Attachment

Chapter 4. Part 1: Adult and Dislocated Worker Program Activities

Adult & Dislocated Worker Participant File Monitoring Checklist

|  |  |
| --- | --- |
| Subrecipient Name | Participant Name (First and Last Name) |
| Contract Number | Participant CalJOBS WIOA Application # |
| Type of WIOA Program [ ]  Adult [ ]  Dislocated Worker (DW) | Enrollment Date |
| Reviewed by (First and Last Name)  | Date of File Review | Date of Birth |

**Please indicate (yes, no or n/a) if meeting the criteria**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **MEDICAL INFORMATION** | **Yes** | **No** | **N/A** | **Comments** |
| No medical information is stored in the participant file -including eligibility/program information on disabilities, medical, or mental health information1. May be kept in a separate, secure file or electronically in CalJOBS
 | [ ]  | [ ]  | [ ]  |       |

| **ELIGIBILITY** | **Yes** | **No** | **N/A** | **Comments** |
| --- | --- | --- | --- | --- |
| All information is captured on the WIOA Application and Participation/Enrollment Form in CalJOBS system | [ ]  | [ ]  | [ ]  |       |
| UPAF is signed and dated by the customer | [ ]  | [ ]  | [ ]  |       |
| The latest “Equal Opportunity is the Law” notice and “Complaint & Incident Report Policy” notice have been provided to the customer. (See acknowledgement of customer on UPAF and ensure updated version is used) | [ ]  | [ ]  | [ ]  |       |
| Eligibility Certification & Review Form (ECRF) is completed, signed and dated by the registration staff on or before customer's participation date (ensure updated version is used) | [ ]  | [ ]  | [ ]  |       |
| ECRF is completed, signed and dated by the second reviewer on or before customer's participation date | [ ]  | [ ]  | [ ]  | Date of internal/second reviewer:       |
| If the customer is enrolled 90 days after the first eligibility certification date on the ECRF, eligibility had been re-certified, and a standalone case note with subject line: Recertification was entered into CalJOBS | [ ]  | [ ]  | [ ]  |       |
| If changes are made after the ECRF is signed by both the preparer and the reviewers, it is supported with a standalone case note with Subject line: ECRF Change into CalJOBS | [ ]  | [ ]  | [ ]  |       |
| The Multimedia and Communication Release Form (MCRF) is signed by the customer and witness (subrecipient staff member) and kept in the participant file | [ ]  | [ ]  | [ ]  |       |
| A standalone case note is entered into CalJOBS with Subject line: MCRF, noting weather consent or refusal of release | [ ]  | [ ]  | [ ]  |       |
| The following eligibility documents or telephone verification are in file (No applicant statement is acceptable): |
| Right-to-Work (refer to updated I-9 form) | [ ]  | [ ]  | [ ]  |       |
| Age 18 or older for WIOA  | [ ]  | [ ]  | [ ]  |       |
| Selective service registration or documentation for selective service exemption (if applicable) | [ ]  | [ ]  | [ ]  |       |
| Documentation on priority of service for veterans or covered spouse (if applicable) | [ ]  | [ ]  | [ ]  |       |
| Applicant Statement and Telephone Verification is used correctly | [ ]  | [ ]  | [ ]  |       |
| At least one barrier has verifying documentation for WIOA eligibility | [ ]  | [ ]  | [ ]  |       |
| Is the Participant eligible as a WIOA Adult? [ ]  Yes [ ]  No (If not, skip this section) |
| Low Income Determination:* + - 1. Receives, or in the past six months has received, or is a member of a family that is receiving or in the past six months has received, assistance through public assistance.
			2. Receives an income or is a member of a family receiving an income that, in relation to family size, is not in excess of the current combined U.S. Department of Labor 70 Percent Lower Living Standard (LLS) Income Level
			3. Is an individual with a disability whose own income does not exceed the requirement but is a member of a family who does.
 | [ ]  | [ ]  | [ ]  | Indicate which criteria is met:       |
| Income eligibility verification is computed for all Adult customers and is present in the file along with proof of family size. If employed, the individual must meet the 200% self-sufficiency standard | [ ]  | [ ]  | [ ]  |       |
| Priority of service eligibility was determined. Supporting documentation is kept in the participant file | [ ]  | [ ]  | [ ]  |       |
| A case note attached to the WIOA application with Subject line: 201 Certification is entered into CalJOBS with the following:Income eligibility; and Priority of service determination. |  |  |  |  |
| Is the Participant eligible as a WIOA Dislocated Worker? [ ]  Yes [ ]  No (If not, skip this section) |
| Meets one of the following Dislocated Worker Status:1. The individual:
* is terminated or laid off, or has received a notice of termination or layoff, from employment;
* is eligible for or has exhausted entitlement to unemployment compensation, or is employed for a duration sufficient to demonstrate attachment to the workforce, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a state’s Unemployment Insurance law; and
* is unlikely to return to a previous industry or occupation.
1. The individual:
* is terminated or laid off, or has received a notice of termination or layoff, from employment as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise;
* is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days; or
* for purposes of eligibility or to receive services other than training services, career services, or support services, is employed at a facility at which the employer has made a general announcement that such facility will close.
1. The individual was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters. This includes individuals working as independent contractors or consultants but not technically employees of a firm.
2. The individual is a displaced homemaker.
3. Is the spouse of a member of the Armed Forces on active duty, and who has experienced a loss of employment as a direct result of relocation to accommodate a permanent change in duty station of such members; or is the spouse of a member of the Armed Forces on active duty and who is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.
4. A separated service member with a discharge other than dishonorable, who has received a notice of separation from the Department of Defense and is unlikely to return to a previous industry or occupation.
* UI-Eligible for or Exhausted
* Not UI Eligible, but Sufficient Employment Duration
 | [ ]  | [ ]  | [ ]  | Indicate which DW status is met:       |
| A case note attached to the WIOA application with Subject line: 501 Certification is entered into CalJOBS with the following:Proof of termination or lay off Proof of Unemployment Insurance Claim; andProof of meeting unlikely to return to their former industry or occupation. | [ ]  | [ ]  | [ ]  |       |
| Documentation is kept in the file for the following:Proof of termination or lay off;Proof of Unemployment Insurance Claim; and Proof of meeting unlikely to return to their former industry or occupation | [ ]  | [ ]  | [ ]  |       |

| **Objective Assessment /Individual Employment Plan (IEP)**  | **Yes** | **No** | **N/A** | **Comments** |
| --- | --- | --- | --- | --- |
| **Objective Assessment (CalJOBS Data Entry)**1. Objective Assessment established in CalJOBS within 30 Days after enrollment
	1. All sections complete, if applicable
2. CalJOBS Activity Code 203
	1. First service provided
	2. Closed within 30 Days
	3. Case Note that Objective Assessment was completed in CalJOBS
3. Completed prior to receiving supportive services and/or training

No updates after 30 days | [ ]  | [ ]  | [ ]  |       |
| **IEP (CalJOBS Data Entry – Original)**1. ISS/IEP was established in CalJOBS within 30 Days after enrollment
2. CalJOBS Activity Code 205
	1. Opened concurrently or after 203
	2. Closed within 30 days
	3. Case Note that IEP was established in CalJOBS

Completed prior to receiving services | [ ]  | [ ]  | [ ]  |       |
| **IEP (CalJOBS Data Entry – Updates)**1. CalJOBS Activity Code 205
2. Updated within 3-6 months, or sooner if needed

Case Note that IEP was updated in CalJOBS | [ ]  | [ ]  | [ ]  |       |
| **IEP (CalJOBS Data Entry - Closing Goals & Objectives)**Goals/Objectives are closed as successful/unsuccessful prior to program exit | [ ]  | [ ]  | [ ]  |       |

| **CASE MANAGEMENT**  | **Yes** | **No** | **N/A** | **Comments** |
| --- | --- | --- | --- | --- |
| Every case management service has an attached activity code entered in CalJOBS | [ ]  | [ ]  | [ ]  |       |
| Every activity code has an attached case note in CalJOBS | [ ]  | [ ]  | [ ]  |       |
| Case notes coincide with service recorded in CalJOBS. No activity code should be used if there is no reciprocated contact with the customers | [ ]  | [ ]  | [ ]  |       |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **TRAINING SERVICES**  | **Yes** | **No** | **N/A** | **Comments** |
| Is the participant enrolled in training? [ ]  Yes [ ]  No (If not, skip this section). |
| Appropriate training activity code is recorded in CalJOBS; Individual Training Account (ITA) code 300, On-the Job Training (OJT) code 301, Customized Training (CT) code 304, Apprenticeship Training Account (ATA) code 325, or other training activity codes used by SDWP for a special project | [ ]  | [ ]  | [ ]  |       |
| A Career Assessment and the IEP in CalJOBS supports training as an option | [ ]  | [ ]  | [ ]  |       |
| Original training documents for ITA, OJT, or ATA is kept in the participants file | [ ]  | [ ]  | [ ]  |       |
| For those currently in training, monthly follow-ups are being provided and documented in CalJOBS as an activity code with an attached case note.  | [ ]  | [ ]  | [ ]  |       |
| The attached case note for the training activity code includes the following: program information;training start date; and1. staff title and name who verified an attendance.
 | [ ]  | [ ]  | [ ]  |       |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **MEASURABLE SKILLS GAIN**  | **Yes** | **No** | **N/A** | **Comments** |
| Was the customer actively engaged in education or training? (applicable codes can be found in the Activity and Codes Performance – EDD Draft located here: H:\Common Files\AJCC Network\WIOA Performance Info) [ ]  Yes [ ]  No (If not, skip this section). |
| A Measurable Skills Gain (MSG) is entered in CalJOBS per program year that the customer is active in the education and/or training activity in the MSG section | [ ]  | [ ]  | [ ]  |       |
| Documentation must include one of the following that is kept in the customer file. One (1) document is required per program year the customer is active in the education and/or training activityProgress report from the training provider; orChapter 4, Part 1 Attachment - Progress Report Form; orTelephone Verification.  | [ ]  | [ ]  | [ ]  |       |

| **Supportive Services**  | **Yes** | **No** | **N/A** | **Comments** |
| --- | --- | --- | --- | --- |
| Has the customer received supportive services? [ ]  Yes [ ]  No (If not, skip this section) |
| If supportive services are provided, the Objective Assessment in CalJOBS identifies the barrier for the types of supportive services | [ ]  | [ ]  | [ ]  |       |
| Supportive services are only being used for the following items:Transportation Assistance;Career Wardrobe;* Tools/Equipment;
* Food;
* Licence/Certification Fees; and/or
* Text Books.
 | [ ]  | [ ]  | [ ]  |       |
| Supportive Services provided do not exceed the following depending on the level of service the customer is engaged in:Job search supportive service costs do not exceed $300;WIOA funded training supportive services costs do not exceed $700; orNon-WIOA funded training supportive services costs do not exceed $1,000. | [ ]  | [ ]  | [ ]  |       |
| Referral for Supportive Service: The customer is referred for supportive services by the case manager. Supportive service activity code is entered along with a case note which includes why the customer is eligible for referral to supportive services and that they have exhausted all other resources | [ ]  | [ ]  | [ ]  |       |
| Distribution of Supportive Services: Supportive service activity is closed at point of supportive service appointment and a case note is attached to include the type of supportive service, the amount provided and the balance remaining | [ ]  | [ ]  | [ ]  |       |
| The participant’s file contains, at a minimum, the following documents:1. Exhibit – Supportive Service Log & Reciept Form;
2. Copy of check, gift card or other type of card with serial number visible, if applicable
3. Itemized receipt(s) with date, purchase detail, and total
 | [ ]  | [ ]  | [ ]  |       |
| If the customer has previously received supportive services and is returning for additional services, ensure all receipts are returned and validated | [ ]  | [ ]  | [ ]  |       |
| If the customer fails to return receipts within thirty days after supportive services are provided the subrecipient staff must: 1. A case note is included in CalJOBS that the participant was contacted requesting the missing reeipts and that no further supportive services will be processed for the customer until the receipts are received in full; and
2. If receipts were not provided, a follow-up letter was sent within five (5) business days to the participant requesting the receipts and notifying the customer that no further supportive services will be provided until all receipts are received. A copy of this letter must be kept in the participant’s file.
 | [ ]  | [ ]  | [ ]  |       |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **CLOSURE (SOFT EXIT)** | **Yes** | **No** | **N/A** | **Comments** |
| If applicable, a closure form has been entered in CalJOBS including a case note indicating reason for exit?  | [ ]  | [ ]  | [ ]  |       |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **OUTCOMES** | **Yes** | **No** | **N/A** | **Comments** |
| Has the participant completed 2nd Quarter follow-up? [ ]  Yes [ ]  No (If not, skip this section) |
| Outcome information is recorded in CalJOBS with the following information: 1. Credential Attainment; and
2. Employment Information.
 | [ ]  | [ ]  | [ ]  |       |
| Outcome is verified:1. Employment: CalJOBS Follow-up forms 1st, 2nd and 4th quarters.
2. Credential: copy of certificate of attainment verifying completion of training. CalJOBS Credential section.
 | [ ]  | [ ]  | [ ]  |       |
| Neutral Exits. Closure form, Outcome form and case note are completed in CalJOBS:1. Institutionalized
2. Health/medical
3. Deceased
4. Reservist called to active duty
 | [ ]  | [ ]  | [ ]  |       |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **FOLLOW-UP (AFTER EXIT)**  | **Yes** | **No** | **N/A** | **Comments** |
| All required quarterly follow-up (1st, 2nd and 4th) are completed in CalJOBS for 1 year after the exit date | [ ]  | [ ]  | [ ]  |       |
| Employment outcome is documented in CalJOBS in a case note attached to the follow-up form for all required quarterly follow-ups  | [ ]  | [ ]  | [ ]  |       |
| If customer could not be contacted, all attempts made are documented in CalJOBS in a case note attached to the follow-up form | [ ]  | [ ]  | [ ]  |       |