Job Training and Economic Development Grant Program (JTED)

Participant File Checklist

Participant Records and Files

Recordkeeping involves storing and organizing documents in participant files. Participant files must be collected to facilitate compliance with the general JTED requirements. Grantees must keep all participants' records for at least three (3) years following the completion, exit, withdrawal, or dismissal from the program. Ensure that participant files are kept in a secure location.

While the JTED Reporting System maintains significant program information, grantees are also being asked to maintain physical or scanned files (i.e. program applications, eligibility documentation, age verification, career assessments, attendance records, certifications/certificates, documentation of employment or placement in secondary/post-secondary education) for a minimum of 3 years.

A participant file system can help grantees locate information quickly during service delivery and monitoring visits. Based on your program design the following criteria may vary.

Section 1: ELIGIBILITY

Eligibility documentation is required and must be maintained in the JTED Reporting System and/or a locked physical file as required by DCEO policy. These documents consist of, but may not be limited to;

- Application
- Photo ID/Birth Certificate/SS Card
- Income Verification
- Selective Service (if applicable)
- Employment Verification
- Residency

Section 2: CAREER PLANNING/ASSESSMENTS

Career Planning is a critical element when working with JTED customers. Documents may include, but not be limited to:

- Needs Assessment
- Basic Skills Form
- Interest and Career Assessments
- Career Plan
- Observation Evaluation (Initial and Post)
- EEO Complaint (copy) given to Customer (signed and note indicating such)
- EEO Complaint in File

Section 3: CLASSROOM TRAINING

Classroom Training information is required. It may include, but not be limited to:

- CRT Orientation
- Financial Aid Award Notification Letter
- List Training Program, Training Program Summary & Training Program Basic Info.
- Individualized Education Program (IEP)
- O-Net Positive Growth
- Career Scope
- Math Testing
- Reading Testing
- Transcripts
- Current Credentials
- Attendance Records
- Credentials Earned from Classroom Training

Section 4: WORKSITE FILES

Worksite files are a requirement. Grantee must have on file a worksite agreement and worksite assessment, as well as a list of participants' placements for each worksite. Document related to worksite placement includes:

- Job Information Sheet
- I-9
- IL Withholding Sheet
- W-4
- Tax Deferred Annuity Form
- Cost Plan
- Worksite Agreement Signed
- Job Description
- Worksite Safety Form
- Customer Safety Form
- Sexual Harassment Training Cert.
- Customer Orientation
- Supervisor Orientation
- Attendance records (timesheets)
- Monitoring Worksite Documentation
- Payroll records

Section 5: PROGRAMMATIC MONITORING CHECKLIST

Programmatic Monitoring Checklist

- Signed Participant Application
- Documents used to determine eligibility.
- Needs Assessment
- Comprehensive Assessment
- Barrier Reduction Policy (if applicable)
- Supportive Services Policy
- Participant Career Plan / IEP – Evidence of regular review and updates when needed.
- Evidence that participant is attending training program
- Credentials Earned
- Supportive Services documentation
- Reporting Requirements (if any per the grant agreement)
- Copy of Case Notes entered in workNet every 30 days while enrolled in program. During follow-up every 30 days for the first 3 months then quarterly. Documentation of completion status and verification of employment or placed in secondary/post- secondary education.

Section 6: FISCAL MONITORING CHECKLIST

Fiscal Monitoring Checklist

Disbursements

- Cash Disbursements Register for the review period in Excel format. This document should contain information on the specific account codes from which the disbursement was paid. This document will be utilized to sample cash disbursements.
- Chart of Accounts used during the review period
- Fiscal Procedures Related to Disbursements

Note*: The selected disbursements sample (including copies of the front and back of cancelled checks) will need to be made available immediately after the entrance conference.*

Cost Allocation

- Copy of current cost allocation plan
- Copy of cost allocations at month end for the following months: {Month/Year and Month/Year}.

Payroll

- List of employees throughout the review period (this list will be used to select the employees for the Payroll/Personnel Analysis)
- Personnel Policies and Procedures
- Time allocation study, if applicable

The following Payroll related items must be available when the monitors arrive for on-site review

- Time and attendance records for selected sample
- Payroll registers for selected sample
- Payroll tax payment documentation (such as Form 941 and related payment receipt) for selected sample
  - Wage authorization documentation for selected sample
- Job descriptions for staff selected in sample
- W-4s for selected sample

Fringe Benefits

- Accrued Leave (Cash) Account Reconciliation, (if applicable), for the quarters ending {Month/Year and Month/Year}
- Support for Accrued Leave Funds, if applicable

Audit Resolution

- Copy of most current Single Audit

- Status/Resolutions of prior year monitoring findings and management recommendations
- Status/Resolutions of prior year audit findings