Family and Youth Services Bureau

Onsite Review Protocol

Runaway and Homeless Youth Programs

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Family and Youth Services Bureau

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I. INTRODUCTION

I. INTRODUCTION

A. Purpose of This Manual

The Family and Youth Services Bureau is committed to providing the highest quality care to the youth served by its Runaway and Homeless Youth (RHY) programs. To ensure that services are meeting the needs of these vulnerable young people, grantees undergo periodic onsite reviews and evaluations. This manual lays out the review process. It establishes the general governing principles and the uniform Federal requirements for conducting the reviews and reporting the results.

This publication also provides instructional materials that promote consistent practices by all onsite review teams. Consistent practices and criteria are important for making fair and reliable determinations of a grantee's compliance with Federal grant requirements.

It also offers suggestions on how to prepare for and conduct each phase of the review and how to report the results in a way that accurately reflects the findings.

This manual is intended to be used for all RHY programs funded by the Family and Youth Services Bureau, including:

- Basic Centers
- Transitional Living Programs
- Maternity Group Homes
- Street Outreach Programs

It also provides specific guidance regarding four categories of optional services for Basic Centers, namely:

- Street-based Services
- Home-based Services for Youth at Risk of Separation from Their Families
- Drug Abuse Prevention and Treatment
- Testing for Sexually Transmitted Diseases

B. Overview of the Review Process

Purpose of Onsite Reviews

According to Section 386 of the Runaway and Homeless Youth Act, onsite reviews are conducted to ensure:

1. **Compliance with Grant Requirements** - determining whether Federal grants are being used for the purposes for which they are made.
2. **Program Evaluation** - collecting additional information on the status, activities, and accomplishment of grantees for the biennial reports that the Secretary of the Department of Health and Human Services is required to submit to Congress.
3. **Assistance to Grantees** - providing information and assistance to grantees to enable them to improve RHY facilities, projects, and activities.

Review Team Composition

Review teams will consist of:

- A **Runaway and Homeless Youth Specialist**, who coordinates activities before, during, and after the onsite review.
- A **Peer Monitor** appointed by the Family and Youth Services Bureau, who assists the Runaway and Homeless Youth Specialist and participates in the site visit.
- The **Runaway and Homeless Youth Team Leader**, who will be available for consultation either onsite or by phone.

The Runway and Homeless Youth Specialist is the leader of the onsite team. The Peer Monitor assists by drawing on his or her professional experience to offer insight into the practical issues involved in managing an RHY program. Although only Federal staff can determine whether a grantee is in compliance with the approved grant, a Peer Monitor can provide crucial advice and assistance to enable the Federal officials to draw such a conclusion. At the same time, both the Federal staff and the Peer Monitor can and should provide information and assistance to grantees to enable them to improve RHY facilities, projects, and activities.

Frequency of Reviews

Every grantee receiving a grant award covering 3 or more consecutive fiscal years will be reviewed at least once during the 3-year period.

If, as a result of an onsite review, a grantee is found to be not in substantial compliance with grant requirements, the program may be subject to a follow-up review to determine whether appropriate corrective action has been taken. This type of review is also called a **Validation Review** and is generally done within a year after significant findings to focus on the non-compliance issues listed in the report. This review may or may not be performed with a peer monitor.

Any grantee may be subject to an onsite review if the Family and Youth Services Bureau receives a credible allegation either of conditions that could jeopardize the health, safety, and well-being of residents or of serious financial irregularities.

Many RHY grantees receive more than one grant from the Family and Youth Services Bureau. In that case, a single onsite review will encompass all such grants.

Assessment of Substantial Compliance

Based on the onsite review, the Runaway and Homeless Youth Specialist, in consultation with senior officials of the Family and Youth Services Bureau, will determine whether the grantee is in substantial compliance with the approved grant.

To be in <u>substantial compliance</u>, a grantee does not necessarily have to fulfill each and every condition or requirement described in its approved grant. Overall, however, a grantee must be delivering the services as described. If the review team finds that a grantee is not in substantial compliance with any aspect of its program, the grantee will be required to submit a corrective action plan. For minor shortcomings, the Runaway and Homeless Youth Specialist may make

suggestions to promote more effective or efficient operations and to enhance the future development of the grantee's program. However, these suggestions are not binding on the grantee.

A grantee found to be not in substantial compliance is not providing key services as described in the grant or is not reaching significant numbers or categories of at-risk youth. Organizations can also be considered not in substantial compliance if they are using structures or operational plans that are so flawed that consideration must be given to not renewing grant funding unless these conditions are corrected. In such cases, the grantee may be subject to a follow-up review within a year after the conclusion of the first site visit. If the grantee is still not in substantial compliance at the conclusion of the follow-up review, the situation will be remanded to senior leadership of the Family and Youth Services Bureau for appropriate action.

Criteria

Performance Standards. This protocol is organized along the lines of the *Basic Center Program Performance Standards,* which the Family and Youth Services Bureau established as "minimum standards for its funded basic centers." The performance standards relate to the basic program components enumerated in Section 312 of the Runaway and Homeless Youth Act as reauthorized and as further detailed in Regulations and other guidance from the Bureau governing the implementation of the Act. They address the *methods and processes* by which the needs of runaway and homeless youth and their families are being met, as opposed to the *outcomes* of the services provided.

The protocol is divided into 20 sections. Sixteen sections are based on the performance standards. Four additional sections were added to address the four categories of optional Basic Center services: Street-based Services, Home-based Services for Youth at Risk of Leaving Their Families, Drug Abuse Prevention and Treatment, and Testing for Sexually Transmitted Diseases. The performance standards have also been adapted in this manual for Transitional Living and Maternity Group Home programs.

The Street Outreach Program provides services to youth under circumstances that make a straightforward adaptation of some of the elements of the performance standards impractical. However, the underlying ideas of the standards are germane to street outreach programs, and many of them can be easily applied in the case of services provided to street youth who voluntarily accept them.

Positive Youth Development. Another important framework for evaluating the performance of RHY programs is the extent to which they have adopted the principles of Positive Youth Development. This framework emphasizes:

- **healthy messages** to adolescents about their bodies, behaviors, and interaction
- **safe and structured places** for teens to study, recreate, and socialize
- strong relationships with **adult role models**
- **skill development** in literacy competence, work readiness, and social skills
- opportunities for youth to **serve others** and build self-esteem

RHY programs that adopt these principles provide the youth they serve with more opportunities for positive use of time, positive self-expression, and civic engagement.

Approved Grant. Although the performance standards and the Positive Youth Development principles are useful as a framework for conducting the onsite review process, grantees should ultimately be judged on whether they are in compliance with the approved grant. By awarding the grant, the Family and Youth Services Bureau has endorsed it as being consistent with Federal laws and regulations as well as meeting the performance standards and the Positive Youth Development guidelines.

Evidence

Evidence gathered during the onsite review will determine whether a grantee is in compliance with the approved grant. Because of the complex nature of RHY programs, it isn't possible for the team to review every facet of the grantee's operations within the 2- or 3-day site visit. Furthermore, there is no way to guarantee that what is observed or studied during those days is truly representative of what happens every day. There is no such thing as perfect proof of compliance. However, the following are some types of evidence that, when used in appropriate combinations, can provide a reasonable basis for the review team to draw its conclusions.

Types of Evidence

- **Direct Observation.** For some aspects of the grantee's operations, direct observation of conditions or activities is appropriate, especially if the team members observe unacceptable conditions. On the other hand, site visits are announced in advance, which gives grantees time to get ready for the team's visits. Thus, direct observation, like all forms of evidence, is best used in combination with others. Direct observation can include, for example, touring the facilities, making note of whether the conditions are sanitary, fire extinguishers and smoke detectors are installed, wheelchair access is possible, the number of rooms and beds is as described in the approved grant, gender separation of living quarters is assured and maintained, etc. For street outreach programs, direct observation would include accompanying the grantee's staff during an outreach activity or a visit to an outreach site. Direct observation of youth group meetings, skill-building sessions, and staff meetings might also be useful.

- **Interviews.** An "interview" is any discussion or meeting to systematically collect information needed for the review. It could mean asking for a description of program operations, probing an interviewee's sense of priorities, or discussing areas of possible noncompliance. It could be a meeting whose purpose is simply to request copies of plans or documents. Interviews also provide an opportunity for review team members to enhance their understanding of the grantee's program, to ask for greater detail, or to bring up related subjects.

  Interviews with the Executive Director and key program and management staff can help the team to understand many aspects of the grantee's services, organization, staff development, and future plans. Such interviews also provide a basis of comparison between what is described in the approved grant and what is actually happening onsite. If they do not match, this could be a sign that the grantee is not operating in accordance with its approved grant. It is also useful to note whether the results of interviews are consistent among the interviewees. If not, additional digging may be needed to understand why.

  Interviews with youth, service providers, and members of the Board of Directors can also be useful in understanding the grantee's services, organization, staff development, and

future plans. Interviewing young people also ties nicely back to the Positive Youth Development framework.

- **Verification of Written Plans and Documents.** Grantees are required to have written plans for certain aspects of their operations. Other key documents need to be verified as well, such as State and local licenses, letters of commitment, organizational charts, and financial documents. A complete list of such documents is included in section VI of this manual.

  In most cases, the review team simply needs to see the relevant documents and note that they are accurate, complete, and in proper form. It is not the purpose of the onsite review for the review team to judge whether the plans are "good" or even "adequate."

  Asking the grantee for documents beyond those included in section VI may not be appropriate because they are not required by law, regulation, or the approved grant. In some cases, however, reviewing existing written procedures may be helpful in understanding how the grantee carries out its operations.

- **Content Review.** Content review takes document verification one step further. In a content review, the review team compares what the written plans say is supposed to happen with what the team is told happens in interviews or what the team observes firsthand. The idea is to "triangulate," that is, to compare sources with each other to check to see if they are in reasonable agreement.

  It is not the purpose of content reviews to pass judgment on the appropriateness or adequacy of plans or actions other than to determine whether they are consistent with the approved grant. The Runaway and Homeless Youth Specialist or the Peer Monitor may believe that some ways of doing things are more effective, efficient, or appropriate than others. However, that should not affect the review. The review must be conducted only on the basis of what actions the grantee is committed to perform in accordance with the approved grant.

- **Performance Data.** Grantees are required to fully implement the Runaway and Homeless Youth Management Information System (RHYMIS). The methods by which data are collected, maintained, reported, and analyzed must be reviewed to ensure that the data are reliable and that the grantee is using them to evaluate and plan its programs.

- **Verification of Case File System.** Grantees are required to maintain case files for each youth and family served. Therefore, the review team must determine the adequacy of the management and oversight of these files to ensure that they are a reliable tool for planning and delivering appropriate care to those who are served and that they are in fact used for this purpose.

- **Random Case Reviews.** In addition to verifying the case file system, team members also need to determine whether services are being planned and delivered appropriately and are described in the case files. This is done through a review of a random sample of case files. Case files can be reviewed to determine, for example, how intake and case planning is documented; the kinds and frequency of individual, family, group, and peer counseling sessions held; what kind of skill-building services are provided; what kind of recreation and leisure activities are available; etc.

The Runaway and Homeless Youth Specialist and the Peer Monitor should randomly choose 10 case records for review. If a grantee has received two or more grants, then 20 files should be selected. (Note that the grantee's personnel should not provide the sample. Instead, a member of the review team should select them. This removes any doubt that the selected records might have been "cherry picked" to illustrate services compatible with the approved grant.)

In rare cases it may be necessary for the review team to request additional case files to review to more completely analyze a potentially serious matter that is not resolved throughout the review of the initial 10 or 20 files.

Files selected for review should include a mixture of both closed and open cases. Closed cases need to be checked to determine whether the grantee is following up on the aftercare services planned for discharged youth.

The random review of case files may be conducted separately in connection with each of the review areas for which case reviews are required or may be done all together after all aspects of the grantee's services have been separately reviewed. The latter approach is recommended because it appears to be the most efficient and commonly used method, but the choice is entirely up to the review team. Either way, the case file review is used as a test of both the case file system itself and the services. For the convenience of the review team, a checklist is attached to use as a starting point in reviewing the case files.

- **Random Review of Financial Transactions.** Grantees are required to have separate accounts for Federal grant monies. Therefore, the review team should ask to see the grantee's accounting records, including its budget and a listing of all deposits and withdrawals. These documents need to be reviewed to see if monies from Federal grants are clearly distinguished from those from other sources and that funds are spent only for allowed purposes in accordance with the approved grant. To test whether expenditures are legitimate, the team should select a random sample of 5 to 10 line items and then request copies of the supporting documents related to each one. This could include purchase orders, invoices, cancelled checks, etc.

Combining Evidence and Checking the Details

The strongest assurance of compliance is derived from choosing the most compelling forms of evidence, combining them, and examining the details of each to ensure they are compatible with the reality of the grantee's operations. If all forms of evidence lead to a similar conclusion, and if the operational details are consistent, then the review team can have confidence in its conclusions.

It is important to remember that the main purpose of checking the details is to ensure that the grantee's operational practices are consistent with plans and processes described in the approved grant, formal plans, and statements of interviewees. In some cases, the approved grant and formal plans do not specify or define operational details. In these cases, grantees have considerable flexibility in how they operate their programs.

Consider these examples:

- **General Service Delivery.** In an interview, the Executive Director explains what services are provided, how they are delivered, and to whom. The review team asks questions to better understand the Director's priorities and clarify operational details. Using what they have learned, the team asks targeted questions of staff responsible for service delivery, youth, and members of the Board of Directors to see if the details match up. The team then heads to the case files, randomly selecting 5 to determine whether the written documentation reflects what the team learned in interviews and what the team knows of the grant requirements. The team discovers that all the evidence is compatible and concludes that services are being provided as described in the approved grant.

- **Living Conditions.** The review team asks to see State and local licenses, fire inspection certificates, and other pertinent documents. They then take a tour of the facilities to see if they can observe any obvious shortcomings. Finally, they ask staff targeted questions about meals, sleeping quarters, etc. By verifying licenses, directly observing living conditions, and conducting staff interviews, the review team feels confident making a judgment about living conditions.

- **Intake Process.** The team draws sound conclusions about the appropriateness of the intake process by reviewing a copy of the intake plan (such as the plan required for contacting parents or other relatives), asking staff members to explain how they develop individualized case plans, and reviewing a random sample of case files for evidence of parental contact and case planning.

- **Budget and Finance.** The review team verifies whether the grantee is maintaining Federal funds in a separate account and drawing down funds in an appropriate manner for covered services by reviewing accounting records and by sampling financial transactions for accuracy and completeness.

This manual provides suggestions on the kinds of evidence that can be combined to provide a compelling basis for conclusions about compliance with the requirements of the approved grant throughout the onsite review protocol.

Judgment

As noted earlier, there is no perfect proof of compliance or noncompliance. In fact, there may be good reasons the various forms of evidence are not in complete agreement with one another. For example, plans may not have been updated to reflect the grantee's current practices. Or an inexperienced staff member may misunderstand a required process. If discrepancies are uncovered, the review team must make additional inquiries to understand the extent of and possible reasons for the apparent discrepancy. The review team must then make a judgment as to whether the discrepancy is a serious and widespread issue and whether it represents noncompliance.

Given that it is simply not possible to verify every operational process during a 2- to 3-day review, the team must also exercise judgment in determining what areas to scrutinize. Furthermore, while on site, the team may discover potential problems that warrant a more extensive review. The Runaway and Homeless Youth Specialist, along with the Peer Monitor, have discretion to make such decisions on the spot.

C. Preparing for the Review

The onsite reviewers will receive the following information in advance of the site visit:

- Copies of the approved competitive and continuation grant(s)
- Summary information about the grantee's programs, including key grant information, services provided, types of facilities, organizational history, and collaborators
- Other materials at the discretion of the Runaway and Homeless Youth Specialist, such as RHYMIS reports, previous audits, semiannual program and financial status reports, and results of previous onsite reviews
- An Onsite Review Protocol to be used to conduct the review and take notes

Review team members should familiarize themselves with all the materials, and particularly the approved grant(s), before arriving. It would also be helpful if review team members annotated their copies of the approved grant(s) to identify the sections in the grant(s) that correspond to the review topics discussed in the next section of this manual.

The review team should meet, at least by conference call, to go over the approved grants and other appropriate materials before the onsite review begins. One of the purposes of such a meeting is to discuss and clarify key points about what the team will be focusing on during the onsite review. If appropriate, other knowledgeable individuals, such as program staff, may be included in the call.

The Runaway and Homeless Youth Specialist and the Peer Monitor may also arrange a telephone call with the grantee to go over the process of the upcoming onsite review.

D. Conducting the Review

Review Schedule

Most onsite reviews will be completed in 2 ½ business days. Whenever possible the reviews will begin in the early afternoon to accommodate travel considerations and will end in the late morning for those same reasons.

A review may last 3 days if the grantee operates in several different locations or uses other organizations or agencies to carry out required activities (whether as contractors, subgrantees, or on a pro-bono basis).

Review Procedures and Logistics

The review will be conducted in accordance with the procedures in this manual, which contains:

- A suggested schedule (may be adapted to meet team preferences)
- Information already available about the grantee
- A suggested approach for each of the review categories

It is highly recommended that the review team set aside about 10 to 15 minutes after each session to take notes, share ideas, and identify areas for further discussion. Notes can be important reference documents to support a final compliance decision.

Exit Meeting With Grantee

Once the review team has gathered all relevant information at the grantee site(s), team members should meet with the Executive Director and other senior staff and/or members of the Board of Directors to discuss:

- positive aspects of the grantee's operations
- preliminary findings
- preliminary nonbinding suggestions on how to enhance the grantee's operations
- next steps, including, possibly, the need to prepare corrective action plans
- challenges or barriers to effective operations that the grantee wishes to pass along to the review team or to the Family and Youth Services Bureau
- areas in which the grantee could benefit from technical assistance

The exit meeting is meant to be an informal discussion. Formal findings will be drawn up only after discussions and review among review team members and headquarters staff. A final determination of compliance will be provided in a report to the grantee.

E. Results of the Review

Positive Aspects of the Grantee's Program. The review team will identify noteworthy and positive aspects of the grantee's program. These comments do not constitute a determination that program operations are "best practices" to be emulated by others. The point is simply to give positive recognition to the grantee for what it does well.

Findings. The review team will then identify areas where the grantee is not in compliance with the approved grant.

Nonbinding Suggestions. The review team may discuss nonbinding suggestions on ways to improve the grantee's operations. These should be based on the experience of the review team members and on what they have learned during onsite reviews of other grantees. Such nonbinding suggestions must be presented in a manner that makes it clear that these are simply helpful suggestions, and that the grantee has no obligation to implement them.

Corrective Action Plans. Neither the exit meeting nor the formal report of the onsite review will include recommendations. It is the grantee's responsibility to formulate a corrective action plan to address areas of noncompliance. However, the corrective action plan is subject to approval by senior staff at the Family and Youth Services Bureau with advice from the review team.

F. Reporting the Results

Schedule

The final report will be completed within 60 days, including time needed to produce a draft report and for management comments, appropriate revisions, and final approval.

Report Preparation and Approval

The review team's final report, including the positive aspects of the grantee's operation, findings of noncompliance with the terms of one or more of the approved grants, and nonbinding suggestions, will be produced using the template in this manual.

The report should include succinct and compelling rationale for the compliance findings. The narrative should describe the kinds of evidence collected by the review team (e.g., documents reviewed, random case reviews, and interviews with staff, direct observations of conditions or activities), and how the team drew its conclusions.

The report will then be sent to the RHY Team Leader to approve. Once approved, the Runaway and Homeless Youth Specialist will send a copy to the grantee. A copy will also be submitted in electronic format for inclusion in the Family and Youth Services Bureau's Runaway and Homeless Youth electronic management application.

G. Follow-up

As noted earlier, the grantee must provide corrective action plans for any areas of noncompliance identified in the onsite review. Corrective action plans are subject to approval by the RHY Team Leader, with advice from the review team. These plans will also be included with other information about the grantee in the Runaway and Homeless Youth electronic management program. The grantee will report on the progress of the corrective action plan in each scheduled semiannual update to the electronic management program.

Depending on the severity of the noncompliance findings, a grantee may be required to update its profile in the electronic management application quarterly, or even more frequently, if warranted. A grantee with serious noncompliance issues may be subject to additional onsite reviews to determine whether the corrective actions have been taken.

II. SUGGESTED ONSITE SCHEDULES

II. SUGGESTED DAILY SCHEDULES

Every onsite review is unique. Although suggested daily schedules may be helpful, the review will need to be scheduled around the size, scope, and nature of the grantee's programs and the needs and preferences of the review team members.

Two different approaches to scheduling are suggested on the following pages. The first is structured around the 20 review topics. The second is built around the kind of evidence being collected. Both can be tailored to specific grantee conditions and review team needs.

The schedule is also affected by the way the Runaway and Homeless Youth Specialist and the Peer Monitor divide up the work. For example, one could take the lead on all the sections related to direct services, and the other could take the lead on the project planning and administrative sections. Each person would be responsible for interviewing, taking notes, presenting his or her sections of the review during the exit meeting, and writing up his or her parts of the onsite report. However, if such a division of labor is decided upon, it would still be important for both individuals to confer on all aspects of the review, evidence, findings, and nonbinding recommendations. It is the responsibility of the Runaway and Homeless Youth Specialist to decide what will be discussed at the exit conference and what will be in the draft report.

Suggested Schedule
Based on the 20 Sections of the Onsite Protocol

Day 1

8:30 a.m. **ENTRANCE MEETING**

Review team meets with the Executive Director and other senior grantee staff. Runaway and Homeless Youth Specialist explains purpose, schedule, and method of review.

Executive Director makes presentation regarding general operations, including:

- History of the grantee's programs
- Types of services
- Portion of services provided under RHY grants
- Total and Federal funding
- Innovative practices or promising approaches

(NOTE: Allow 10 to 15 minutes for note-taking and preliminary discussion among review team members between sessions)

9:30 Outreach and Community Education

10:30 **BREAK**

10:45 Individual intake and case planning
Temporary shelter and food
Individual, family, group, and peer counseling

12:00 p.m. **LUNCH**

1:00 Skill-building services
Recreation/leisure activities

3:00 **BREAK**

3:15 Aftercare services
Case disposition

4:00 Case file review

5:00 **ADJOURN**

Evening Team adjourns to discuss preliminary findings from Day 1 and to review plan for next day.

Day 2

8:30 a.m.	Review team meets with Executive Director and senior grantee staff to go over schedule for the day.
9:00	Coordination and service linkages Youth participation
10:30	**BREAK**
10:45	Staffing and staff development Ongoing project planning
12:00	**LUNCH**
1:00 p.m.	Budget and finance Board of Directors
3:00	**BREAK**
3:15	Reports and data collection Client files
4:30	Review team meets to discuss major observations made during the review.
5:00	**EXIT MEETING**

Suggested Schedule
Based on the Type of Evidence Being Gathered

ENTRANCE MEETING

Review team meets with the Executive Director and other senior grantee staff. Runaway and Homeless Youth Specialist explains purpose, schedule, and method of review.

Executive Director makes presentation regarding general operations, including:

- History of the grantee's programs
- Types of services
- Portion of services provided under RHY grants
- Total and Federal funding
- Innovative practices or promising approaches

INTERVIEWS

- Executive Director and senior staff
- Counseling and service staff
- Youth
- Members of the Board of Directors
- Administrative staff responsible for:

  RHYMIS
  program planning and evaluation
  personnel and training
  financial management

DOCUMENTS

- Case files
- Budget and accounting records
- Personnel records
- Letters of agreement

FACILITIES TO BE VISITED/INSPECTED

- Temporary shelter
- Maternity group home
- Host family homes
- Emergency shelter
- Apartments

TELEPHONE CONTACTS

- Subgrantees or contractors
- Service referral agencies

EXIT MEETING

III. REVIEW TOPICS AND METHODS

III. Review Topics and Methods

Review Topics

A. Services

Mandatory Services

1. Outreach and community education
2. Individual intake and case planning
3. Safe and appropriate living conditions
    a. Temporary shelter
    b. Transitional living
    c. Emergency shelter
4. Individual, family, group, and peer counseling
5. Skill-building services
6. Recreation/leisure activities
7. Aftercare services
8. Case outcome
9. Street Outreach Services (SOP Grant)
10. Individual client files

B. Project Development

1. Coordination and service linkages
2. Youth participation
3. Staffing and staff development
4. Ongoing project planning

C. Grant Administration

1. Budget and finance
2. Board of Directors
3. Reports and data collection

D. Optional Services for Basic Centers

1. Street-based services
2. Home-based services for youth at risk of separation from their families
3. Drug abuse prevention and treatment
4. Testing for sexually transmitted diseases

A Note About Notes

As you go through the following worksheets, be sure to take notes on all matters that appear relevant to your inquiry. Your notes will help you prepare your onsite report or debrief the grantee or senior staff of the Family and Youth Services Bureau. Your notes, whether typed or handwritten, will also become part of the official file for the onsite review and may be released should a formal challenge be made to the final report.

Your notes should include:

- salient or notable features of the grantee's programs
- positive aspects of the program
- preliminary conclusions about areas of compliance or noncompliance, along with the evidence and rationale for such conclusions
- nonbinding suggestions to improve and enhance program operations
- possible suggestions for the Family and Youth Services Bureau to provide or ensure training or technical assistance

A. SERVICES

A1. OUTREACH AND COMMUNITY EDUCATION

REQUIREMENTS

General

- Outreach activities target specific populations that are appropriate for the project.
- Outreach activities attract an adequate number of individuals who are eligible to participate in the project.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

Outreach plans must attract runaway and homeless youth eligible for services. Where applicable, they will attract members of ethnic, cultural, and racial minorities and persons with limited ability to speak English. The program must also make referrals or otherwise provide for the needs of runaway and homeless youth who are not in the specific population the applicant will serve.

Basic Center Programs

- RHY Act, Sections 312(b)(1) and 312(b)(6)
- Grant announcement, Section V: Evaluation Criteria

Transitional Living Programs

- RHY Act, Section 322(a)(8)
- Grant announcement, Section I, Priority Area 1: Mandatory Services and Section V: Evaluation Criteria

Maternity Group Homes

- RHY Act, Section 322(a)(8)
- Grant announcement, Section I, Priority Area 2: Mandatory Services and Section V: Evaluation Criteria

Street Outreach Programs

- The grant announcement calls for street outreach and education. The outreach must focus on areas where youth congregate during peak hours. See Section I: Program Requirements and Section V: Evaluation Criteria.

EVIDENCE

Below are suggested methods to use in reviewing outreach and community education. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Review copies of outreach plan(s)

☐ Review outreach schedules, logs, or other documentation of planned or completed

☐ Examine any written outreach materials or videos

☐ For Street Outreach programs, accompany staff on the street or in outreach vans

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee's outreach works. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For all programs:

- ☐ How many youth have you contacted?
- ☐ What efforts do you make to reach people of different races, ethnicities, socioeconomic backgrounds, sexual orientations, levels of English proficiency, and physical capabilities?
- ☐ Do you have a hotline, and how does it work?
- ☐ How many outreach staff do you have?
- ☐ How is your outreach staff trained, including safety practices?

If consistent with approved grant, also ask about:

- ☐ Videos or radio spots
- ☐ Presentations/workshops
- ☐ Community events
- ☐ Cooperation with other agencies

For Street Outreach and Street-based programs:

- ☐ How do you identify places where street youth congregate?
- ☐ How do you reach street youth where they congregate during peak hours?
- ☐ How do you ensure the safety of street outreach staff?

NOTES

A2. INDIVIDUAL INTAKE AND CASE PLANNING

REQUIREMENTS

General

- The grantee is open to receive runaway or homeless youth around the clock.
- The grantee's intake process adequately addresses the immediate needs of the youth.
- The intake process assesses the youth's appropriateness for program participation.
- The grantee has a case planning process that involves youth and results in the development of individualized case plans. It includes appropriate short- and long-term goals and periodic assessments.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

Basic Center Programs

- The age of eligibility is younger than 18 for Basic Centers (RHY Act, Section 387(3)).
- The length of service is limited to 21 days for Basic Centers (Grant announcement, Section I: Mandatory Services).
- The grantee must have a plan to contact a youth's parents or legal guardians within 24 to 72 hours ((RHY Act, Section 312(b)(3) and grant announcement, Section V: Evaluation Criteria).
- Case planning must include individual, family, and group counseling (RHY Act, Sections 311(a)(2) and 312(a) and the published grant announcement, Sections 1.1 and 1.2: Mandatory and Optional Services, and Section V: Evaluation Criteria).

Transitional Living and Maternity Group Homes Programs

- The age of eligibility is 16 to 21 (RHY Act, Section 387(3)).
- The length of service is up to 18 months or not exceeding 21 months in exceptional circumstances. Exceptions are made for youth who are younger than age 18 after the end of the 18 months. In that case, service may be extended to age 18, (Grant announcement, Section I: Mandatory Services).
- The grantee must prepare a transitional living plan to help the youth transition to independent living or another appropriate living arrangement (RHY Act, Section 322(a)(6) and grant announcement, Section I, Priority Area 1: Mandatory Services and Section V: Evaluation).

Street Outreach Programs

- The grant announcement requires individual assessments of youth who voluntarily seek or accept services. The assessment pertains to providing necessary survival aid (Grant announcement, Section I: Program Requirements and Section V: Evaluation Criteria).

General

Grantees should use the Positive Youth Development framework, as described in the grant announcement, to provide opportunities for youth to serve others and build self-esteem. This could include helping greet newcomers and introducing them to shelter life.

EVIDENCE

Below are suggested methods to use in reviewing individual intake and case planning. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding their experiences entering the shelter

Interview date:

Number of youth interviewed (do not include their names):

☐ Review a copy of required intake plan

☐ Examine a random sample of 10 case files to see whether and how they document intake and case planning for each client

☐ For Street Outreach programs, review this element only with respect to youth who voluntarily accept services

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee's intake and case planning system works. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For all programs:

- ☐ How are youth assessed for problems/issues, including substance abuse, education, health, and emergency service needs?
- ☐ What kinds of referrals are made to other agencies? How often?
- ☐ How are parents or guardians notified?
- ☐ What kinds of emergency services are provided immediately?
- ☐ How are youth involved in case planning?
- ☐ How many staff members are involved in case planning?
- ☐ What credentials and training do staff members have for intake and case planning?

For Basic Center, Transitional Living, and Maternity Group Home programs:

- ☐ How many youth are found ineligible? Why?
- ☐ How many youth are turned away for lack of space?

For Street Outreach programs:

- ☐ How do street youth receive survival aid and crisis intervention?
- ☐ How are youth who voluntarily accept services assessed for issues pertaining to sexual abuse, sexual exploitation, sexually transmitted diseases (including HIV/AIDS), and domestic violence?

NOTES

A3. SAFE AND APPROPRIATE LIVING CONDITIONS

Introduction

Grantees must provide appropriate shelter and safe living conditions to the youth they serve. Several different types of accommodations may be used, depending on the grant and the kinds of services that the youth need. For example, in some cases, grantees rely on host homes, apartment supervisors, contractors, or subgrantees to house young people. It is the grantee's responsibility to ensure that those living arrangements meet all necessary requirements.

Basic Centers must provide temporary shelter for up to 21 days for youth younger than 18 years of age. The requirements for these shelters are described in subsection A3a below.

Some Basic Centers also use host family homes as a source of temporary shelter. Requirements for these arrangements are described in the section on transitional living accommodations in A3b below.

Transitional Living and Maternity Group Homes provide up to 18 months of services (and in some cases up to 21 months) for homeless youth between the ages of 16 and 21. They may do so in a variety of settings that provide the youth stable, safe living accommodations and services that help them develop the skills necessary to function with greater independence.

Living accommodations can include:

- host family homes
- group homes
- maternity group homes
- agency-owned apartment buildings
- "scattered-site" apartments (rented directly by young people with support from the agency)

The requirements for these shelters are described in Subsection A3b below.

Street Outreach Programs do not necessarily provide shelter for homeless youth, but they must make sure that emergency shelter is available for them. One of their main purposes is to assist youth in leaving the streets and adjusting to safe and appropriate alternative living arrangements. The requirements are described in Subsection A3c below.

A3A. TEMPORARY SHELTER (BASIC CENTERS)

REQUIREMENTS

General

- Grantee maintains residential facilities in compliance with Federal, State, and local licensing requirements.
- Each residential facility accommodates at least 4 and no more than 20 youth.
- Residential facilities are adequately staffed and supervised. Administrative staff and supervisors are on call 24 hours a day to address emergencies.
- The grantee provides nutritious food (at least two meals per day) in sufficient quantities for each youth in care.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

- Safe and appropriate shelter and conditions related to location, maximum capacity, and supervision are required by the RHY Act, Sections 311(2)(B) and 312(b)(2) and in the grant announcement, Section I: Mandatory Services.
- Grantees should use the Positive Youth Development framework, as described in the grant announcement, to provide opportunities for youth to serve others and build self-esteem. This could include helping with food service and shelter upkeep through daily chores.

EVIDENCE

Below are suggested methods to use in reviewing temporary shelter. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding conditions in the shelter and any role they may play in assisting with daily chores such as food preparation, cleaning, etc.

Interview date:

Number of youth interviewed (do not include their names):

☐ Tour the facilities

☐ Examine State and local licenses, fire inspection certificate, safety inspections for boilers and other equipment, as appropriate and similar documents

☐ Make note of any obvious serious safety hazards

☐ Examine menus

☐ Contact subgrantees, contractors, or pro-bono providers that have responsibility for providing temporary shelter

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee provides temporary shelter and food. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For Basic Center programs:

- ☐ What facilities are used to provide temporary shelter and food?
- ☐ Are State and local licenses, fire inspection certificates, and safety inspection documents for boilers or other major equipment, as appropriate, on file?
- ☐ Are contractors or subgrantees used to provide food or shelter? How is oversight of them conducted?
- ☐ What is the maximum and average number of youth who can stay in each facility? (The number of residents must be between 4 and 20.)
- ☐ How many beds are reserved under the RHY grant and how many for other grants?
- ☐ What is the staff/youth ratio?
- ☐ How is 24-hour staffing maintained?
- ☐ Where does the food come from? How many meals are served each day? How are meals prepared? How are the quality and nutritional value of meals guaranteed?
- ☐ Do resident youth participate in food preparation or other household chores?
- ☐ How are the youth receiving education services under the McKinney Vento Act?
- ☐ Are living quarters separated by gender?
- ☐ What are staff credentials and training?
- ☐ How are the special needs of the physically challenged met?

Host Home Models:
Some Basic Centers also use host homes as a source of temporary shelter.

- ☐ How are host home parents recruited and trained?
- ☐ How are host home parents screened?
- ☐ How many host homes are available?
- ☐ Does the number of beds available meet the minimum requirements of 4?
- ☐ Are there contracts in place with the host home parents?
- ☐ How do youth receive nonresidential services while in the host home?
- ☐ What is the staff/host home ratio?
- ☐ Are the host homes licensed?

NOTES

A3B. TRANSITIONAL LIVING ARRANGEMENTS (TRANSITIONAL LIVING AND MATERNITY GROUP HOMES)

REQUIREMENTS

General

- The grantee may use host family homes, group homes, maternity group homes, or supervised apartments to provide the stable, safe living accommodations envisioned by the RHY Act for those youth needing longer term services to facilitate their transition to independence.
- Whichever model is chosen by the grantee, a common set of requirements for living arrangements must be met. The grantee ensures that the host family or other onsite staff or supervisors—hereafter referred to as "onsite supervisors"—maintain facilities in compliance with Federal, State, and local licensing and safety requirements.
- Youth served (and in the case of maternity group homes, their children as well) must receive two nutritious meals per day. Host family homes and maternity group homes must provide nutritious food in sufficient quantities and at appropriate times for youth in their care. They must also monitor the nutritional needs of those in their care. Onsite supervisors of supervised apartments, in concert with grantee staff, monitor nutritional needs and resources of youth in their care.
- Onsite supervisors are screened, trained, and monitored.
- Onsite supervisors provide 24-hour supervision of youth when not attending school or another structured activity.
- Host homes and maternity group homes provide conditions that allow for home study, as applicable. Onsite supervisors of supervised apartments, in concert with grantee staff, monitor study habits and educational progress of youth in their care.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

- Safe and appropriate shelter, maximum capacity, and supervision are required by the RHY Act, Sections 321(a)(1), (2), and (3) and grant announcement, Section I: Mandatory Services.
- Grantees should use the Positive Youth Development framework, as described in the grant announcement, to provide opportunities for youth to serve others and build self-esteem. This could include helping with food service and shelter upkeep through daily chores.

EVIDENCE

Below are suggested methods to use in reviewing transitional living arrangements. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of onsite supervisors

Interview date:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding conditions in the transitional living facilities and any role they play in such things as food preparation, cleaning, and general upkeep

Interview date:

Number of youth interviewed (do not include their names):

☐ Examine State or local licenses or certifications of host families

☐ Examine any written materials, videos, or other materials used for education and training of onsite supervisors

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee provides accommodations. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For Transitional Living and Maternity Group Home programs:

- ☐ What is the staff/youth ratio?
- ☐ Where does the food come from? How many meals are served a day? How are meals prepared? How are the quality and nutritional value of meals guaranteed?
- ☐ Do resident youth participate in food preparation or other household chores?
- ☐ How are onsite supervisors or host families recruited, trained, and supervised?
- ☐ How is transportation arranged between homes, school, medical care, counseling, and other appointments?
- ☐ Are living quarters appropriately separated by gender?
- ☐ How does the grantee's staff support and assist families?

For Maternity Group Home programs:

- ☐ How is child care provided?
- ☐ How are the children of the youth receiving education services under the McKinney Vento Act?

NOTES

A3C. EMERGENCY SHELTER (STREET OUTREACH)

REQUIREMENTS

General

- Street youth must have guaranteed access to age-appropriate emergency shelter for those youth willing to come in off the street.
- Street outreach staff must have 24-hour access to the emergency shelter to maintain interaction with youth while they are there.
- Shelter may be provided through a referral network or drop-in center.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

- The aims of the Street Outreach Program are found in the RHY Act, Section 351. Specific requirements for emergency shelter are found in the grant announcement, Section I: Program Requirements for both regular and minigrants.
- Grantees should use the Positive Youth Development framework, as described in the grant announcement, to provide opportunities for youth to serve others and build self-esteem. This could include helping with food service and shelter upkeep.

EVIDENCE

Below are suggested methods to use in reviewing emergency shelter. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding conditions in the emergency shelter and their responsibilities for upkeep of their quarters and shelter in general

Interview date:

Number of youth interviewed (do not include their names):

☐ Accompany staff on the street or in outreach vans

☐ Contact subgrantees, contractors, or pro-bono providers who have responsibility for

than one, if possible.

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee ensures emergency shelter. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For Street Outreach programs:

- ☐ What facilities are used to provide emergency shelter?
- ☐ (If the grantee uses a referral network for emergency shelter) How is the quality of care ensured?
- ☐ If the grantee uses a drop-in center for emergency shelter:
  - o What are the hours of operation?
  - o What services and supplies are provided to the youth?
  - o What is the staff/youth ratio?
- ☐ (If the grantee uses a contractor or subgrantee) How is oversight over the service delivery managed?
- ☐ Are living quarters separated by gender?
- ☐ How are youth supervised?
- ☐ How is 24-hour access to the shelter guaranteed to program staff?
- ☐ How are the special needs of the physically challenged met?

NOTES

A4. INDIVIDUAL, FAMILY, GROUP, AND PEER COUNSELING

REQUIREMENTS

General

- The grantee provides a range of counseling services that are pertinent to the needs of the youth and their families.
- Counseling is available to all resident youth on a daily basis.
- Counseling is responsive to individual case goals.
- Case goals are reviewed and monitored by qualified staff.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

Basic Center Programs

- Requirements to provide and plan for individual, family, and group counseling are found in the RHY Act, Sections 312(b)(2) and 312(b)(5) and in the grant announcement, Section I: Mandatory Services.

Transitional Living and Maternity Group Homes Programs

- Requirements to provide and plan for individual, family, and group counseling are found in the RHY Act, Sections 322(a)(1) and in the grant announcement, Section I: Mandatory Services.

Street Outreach Programs

- The grant announcement calls for services that encourage youth to leave the streets for treatment and counseling and prevention and education programs. Not all street youth reached by this program are ready to receive these services, but they should be available to those who voluntarily request or receive them (Section I: Program Requirements and Section V: Evaluation Criteria).

EVIDENCE

Below are suggested methods to use in reviewing individual, family, group, and peer counseling. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding the services they receive

Interview date:

Number of youth interviewed (do not include their names):

☐ Observe a case review session (without taking notes)

☐ Examine a random sample of 10 case files to determine the kinds of services being provided

☐ Contact subgrantees, contractors, or pro-bono providers who have responsibility for any of counseling services

☐ For Street Outreach programs, review this element only with respect to youth who voluntarily accept services

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee provides individual, family, group, and peer counseling. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For all programs:

- ☐ What types of counseling are provided (individual, family, group, peer)?
- ☐ What subjects are covered in counseling (drug abuse, anger management, etc.)?
- ☐ How is counseling tied to specific goals established in the case files?
- ☐ What percentage of youth receives counseling?
- ☐ What percentage of families receives counseling?
- ☐ How frequently do youth receive counseling?
- ☐ Are youth assigned to specific counselors? If so, how is the assignment made? How are counselors involved in case management?
- ☐ How do counseling services take into account cultural differences?
- ☐ How, and how often, are case reviews performed? Which staff members are involved?
- ☐ What are staff credentials? How are staff trained?
- ☐ If used, how are peer counselors trained?

For Street Outreach programs:

- ☐ Do youth who voluntarily request or accept services receive crisis intervention, treatment and counseling, prevention and education services, and counseling pertaining to sexual abuse, sexual exploitation, sexually transmitted diseases (including HIV), and domestic violence?

NOTES

A5. SKILL-BUILDING SERVICES

REQUIREMENTS

General
Although Basic Center programs are not required by statute to provide skill-building services, many grantees do under their approved grant. Doing so is consistent with the Positive Youth Development framework, which grantees are encouraged to adopt.

Both the Transitional Living and Maternity Group Homes Programs require a specific set of skill-building services to be provided to the youth under their care. (See the "Find Out About" section below for a complete list.)

In either case,

- There should be an adequate range of skill-building services, either directly or indirectly.
- These services should meet the needs of the youth participants.
- The youth should participate in the services provided.
- Some grantees offer community service activities or counseling.

Specific
Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

- The specific skill-building services for the Transitional Living and Maternity Group Homes Programs are in the RHY Act, Section 322(a)(1) and in the grant announcement, Section I: Mandatory Services.
- Maternity Group Home youth must receive additional parenting skills (RHY Act, Section 330(c)).
- Skills and services pertaining to street youth are found in the grant announcement, Section I: Program Requirements and Section V: Evaluation Criteria.
- See the Positive Youth Development framework, as described in the grant announcement, regarding skill development in literacy, competence, work readiness, and social skills.

EVIDENCE

Below are suggested methods to use in reviewing skill-building services. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding the skill building services they receive

Interview date:

Number of youth interviewed (do not include their names):

☐ Review relevant plans, if any (not required)

☐ Observe a skill-building activity (without taking notes)

☐ Examine a random sample of 10 case files (see section C4 on client files)

☐ Contact subgrantees, contractors, or pro-bono providers who have responsibility for any of these services

☐ For Street Outreach programs, review this element only with respect to youth who voluntarily accept skill-building services

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee provides skill-building services. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For all programs:

- ☐ Are youth given the option to participate in skill-building programs?
- ☐ How are the skill-building needs of each youth determined?
- ☐ What percentage of youth receives each kind of service?
- ☐ How do services take into account cultural differences?
- ☐ How many staff members are involved in providing skill building?
- ☐ What are staff credentials and training?

For Transitional Living programs:

- ☐ Are the following required basic skill-building services being provided to youth?
    - money management
    - budgeting
    - consumer education
    - use of credit
    - parenting skills (as appropriate)
    - interpersonal skill building
    - educational advancement
    - job attainment skills
    - mental and physical health care

For Maternity Group Home programs:

- ☐ Are the following required parenting skills being provided, in addition to the basic life skills listed above?
    - child development
    - family budgeting
    - health and nutrition
    - other skills to promote long-term economic independence

For Street Outreach programs:

- ☐ Do youth who voluntarily seek or accept counseling services receive counseling pertaining to basic life skills, including nutrition and skills needed to deal with sexual abuse, domestic violence, and sexual exploitation?

NOTES

A6. RECREATION/LEISURE ACTIVITIES

REQUIREMENTS

General

Although not required by statute for RHY programs, formal, structured recreation and leisure activities are consistent with the Positive Youth Development framework that grantees are encouraged to adopt.

- The grantee provides an adequate range of recreation and leisure activities to meet the needs of youth participants.
- Youth are involved in the design and implementation of recreation and leisure activities.
- Recreation and leisure activities are adequately supervised.

Specific

Specific grantee requirements can be found in the approved grant and the grant announcements.

- See the Positive Youth Development framework, as described in grant announcements, regarding safe and structured places for teens to recreate and socialize, develop social skills, gain opportunities to serve others and build self esteem, and access venues for positive use of time, opportunities for positive self-expression, and opportunities for youth participation and civic engagement.

EVIDENCE

Below are suggested methods to use in reviewing recreation and leisure activities. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding recreational activities they participate in and any role they play in planning and assisting in such activities

Interview date:

Number of youth interviewed (do not include their names):

☐ Observe recreational activities (without taking notes)

☐ Examine a random sample of 10 case files (see section C4 on client files)

☐ Contact subgrantees, contractors, or pro-bono providers who have responsibility for any of these services

☐ These services are generally not applicable to street youth, but should be available for those who voluntarily request or accept them.

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee provides recreation and leisure activities. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For all programs:

- ☐ What types of recreational activities provided (e.g., structured games and sports, wilderness and adventure trips and outings, recreational and art therapy, community service projects, educational field trips, and crafts)?
- ☐ What are the goals of recreation?
- ☐ What percentage of youth participates? Are they required to?
- ☐ Who coordinates and supervises the youth?
- ☐ How do youth assist in planning or organizing the activities?

For Street Outreach programs:

- ☐ Do youth who voluntarily accept services in Street Outreach programs receive appropriate recreational services?

NOTES

A7. AFTERCARE SERVICES

REQUIREMENTS

General

- The grantee offers an adequate range of aftercare services.
- Every youth served by the grantee has an individualized aftercare plan.
- The grantee involves the youths and, if appropriate, their parents or legal guardian in developing aftercare plans.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

Basic Center Programs

- The grantee has aftercare plan, including plans for involving parents or legal guardians and ensuring aftercare services for youth who reside in another State (RHY Act, Sections 312(b)(3) and 312(b)(5) and grant announcement, Section I: Mandatory Services and Section V: Evaluation Criteria).

Transitional Living and Maternity Group Homes Programs

- The grantee must prepare a transitional living plan to help with the transition to independent living or another appropriate living arrangement (RHY Act, Section 322(a)(6) and grant announcement, Section I: Mandatory Services and Section V: Evaluation Criteria).

Street Outreach Programs

- Given that the primary goal is to move the youth from living on the street to a safer setting, the grant announcement calls for follow-up support rather than aftercare plans (Section I: Purpose and Program Requirements).

EVIDENCE

Below are suggested methods to use in reviewing aftercare services. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding their participation in planning for aftercare services

Interview date:

Number of youth interviewed (do not include their names):

☐ Review a copy of required aftercare plans

☐ Examine a random sample of 10 case files (see section C4 on client files)

☐ Contact some or all of the service providers to which the discharged youth and their families are referred for any of these services

☐ For Street Outreach programs, review this element only with respect to youth who voluntarily request or accept follow-up services

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee provides aftercare services. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For Basic Center, Transitional Living and Maternity Group Home programs:

- ☐ How are youth prepared for discharge?
- ☐ How much are youth and their families involved in preparing the aftercare plan?
- ☐ How are discharge plans incorporated into case files?
- ☐ Who provides aftercare services to discharged youth and their families on a referral basis?
- ☐ How long are aftercare services delivered?

For Street Outreach programs:

- ☐ Are youth who voluntarily accept services in Street Outreach programs and their families referred to appropriate outside referral agencies?

NOTES

A8. CASE OUTCOME

REQUIREMENTS

General

- The grantee has clearly documented goals for the client's program completion.
- The grantee involves the youth and, when appropriate, his or her parent or legal guardian, in determining living arrangements and planning ongoing activities after the youth leaves is discharged from the program.
- The grantee follows formal processes that guarantee and verify the youth's safe arrival at the location in which he or she will live.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

Basic Center Programs

- The grantee has an aftercare plan that includes involving parents or legal guardians, ensuring aftercare services for youth who reside in another State, contacting local government officials pursuant to informal arrangements, and providing other appropriate alternative living arrangements (RHY Act, Sections 312(b)(3) and 312(b)(5) and grant announcement, Section I: Mandatory Services and Section V: Evaluation Criteria).

Transitional Living Maternity Group Homes Programs

- The grantee must prepare a transitional living plan to help the youth transition to independent living or another appropriate living arrangement (RHY Act, Section 322(a)(6) and grant announcement, Section I: Mandatory Services and Section V: Evaluation Criteria.)

Street Outreach Programs

- Given that the primary goal is to move the youth from living on the street to a safer setting, the grant announcement calls for follow-up support rather than aftercare plans (Section I: Purpose and Program Requirements). In many cases the outcome of serving youth on the streets cannot be planned specifically or subsequently ascertained.

EVIDENCE

Below are suggested methods to use in reviewing case outcomes. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Review a copy of required aftercare plans

☐ Examine aftercare survey forms used to collect information about youth after they leave the facility

☐ Examine a random sample of 10 case files to determine whether the grantee has followed up on the youth after discharge (see section C4 on client files)

☐ For Street Outreach programs, review this element only with respect to youth who voluntarily request of accept follow-up services.

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee monitors case outcomes. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For all programs:

- ☐ How are arrangements made with the destination residence (family, relative, etc.)?
- ☐ How is follow-up conducted to make sure youth return safely to their homes or arrive at an alternative living arrangement?
- ☐ What percentage of discharged youth is reunited with their families?
- ☐ What alternative living arrangements are made for youth who do not return home?
- ☐ How are arrangements made for the care of youth outside the State?
- ☐ How often and how long are youth and their families contacted after they leave the shelter?
- ☐ Is information on a safe exit and/or discharge noted in client files?

For Street Outreach programs:

- ☐ How are arrangements made on behalf of youth who voluntarily accept services?

NOTES

A9. STREET OUTREACH PROGRAM (APPLIES TO SOP GRANTS ONLY)

REQUIREMENTS

General

- The grantee identifies and conducts outreach to runaway, homeless, and street youth.

  Services may include:

  - intervention and counseling
  - information and referral for:
    - housing
    - transitional living
    - health care
  - advocacy, education, and prevention related to:
    - alcohol and drug abuse
    - sexual exploitation
    - sexually transmitted diseases, including HIV/AIDS
    - physical and sexual assault

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

- The grantee's street-based services plan ((RHY Act, Section 312(c) and grant announcement, Section V: Evaluation) includes:
  - qualified, on-street supervision of staff by appropriately trained staff
  - back-up personnel for on-street staff
  - initial and periodic training of staff
  - outreach activities for runaway and homeless youth and street youth

EVIDENCE

Below are suggested methods to use in reviewing optional street-based services. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ If possible, interview a sample of youth served regarding the services they receive

Interview date:

Number of youth interviewed (do not include their names):

☐ Ask for and review a copy of required street-based service plan (see statutory and administrative requirement above)

☐ Accompany staff to street sites or in vans and observe how supplies are distributed and services provided

☐ Contact some or all of the external service providers and community agencies to which the youth are referred for appropriate services

Examine credentials and training records for staff engaged in street-based services

Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee provides optional street-based services. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For Street Outreach programs:

- ☐ How are street youth found?
- ☐ What training does the staff receive?
- ☐ How is the staff supervised?
- ☐ What training do supervisors receive?
- ☐ How is the safety of the outreach workers and youth accounted for?
- ☐ What are the hours of operation?
- ☐ Where are the outreach sites?
- ☐ What survival items are available to youth?
- ☐ How do outreach staff connect street youth to the services they need?
- ☐ Which referral service providers and community agencies are used?
- ☐ How are arrangements made for referral services?
- ☐ What kind of case records are maintained about the street youth and the services they receive?

For Drop-In Centers

In addition to the above,

- ☐ What is the ratio of staff to youth?
- ☐ What are the hours of operation?
- ☐ What is available to youth at the drop-in center?

NOTES

A10. INDIVIDUAL CLIENT FILES

REQUIREMENTS

General

Although not explicitly required in the statute, individual case files are needed to track intake, assessment, service delivery, discharge/aftercare planning, safe return, and follow-up after the youth is discharged from the program.

- The grantee maintains individual client files that are comprehensive and up to date.
- The grantee consistently secures client files against unauthorized access.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

- See the RHY Act, Section 384.
- See the grant announcement, Section V: Evaluation Criteria.

EVIDENCE

Below are suggested methods to use in reviewing individual client files. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview the Executive Director and appropriate project and administrative staff responsible for client file maintenance

Interview date:

Names of review team members present at the interview:

Names of grantee staff members present:

☐ View a demonstration of how files are secured and confidentiality is maintained

☐ Review a random sample of 10 files

☐ For Street Outreach programs, review this element only with respect to youth who voluntarily accept services. For such youth, appropriate records need to be kept, but the circumstances may not lend themselves to uniform case record systems.

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee maintains case files. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

- ☐ How are files opened, maintained, and updated?
- ☐ How are files secured and how confidentiality maintained?
- ☐ How are files of former clients closed and stored?

B. PROJECT DEVELOPMENT

B1. COORDINATION AND SERVICE LINKAGES

REQUIREMENTS

General

- The relationship between the grantee and direct service providers is reasonably strong, positive, and mutually supporting.
- The grantee makes referrals to direct service providers or the direct service providers deliver services to the youth at the grantee's location.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

Basic Center Programs
Coordination plans (RHY Act, Section 312(b)(4) and grant announcement, Section V: Evaluation) include:

- proper relations with law enforcement, health and mental health, social services, school systems, housing, vocational, legal, drug treatment, and welfare personnel
- coordination with the school representative for the McKinney-Vento School District Liaison
- dealing with runaway and homeless youth from foster care and correctional institutions

Transitional Living and Maternity Group Homes Programs
Coordination plans (RHY Act, sections 322(a)(7) and 322(a)(9) and grant announcement, Section I: Mandatory Services and Section V: Evaluation Criteria) include:

- proper relations with law enforcement, health and mental health, social services, school systems, housing, vocational, legal, drug treatment, and welfare personnel
- coordination with the school representative for the McKinney-Vento School district Liaison

Street Outreach Programs
Coordination plans (grant announcement, Section V: Evaluation Criteria) include proper relations with law enforcement, health and mental health, social services, school systems, housing, vocational, legal, drug treatment, and welfare personnel.

EVIDENCE

Below are suggested methods to use in reviewing coordination and service linkages. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding services they receive from outside service providers

Interview date:

Number of youth interviewed (do not include their names):

☐ Review copies of coordination plans, referral service agreements, or other linkage agreements

☐ Contact subgrantees, contractors, or pro-bono providers who have responsibility for any of these services

☐ For Street Outreach programs, review this element only with respect to youth who voluntarily seek or accept services

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee ensures coordination and service linkages. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For all programs:

- ☐ What formal linkages have been established (e.g., alternative living arrangements, education, health care, juvenile justice, law enforcement, the National Runaway Switchboard, local hotlines, vocational training, mental health care, welfare)?
- ☐ How is staff assigned responsibility for maintaining contact and coordinating with these groups?
- ☐ What percentage of youth is referred to these outside providers or agencies?
- ☐ How does staff follow up after making referrals?
- ☐ What is the level of coordination between other RHY projects in the community?
- ☐ How are referrals documented?
- ☐ How is service coordination evaluated for effectiveness?

For Street Outreach programs:

- ☐ How are youth who voluntarily accept services in Street Outreach programs referred to appropriate service providers?
- ☐ How are referrals managed?

NOTES

B2. YOUTH PARTICIPATION

REQUIREMENTS

General

- The grantee involves youth in the design or delivery of services.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

- See the Positive Youth Development framework (grant announcement, Section I) regarding youth participation and civic engagement as well as opportunities to serve others and build self-esteem.

EVIDENCE

Below are suggested methods to use in reviewing youth participation. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding the nature and level of their participation in the design and delivery of services

Interview date:

Number of youth interviewed (do not include names):

☐ For Street Outreach programs, review this element only with respect to youth who voluntarily seek or accept services

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee ensures youth participation. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For all programs:

☐ Do youth:

- sit on the Board of Directors or Advisory Board?
- act as adjunct staff?
- participate on staff hotlines, drop-in centers, outreach projects?
- provide counseling, peer group, or support group services?
- design workshops or presentations?
- coordinate recreation?
- provide feedback on services received?

☐ What criteria are used for youth participation?

☐ How are the youth selected to participate?

☐ What training do they receive?

☐ How are the youth supervised?

☐ How do the youth provide input regarding the grantee's programs?

NOTES

B3. STAFFING AND STAFF DEVELOPMENT

REQUIREMENTS

General

- The grantee sufficiently prepares staff to work with youth participants and their families through ongoing staff development.
- Training topics are specific to the client population being served.
- The grantee maintains job descriptions for all paid and volunteer staff.
- The grantee operates under an affirmative action plan.
- The grantee conducts annual staff evaluations.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

Basic Center, Transitional Living, and Maternity Group Home Programs

- The grantee's staffing and training plans (RHY Act, Section 312(c) and 312(d) and grant announcement, Section V: Evaluation Criteria) include:
    - general assignment of responsibilities
    - training project staff in appropriate topics to safely and effectively serve runaway and homeless youth and to deal with issues they will encounter
    - training staff who provide on-street services
    - training staff who provide in-home services
    - conducting criminal history and child abuse registry checks

Street Outreach Programs

- The grantee must (grant announcement, Section I: Program Requirements) provide
    - on-street supervision by appropriately trained staff
    - back-up personnel for on-street staff, and
    - initial and periodic training of staff to provide outreach services

EVIDENCE

Below are suggested methods to use in reviewing staffing and staff development. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Review a sample of personnel files for evidence of position descriptions, annual reviews, and training.

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee handles staffing and staff development. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For all programs:

- ☐ How many and what kind of positions have been established?
- ☐ How many positions are volunteer, and how many are paid?
- ☐ How is staff training and background matched to job duties?
- ☐ Are criminal history and child abuse registry checks conducted on employees and volunteers in line with Federal, State, and local requirements?
- ☐ Are appropriate certifications or professional licenses (if required) on file?
- ☐ How are caseloads managed?
- ☐ Do staff members receive annual evaluations?
- ☐ How are staff training needs determined and reviewed?
- ☐ What kinds of training do staff receive after being brought on board?
- ☐ Do staff members attend ACF-sponsored training or technical assistance events?
- ☐ How are staff members recruited to reflect the diversity of the target populations or the general community?
- ☐ Are there staff turnover issues? What impact do they have? Why they are occurring? What is being done to resolve them?

For Street Outreach programs:

- ☐ Are on-street staff supervised by appropriately trained staff?
- ☐ Are back-up personnel available for street staff?
- ☐ Is the staff given initial and periodic training?

NOTES

B4. ONGOING PROJECT PLANNING

REQUIREMENTS

General

- The grantee periodically evaluates the impact of its services on youth and families.
- The grantee periodically evaluates the needs of youth and families in the community.
- The grantee uses information from these evaluations to revise its programs goals and objectives.
- Youth, staff, and board members are involved in planning activities.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

Basic Center Programs

- See the requirements for an annual report to the Secretary (RHY Act, Section 312(b)(12)).
- See the requirements for using quantitative performance data to make program adjustments to improve performance (grant announcement, Section V: Evaluation Criteria).

Transitional Living and Maternity Group Homes Programs

- See the requirements for an annual report to the Secretary (RHY Act, Section 322(a)(8)).
- See the requirements for using quantitative performance data to make program adjustments to improve performance (grant announcement, Section V: Evaluation Criteria).

Street Outreach Programs

- See the requirements for using quantitative performance data to make program adjustments to improve performance (grant announcement, Section V: Evaluation Criteria).

EVIDENCE

Below are suggested methods to use in reviewing ongoing project planning. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served with regard to their role, if any, in planning

Interview date:

Number of youth interviewed (do not include their names):

☐ Interview board members about their participation in the process

Interview date:

Names of board members present at the interview:

☐ Examine copies of recent program evaluations and plans

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee conducts ongoing project planning. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For all programs:

- ☐ How are the needs of the community assessed, including the diversity of youth needing services and the kinds of services needed and offered?
- ☐ How is effectiveness evaluated?
- ☐ How are goals and objectives determined?
- ☐ How are other community agencies and service providers selected to assist in achieving goals?
- ☐ What process is used to periodically review plans?
- ☐ What roles do the Executive Director, senior project directors, staff, youth, and the Board of Directors play in project planning?

C. GRANT ADMINISTRATION

C1. BUDGET AND FINANCE

REQUIREMENTS

General

- The grantee maintains funds in separate accounts for each RHY grant.
- The grantee draws down funds only for covered services.
- Income and expenditures and consistent with the approved budget.

PLEASE NOTE: This is a general review of the grantee's accounting manual and fiscal management procedures. It is not a substitute for a full audit or thorough assessment of the grantee's budget and accounting systems. The purpose is to identify possible irregularities that require further assessment by appropriate Federal personnel.

EVIDENCE

Below are suggested methods to use in reviewing budgeting and finance. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Examine latest annual budget(s) for the approved RHY grant(s)

☐ Interview the senior staff member and the representative of any contractor responsible for financial management

Interview date:

Names of review team members present at the interview:

Names and titles of senior staff member, contractor staff, and other persons present:

☐ Examine the accounting records to see if:

- o RHY income and expenses are clearly identified distinguished from income and expenses of other Federal, State, or local government or private sector programs or sources
- o all expenses are consistent with the approved grant(s) and the latest budget(s)
- o levels of expenditures are generally in line with approved budgets

☐ Examine the latest available audit to determine if it found that funds for RHY grant(s) were not properly accounted for. If so, ask the appropriate grantee staff to explain how the problems cited in the audit have been corrected.

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee manages budgeting and finance. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

- ☐ How the annual budget is prepared?
- ☐ Who is responsible for maintaining financial and accounting records?
- ☐ Is there an accounting system used to track funds?
- ☐ Who is responsible the accounts payable?
- ☐ Who is responsible for the accounts receivable?
- ☐ Who is responsible for signing checks? (review a random sample for verification)
- ☐ How are RHY grant funds separated from other funding sources?
- ☐ How are multiple RHY funding streams individually tracked?
- ☐ How are non-Federal matching funds accounted for?

NOTES

C2. BOARD OF DIRECTORS

REQUIREMENTS

General

Although not required by statute, it is strongly recommended that:

- The grantee has a Board of Directors.
- The Board adequately represents a cross-section of the community.
- The Board has a clear charter, with specific duties identified.
- The Board oversees the grantee's activities.
- Young people are members of the Board.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

- See the Positive Youth Development framework (grant announcement, Section I) relating to youth participation and civic engagement as well as opportunities to serve others and build self-esteem.

EVIDENCE

Below are suggested methods to use in reviewing the Board of Directors. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

Review relevant section of approved grant

☐ Examine the charter or other documents that establish the Board and prescribe its responsibilities

☐ Examine minutes of recent board meetings

☐ Examine a list of Board members

☐ Interview the chairperson and select members of the Board

Interview date:

Names of review team members present at the interview:

Names of chairperson and Board members present:

Number of youth on the Board (if clients, do not include names):

Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee uses a Board of Directors. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

- ☐ Is there a Board of Directors?
- ☐ What are the Board's responsibilities?
- ☐ How are the Board members recruited?
- ☐ Do Board members represent a cross-section of the community?
- ☐ Are there any youth on the Board?
- ☐ How are Board members trained and oriented to their responsibilities?
- ☐ How often does the Board meet?

NOTES

C3. REPORTS AND DATA COLLECTION

REQUIREMENTS

General

- The grantee has fully implemented the Runaway and Homeless Youth Management Information System (RHYMIS).
- The grantee uses project data to meet reporting requirements and to evaluate the success of the RHY programs.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

Basic Center Programs

- See requirements for the grantee's data collection and analysis processes in the RHY Act, Sections 312(b)(7) and 312(b)(8) and grant announcement, Section 1: Record Keeping and Section V: Evaluation Criteria.
- See requirements for maintaining confidentiality of data in RHY Act, Section 384.

Transitional Living and Maternity Group Homes and Programs

- See requirements for the grantee's data collection and analysis processes in the RHY Act, Section 322(a)(9) and grant announcement, Section 1: Record Keeping and Section V: Evaluation Criteria.

Street Outreach Programs

- See requirements for the grantee's data collection and analysis processes in the grant announcement, Section 1: Record Keeping and Section V: Evaluation Criteria.

EVIDENCE

Below are suggested methods to use in reviewing reports and data collection. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview the Executive Director, project manager, data entry staff, or other administrative staff responsible for generating reports

Interview date:

Names of review team members present at the interview:

Names of grantee staff members present:

☐ View a demonstration of how RHYMIS data are entered and how reports are produced

☐ Review examples of reports produced, including

- length of stay
- source of referrals at entrance and exit
- types of service provided
- where youth go after discharge

☐ Review materials (if any) used for instructing staff on maintaining confidentiality of data pertaining to the youth and their families

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee conducts reporting and data collection. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

- ☐ How are RHYMIS data updated and how soon after the data are first recorded in the youths' case files?
- ☐ How are the staff responsible for entering RHYMIS data and maintaining the system trained and supervised?
    - o Are they familiar with RHYMIS definitions?
    - o Do they understand the importance of the data and how data are used?
- ☐ Does an appropriately senior grantee official review RHYMIS data for accuracy before submission?
- ☐ Are RHYMIS data submitted on time?
- ☐ Are the data updated after youth are discharged?
- ☐ How is the confidentiality of personal data maintained?
- ☐ Is information other than RHYMIS data collected for evaluative purposes?
- ☐ How does the grantee use RHYMIS and other data to evaluate the effectiveness of its program and to promote program improvements and enhancements?

NOTES

D. OPTIONAL SERVICES FOR BASIC CENTER

D1. STREET-BASED SERVICES – (OPTIONAL FOR BASIC CENTERS)

REQUIREMENTS

General

- The grantee identifies and conducts outreach to runaway, homeless, and street youth.

  Services may include:

  - intervention and counseling
  - information and referral for:
    - housing
    - transitional living
    - health care
  - advocacy, education, and prevention related to:
    - alcohol and drug abuse
    - sexual exploitation
    - sexually transmitted diseases, including HIV/AIDS
    - physical and sexual assault

These additional services, if offered, are part of the service program of the Basic Center and are subject to all the requirements discussed earlier for mandatory services.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

- The grantee's street-based services plan ((RHY Act, Section 312(c) and grant announcement, Section V: Evaluation) includes:
  - qualified, on-street supervision of staff by appropriately trained staff
  - back-up personnel for on-street staff
  - initial and periodic training of staff
  - outreach activities for runaway and homeless youth and street youth

EVIDENCE

Below are suggested methods to use in reviewing optional street-based services. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ If possible, interview a sample of youth served regarding the services they receive

Interview date:

Number of youth interviewed (do not include their names):

☐ Ask for and review a copy of required street-based service plan (see statutory and administrative requirement above)

☐ Accompany staff to street sites or in vans and observe how supplies are distributed and services provided

☐ Contact some or all of the external service providers and community agencies to which the youth are referred for appropriate services

☐ Examine credentials and training records for staff engaged in street-based services

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee provides optional street-based services. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For Basic Center programs:

- ☐ How are street youth found?
- ☐ What training does the staff receive?
- ☐ How is the staff supervised?
- ☐ What training do supervisors receive?
- ☐ How do outreach staff connect street youth to the services they need?
- ☐ What survival items are available to youth?
- ☐ Which referral service providers and community agencies are used?
- ☐ How are arrangements made for referral services?
- ☐ What kind of case records are maintained about the street youth and the services they receive?

D2. HOME-BASED SERVICES FOR YOUTH AT RISK OF SEPARATION FROM THEIR FAMILIES (OPTIONAL FOR BASIC CENTERS)

REQUIREMENTS

General

- The grantee offers counseling services and interventions for youth at risk of separation from their families.
- The grantee provides 24-hour crisis response.
- The grantee provides in-home counseling (e.g., basic life skills and interpersonal skill building).
- The grantee sets personalized objectives and measures for success of the intervention(s).

These additional services, if offered, are part of the service program of the Basic Center and are subject to all the requirements discussed earlier for mandatory services.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

- The grantee has a home-based services plan (RHY Act, Section 312(d) and grant announcement, Section V: Evaluation), including
    - Staff members are given initial and periodic training to provide these services.
    - Caseloads are light enough to allow intensive involvement with each family.
    - Staff members receive qualified supervision.

EVIDENCE

Below are suggested methods to use in reviewing optional home-based services. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding their living conditions and the services they receive

Interview date:

Number of youth interviewed (do not include their names):

☐ Review a copy of required home based service plan

☐ Examine a random sample of 10 case files for youth served in the program (see section C4 on client files)

☐ Contact subgrantees, contractors, or pro-bono providers who have responsibility for any of these services

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee provides optional home-based services. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For Basic Center programs:

- ☐ What types of counseling services are provided (e.g., basic life skills, interpersonal skill building, educational advancement, job attainment skills, mental and physical health care, parenting skills, financial planning)?
- ☐ How family crises, including an immediate need for temporary shelter, handled around the clock?
- ☐ How are services tied to specific goals established in the case files?
- ☐ How many youth and families receive in-home counseling?
- ☐ How frequently do they receive these services?
- ☐ How do in-home counseling services take into account cultural differences?
- ☐ How, and how often, are case reviews performed?
- ☐ How many staff are involved in providing home-based services?
- ☐ What are the staff credentials and training?
- ☐ How are staff members supervised?

NOTES

D3. DRUG ABUSE PREVENTION AND TREATMENT (OPTIONAL FOR BASIC CENTERS)

REQUIREMENTS

General

- The grantee conducts outreach activities related to drug abuse and treatment.
- The grantee may also offer other services, such as:
    - individual, family, and peer counseling
    - drop-in services
    - assistance to runaway and homeless youth in rural areas
    - information and training related to illicit use of drugs
    - activities to improve the availability of local drug abuse prevention and services

These additional services, if offered, are part of the service program of the Basic Center and are subject to all the requirements discussed above for mandatory services.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcements.

- The grantee's substance abuse services plan (RHY Act, Section 312(e) and grant announcement, Section V: Evaluation Criteria) includes:
    - the types of services provided
    - the objectives of such service
    - information and training provided to individuals providing such service
    - outreach activities for runaway and homeless youth

EVIDENCE

Below are suggested methods to use in reviewing drug abuse and treatment services. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Interview a sample of youth served regarding the services they receive

Interview date:

Number of youth interviewed (do not include their names):

☐ Review a copy of required substance abuse service plan

☐ Examine a random sample of 10 case files for youth served in the program (see section C4 on client files)

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee provides optional drug abuse prevention and treatment services. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For Basic Center programs:

- ☐ What types of services are provided?
- ☐ How are services tied to specific goals established in the case files?
- ☐ How many youth receive substance abuse and training services? How frequently?
- ☐ What are the outcomes of substance abuse services?
- ☐ How, and how often, are case reviews performed?
- ☐ How many staff members are involved?
- ☐ What are the staff credentials and training?

For grantees with both Drug Abuse and Treatment AND Street Outreach programs:

- ☐ How are these services provided to street youth who voluntarily seek or accept services through the Street Outreach program?

NOTES

D4. TESTING FOR SEXUALLY TRANSMITTED DISEASES (OPTIONAL FOR BASIC CENTERS)

REQUIREMENTS

General

The grantee offers testing for sexually transmitted diseases at the request of runaway and homeless youth.

This service, if offered, is part of the service program of the Basic Center and is subject to all the requirements discussed above for mandatory services.

Specific

Specific grantee requirements can be found in the approved grant, the RHY Act, and the grant announcement, Section I: Optional Services.

EVIDENCE

Below are suggested methods to use in reviewing testing for sexually transmitted diseases. Please check the methods you used and provide the appropriate additional information. If you used other methods, please check “other” and describe them briefly.

☐ Review relevant section of approved grant

☐ Interview staff

Interview date:

Names of review team members present at the interview:

Names and titles of grantee personnel present:

☐ Examine a random sample of 10 case files for youth served in the program (see section C4 on client files)

☐ Contact subgrantees, contractors, or pro-bono providers who have responsibility for any of these services

☐ Other (Explain):

FIND OUT ABOUT

Below are questions you may want to ask to get a better sense of how the grantee provides testing for sexually transmitted diseases. Check off the subjects as you discuss them. Additional questions may come up after you begin. Make sure to take notes on your entire discussion.

For Basic Center programs:

- ☐ What types of testing services are provided?
- ☐ How many youth receive testing?
- ☐ How many staff members are involved?
- ☐ What are the staff credentials and training?
- ☐ Which external service providers and community agencies are the youth referred to?

For grantees with Sexually Transmitted Disease Testing AND Street Outreach programs:

- ☐ How are these services provided to street youth who voluntarily seek or accept services through the Street Outreach program?

IV. CHECKLIST FOR REVIEWING CASE FILES

IV. CHECKLIST FOR REVIEWING CASE FILES

The review team needs to examine a random selection of case files for two reasons:

1. To verify that a system of case files exists and is used effectively to plan and track the services that the grantee provides to the youth it serves, as described in section C4 of this manual.
2. To verify that the needs of the youth served are assessed and that required services are provided, as described in sections A4, A5, and A7 of this manual.

Some review teams prefer to review the randomly selected files as they cover each section of the review. Others prefer to conduct one review near the end of the site visit. No matter which approach is used, a checklist can be helpful in facilitating the case file reviews. The checklist on the next page is suggested for this purpose.

As noted earlier, no more than 10 case files should be randomly selected for review if the grantee has only one RHY grant; no more than 20 case files should be randomly selected if the grantee has two or more grants. Both open and closed cases should be reviewed.

For privacy protection, the checklists should not contain the names of any youth receiving RHY services. A simple coding system, such as “Case # 1”, “Case #2”, etc., can be used instead. Any notes that refer to young people’s names should be destroyed before the team leaves the grantee’s premises.

Case File Review Checklist
BASIC CENTER

There is no required style for case files. Some of the following information may be found in other grantee record systems. This is tool for the review team. It may be modified to meet the review team's purposes.

Case #: _____ Birthdate _____

Open Case ☐ Date _____ Age _____

Closed Case ☐ Date _____

Residential Client ☐ Presenting Issues _____

Nonresidential Client ☐

Eligibility Determined	☐ Yes	☐ No
Demographic Information	☐ Yes	☐ No
Assessment Completed	☐ Yes	☐ No
Parental Notification	☐ Yes	☐ No
Youth/Guardian Release Form	☐ Yes	☐ No
Youth's Agreement to Participate	☐ Yes	☐ No
Education Services Provided	☐ Yes	☐ No
Case Plans	☐ Yes	☐ No
Progress/Counseling Notes	☐ Yes	☐ No
Aftercare Plans	☐ Yes	☐ No
Disposition/Case Closure:	☐ Yes	☐ No
Safe Arrival Verification	☐ Yes	☐ No
Service Referral Noted _____	☐ Yes	☐ No

Comments: _____

_____

_____

_____

Case File Review Checklist
TRANSITIONAL LIVING/MATERNITY GROUP HOME

There is no required style for case files. Some of the following information may be found in other grantee record systems. This is tool for the review team. It may be modified to meet the review team's purposes.

Case #: _____ Birthdate _____

Open Case ☐ Date _____ Age _____

Closed Case ☐ Date _____

Residential Client ☐ Presenting Issues _____

Nonresidential Client ☐

Eligibility Determined:	☐ Yes	☐ No
Demographic Information	☐ Yes	☐ No
Assessment Completed	☐ Yes	☐ No
Youth's Agreement to Participate	☐ Yes	☐ No
Education Services Provided	☐ Yes	☐ No
Case Plans	☐ Yes	☐ No
Life Skills noted	☐ Yes	☐ No
Progress/Counseling Notes	☐ Yes	☐ No
Recreation/Leisure Activities Notes	☐ Yes	☐ No
Aftercare Plans	☐ Yes	☐ No
Parenting Classes Noted (MGH only)	☐ Yes	☐ No
Sex Education Noted (MGH only)	☐ Yes	☐ No
Child Care (MGH only)	☐ Yes	☐ No
Disposition/Case Closure:	☐ Yes	☐ No
Service Referral Noted _____	☐ Yes	☐ No

Comments: _____

_____

_____

_____

V. DOCUMENTS TO EXAMINE

V. DOCUMENTS TO EXAMINE

Prior to conducting the onsite review, the review team will examine the approved grant, the RHY Act, and the appropriate grant announcements.

While onsite, the review team will need to examine a variety of documents. The team should make every effort to minimize the burden on the grantee during this process. For example, the team should review documents onsite to the extent possible rather than asking the grantee to produce copies.

The following is a list of documents that the grantee is obliged to produce for review.

General

Outreach plan
Intake plan
Plans for recreation/leisure
Aftercare plan
Aftercare survey forms used to collect information about youth after they leave the facility
Street-based service plan, if applicable
Home-based service plan, if applicable
Substance abuse service plan, if applicable
State and local government licenses and certifications
Emergency Preparedness and Management Plan
Fire, equipment, and/or other safety inspections
Random samples of 10 case files for:

- intake
- counseling
- skill building
- recreation/leisure activities
- aftercare services
- case disposition

Also, if applicable,

- street-based services
- home-based services
- substance abuse services
- testing for sexually transmitted diseases

Organizational charts
Staff job descriptions
Staff credentials
Staff training documentation
Annual staff reviews
Training materials or other documentation
Recent evaluations and plans for ongoing project planning

Coordination of Services

Memoranda of Understanding, referral service agreements, and other linkage agreements with outside agencies regarding

- health and mental health services
- social services

- housing
- vocational training and development
- legal services
- drug abuse prevention and treatment
- welfare
- school systems, especially coordination with the school representative for the McKinney-Vento School District Liaison
- law enforcement
- runaway and homeless youth from foster care and correctional institutions

Letters of commitment relating to non-Federal matching funds, facilities, equipment, supplies, or services

Contracts with subgrantees, contractors, or pro-bono providers

Budget and Finance

Latest annual budget

Ledgers of accounting

Most recent audit

Procedures for check signing

Procedures for Fiscal Controls on Federal Funds

Board of Directors

The charter or other documents that establish the Board and prescribe its responsibilities and how it operates

Minutes of recent Board meetings

List of Board members

Reports and Data Collection

Examples of reports produced

Basic Center Programs

Records indicating that the grantees serves youth younger than age 18

Records indicating that the length of residential services does not exceed 21 days

Licenses and inspection certifications ensuring that grantee maintains residential facilities in compliance with Federal, state, and local licensing requirements

Maximum Residential Capacity for shelter/group home models of 20 beds unless otherwise required by local law

Menus and other documentation showing that the grantee provides nutritious food (at least 2 meals per day) in sufficient quantities for each youth in care

State or local licenses or certifications of host families

Transitional Living and Maternity Group Home Programs

Records indicating that the grantee serves youth ages 16 to 21

Records indicating that the length of service does not exceed 635 days. (Exceptions are made for youth who are younger than age 18.

Transitional living plans to help the transition to independent living or another appropriate living arrangement

Licenses and inspection certifications ensuring that grantee maintains residential facilities in compliance with Federal, state, and local licensing requirements

- Maximum Residential Capacity for shelter/group home models of 20 beds unless otherwise required by local law

Street Outreach Programs

Street outreach plan
Files describing services for participants who voluntarily accept them

VI. FINAL REPORT FORMAT

Runaway and Homeless Youth Programs
Onsite Review Report

Date of Review:

Name of Grantee Organization:
(include full address)

Executive Director:

Name of RHY Specialist:

Name of Peer Monitor

Grantee Program Information

____ Basic Center Program
Project Director(s):
Current Year of Grant (e.g., 2nd of 3): of
Grant Number:
Grant Award Amount:

____ Maternity Group Home Program
Project Director(s):
Current Year of Grant (e.g., 2nd of 3): of
Grant Number:
Grant Award Amount:

____Street Outreach Program
Project Director(s):
Current Year of Grant (e.g., 2nd of 3): of
Grant Number:
Grant Award Amount:

____ Transitional Living Program
Project Director(s):
Current Year of Grant (e.g., 2nd of 3): of
Grant Number:
Grant Award Amount:

Executive Summary

I. Positive Aspects of the Grantee's Program

In the space below, provide a summary of the positive aspects of the grantee's services.

II. Non-Binding Suggestions

In the space below, provide suggestions on ways in which the grantee can improve operations. The grantee has no obligation to implement them. Comments related to the minimum requirements as stated legislation/regulation must be mentioned under the corrective actions section as appropriate.

III. Corrective Action

In the space below, provide a summary list of findings for which the grantee must provide corrective action plans as a result of noncompliance with legislation/regulation. If not applicable, please indicate that all aspects of the grantee's program are in full compliance with RHY legislation/regulation.

Findings

Compliance Report Card

A checked box indicates compliance with requirements for covered services, development activities, and administrative procedures. A shaded area is not subject to compliance but may be mentioned as areas of improvement under non-binding suggestions or is not applicable because the grantee does not currently operate a program that is shaded.

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Basic Center Program	Transitional Living Program	Maternity Group Home Program	Street Outreach Program	A – Services (Mandatory)
				1. Outreach and Community Education
				2. Individual Intake and Case Planning
				3. Safe and Appropriate Shelter
				3a. Temporary Shelter
				3b. Transitional Living Arrangements
				3c. Emergency Shelter
				4. Counseling
				5. Skill-building Services
				6. Recreation/Leisure Activities
				7. Aftercare Services
				8. Case Outcome
				9. Street Outreach Program for SOP
				10. Individual Client Files
Basic Center Program	Transitional Living Program	Maternity Group Home Program	Street Outreach Program	B – Project Development
				1. Coordination and Service Linkages
				2. Youth Participation
				3. Staffing and Staff Development
				4. Ongoing Project Planning
Basic Center Program	Transitional Living Program	Maternity Group Home Program	Street Outreach Program	C – Grant Administration
				1. Budget and Finance
				2. Board of Directors
				3. Reports and Data Collection
Basic Center Program				D – Services (Optional)
				1. Street-based Services
				2. Home-based Services
				3. Drug Abuse Prevention/Treatment
				4. Testing for Sexually Transmitted Diseases

RATIONALE FOR FINDINGS

In the space below, explain why the grantee is or is not in compliance with the approved grant, the RHY Act, and grant announcements. Describe the evidence gathered (e.g., documents reviewed, random case reviews conducted, staff interviewed, conditions or activities observed) and the conclusions reached. Each section must be titled with the list below.

A. SERVICES

A.1. Outreach and Community Education
A.2. Individual Intake and Case Planning
A.3. Safe and Appropriate Shelter
  a. Temporary Shelter for BCP
  b. Transitional Living Arrangements for TLP/MGH
  c. Emergency Shelter for SOP
A.4. Individual, Family, Group and Peer Counseling
A.5. Skill-building Services
A.6. Recreation/Leisure Activities
A.7. Aftercare Services
A.8 Case Outcome
A.9. Street Outreach Program for SOP
A.10. Individual Client Files

B. PROJECT DEVELOPMENT

B.1. Coordination and Service Linkages
B.2. Youth Participation
B.3. Staff and Staff Development
B.4. Ongoing Project Planning

C. GRANT ADMINSTRATION

C.1. Budget and Finance
C.2. Board of Directors
C.3. Reports and Data Collection

D. OPTIONAL SERVICES FOR BASIC CENTERS

D.1. Street-Based Services
D.2. Home-Based Services
D.3. Drug Abuse Prevention and Treatment
D.4. Testing for Sexually Transmitted Diseases