Paystubs, 1<sup>st</sup> quarter after completion, 2<sup>nd</sup> quarter, and 3<sup>rd</sup> quarter
- Class schedule, or bursar receipt for 1st quarter after completion, 2nd quarter, and 3rd quarter.

## **Section Four**

### ***YouthBuild Case Notes Guidelines and Source Documentation***



**Checklist**

## Section 4, Case Notes: Security of participant folders.

- All hard copy YouthBuild case files should be kept secured in a file cabinet and all electronically stored documents should be kept in a password-protected database with back-up discs generated regularly.



## Section 4, Case Notes: Case Managers should keep updated participant contact information in this section.

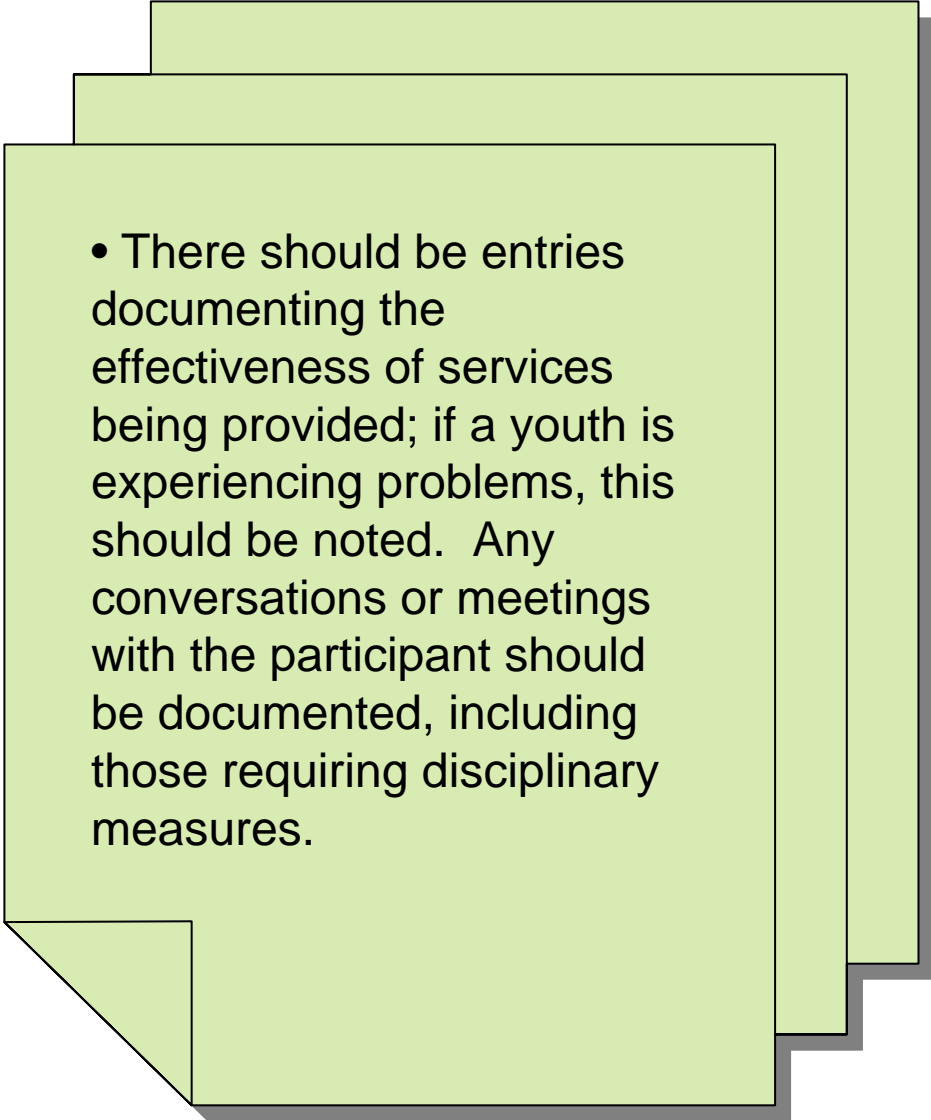
The following are some examples of contact information for case managers to collect and continually update:

- Telephone numbers, home and cell for participant, parent or guardian, and contact for emergency;
- Participant and guardian/next of kin mailing address.
- Email addresses for participant, parent/guardian, or emergency contact.

## Section 4, Case Notes: Documentation

- Case file documentation should be complete and comprehensive and written in blue/black ink or computer-generated. Each page should clearly identify the enrolled youth.
- Each entry made by YouthBuild staff should be signed and dated. If stored electronically, the YouthBuild site should ensure the integrity of the documentation.

## Section 4, Case Notes: What to document

- 
- There should be entries documenting the effectiveness of services being provided; if a youth is experiencing problems, this should be noted. Any conversations or meetings with the participant should be documented, including those requiring disciplinary measures.

## Section 4, Case Notes: Referrals

- All referrals to other service providers are documented including follow-up responses (letters from other providers, copies of assessments from other providers, indication of no-shows for a referral, etc.)

# Appendix



## ***YouthBuild Eligibility Guidelines and Source Documentation***

<b>Issue</b>	<b>Criteria</b>	<b>Most Common Documentation (Examples)</b>	<b>Suggested Action</b>
Age	Youth is between the ages of 16 and 24	Driver's license or Government Identification Card School Records/School Identification Card Birth Certificate Hospital Birth Record U.S. Passport Naturalization Certificate	Verify the youth (at the time of enrollment) meets the age criteria; document in folder
Selective Service	Males between the ages of 18-24 must be registered for selective service.	Selective Service Letter/Registration Letter DD-214 Report of Transfer or Discharge from Military Service Board/State Registration Stamped Post Office Receipt of Registration <a href="http://www.sss.gov">Internet verification/registration (www.sss.gov)</a> Telephone Verification: (847-688-6888)	Place documentation in folder.

Issue	Criteria	Most Common Documentation (Examples)	Suggested Action
Low Income	<p>Verify youth meets low-income guidelines (as referenced in 42 U.S.C. 1437a (b) through applicable income source.</p> <p>(*See below)</p>	<p>Income levels can be established through information contained within the following documents:</p> <p>Pay Stubs</p> <p>Bank statement (direct deposit)</p> <p>Employer statement/contact</p> <p>Parents tax return if under 18</p> <p>Tax Return if over 18 or emancipated</p> <p>Public assistance records/receipt (TANF/Food Stamps)</p> <p>Documentation from Social Security Medical card</p> <p>Refugee Assistance records</p> <p>Public Housing Authority</p> <p>Written statement from an individual providing temporary residence or a shelter (homelessness/runaway)</p> <p>Court documentation/contact/verification of payment made on behalf of youth (supported foster child/court supported)</p>	Place documentation in folder.

Issue	Criteria	Most Common Documentation (Examples)	Suggested Action
School Drop Out	Verify youth is no longer attending school.	<p>Letter/documentation from the school stating the youth has dropped out</p> <p>School attendance record</p> <p>Applicant statement</p>	Place documentation in the folder.
Youth is enrolled under the 25% exemption: Basic skills deficient	Verify youth has a diploma/GED or other State-recognized equivalent and is basic skills deficient	<p>Youth tests at or below the 8<sup>th</sup> grade level on a generally accepted standardized academic test (regardless of the attainment of a diploma/GED)</p> <p>Testing indicates youth is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job</p>	Place documentation in folder (include test results and copy of diploma/GED).
Youth is enrolled under the 25% exemption: referred by a local secondary school	Youth has been referred by a local secondary school for participation in a YouthBuild program leading to the attainment of a secondary school diploma	A referral from a high school guidance counselor/other academic professional	Place documentation in folder: referral letter(s).

Issue	Criteria	Most Common Documentation (Examples)	Suggested Action
Current foster youth or youth aging out of foster care	Verify youth is in the foster care system or aging out of the foster care system	Court contact/documentation Social Services contact/documentation Medical Card Verification of payment made on behalf of the youth	Place documentation in folder.
Youth is an individual with a disability (includes learning disabilities)	Verify disability (an individual with any disability as defined in Section 3 of the Americans with Disabilities Act of 1990 (42U.S.C. 12102))	Social Security Administration Disability Records statement Academic records Medical records Physician statement	Place documentation in folder.
Youth Offender	Verify youth is an offender or involved with the criminal justice system	Court documentation Resident of a detention facility, group home, or restricted state run facility Letter of parole/probation officer Police records Applicant statement	Place documentation in folder.
Migrant youth	Verify youth is a migrant youth worker or part of a family of migrant workers	Employer statement Wage records/family wage records Work permits	Place documentation in folder.
Youth is a child of an incarcerated parent	Verify youth is a child of an incarcerated parent	Court records Applicant statement	Place documentation in folder.

## Eligibility for Housing Built/Renovated through a YouthBuild Program

Issue	Criteria	Most Common Documentation (Examples)	Suggested Action
Family Seeking Housing Completed by YouthBuild Program	Verify family meets the definition of “low-income” and/or homeless	<ul style="list-style-type: none"><li>•Documentation of family income (see below for additional information) *</li><li>•Written statement from an individual providing temporary residence or a shelter</li></ul>	Retain documentation

## \*YouthBuild Income Eligibility Criteria

An individual may participate in a YouthBuild program only if such individual is:

- Between the ages of 16 and 24 on the date of enrollment; and
- A member of a disadvantaged youth population such as a member of a low-income family, a youth in foster care (including youth aging out of foster care), a youth offender, a youth who is an individual with a disability, a child of an incarcerated parent, or a migrant youth; and
- A school dropout. Up to (but not more than) 25 percent of the participants in the program may be youth who are not a school dropout or are not a member of a disadvantaged population based on the criteria above but are: 1) Basic skills deficient, despite attainment of a secondary school diploma, General Education Development (GED) credential, or other state-recognized equivalent (including recognized alternative standards for individuals with disabilities); or 2) Have been referred by a local secondary school for participation in a YouthBuild program leading to the attainment of a secondary school diploma.

Low Income Family: The term “low-income families” means those families whose incomes do not exceed 80 per centum of the median income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80 per centum of the median for the area on the basis of the Secretary findings that such variations are necessary because of prevailing levels of construction costs or unusually high or low family incomes.

HUD Website link for FY2008 income limits: <http://www.huduser.org/datasets/il/il08/index.html>

Many eligible youth have difficulty accessing paper records supporting their income eligibility, particularly those who are homeless, in foster care or in the juvenile justice system. However, appropriate documentation is important to avoid the risk of enrolling an ineligible youth which may subsequently result in disallowed costs to the grant.

In situations where a youth is not able to provide proof of family income (i.e. homeless, living in a shelter, living with a friend and no contact with family members), “self-attestation”, can be utilized as a means to document low-income status. The young person can prepare a statement that documents their current living situation and offer evidence of any personal earnings (i.e. a part-time job). An intake counselor or case manager can witness this document.

Copies of proof of income (tax returns, pay stubs, etc.) should be placed within the participant’s folder. When an individual is uncomfortable providing copies, the intake counselor/case manager can attest to having seen these documents and make a note to that effect within the participant’s folder.

# YouthBuild Eligibility Criteria for Completed Housing

Residential housing units rehabilitated or constructed using YouthBuild grant funds must be used solely: (1) for rental by, or sale to, homeless individuals or low-income families; or (2) for use as transitional or permanent housing, for the purpose of assisting in the movement of homeless individuals to independent living. Individuals and families seeking to qualify for housing completed or rehabilitated by a YouthBuild Program as a low-income family must meet the definition as defined above. The term homeless individual is defined in section 103 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11302) to include: (1) an individual who lacks a fixed, regular, and adequate nighttime residence; and **(2)** an individual who has a primary nighttime residence that is—

- (A)** a supervised publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing for the mentally ill);
- (B)** an institution that provides a temporary residence for individuals intended to be institutionalized; or
- (C)** a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings.

The term transitional housing means housing provided for the purpose of facilitating the movement of homeless individuals to independent living within a reasonable time. The term transitional housing includes housing primarily designed to serve deinstitutionalized homeless individuals and other homeless individuals who are individuals with disabilities or members of families with children.

# DOL Resource Links

- The Core Monitoring Guide is an important part of the Employment and Training Administration's (ETA's) overall strategy to improve grant administration, specifically on-site monitoring of grantees.

<http://www.doleta.gov/regions/reg03/CoreGuide.pdf>



