Disability Employment Initiative (DEI 8) Round 8

Federal Grant Opportunity Number FOA-ETA-17-05

Grant Number MI-31157-17-60-A-36

Review Guide

1. Background

The United States Department of Labor Employment & Training Administration (USDOL ETA) awarded the New York State Department of Labor (NYSDOL) a DEI 8 grant totaling $2,250,000. The period of the grant is from October 1, 2017 through September 30, 2020. The grant will serve youth with disabilities (ages 14-24) in three Local Workforce Development Areas (LWDAs): Chenango/Delaware/Otsego, Hempstead/Long Beach, and Tompkins. The DEI grant will fund three Disability Resource Coordinators (DRC) to implement activities that will improve education and employment outcomes for youth with disabilities by increasing their participation in existing Career Pathways programs, while expanding the capacity of the New York State (NYS) Career Center system to serve youth with disabilities using a career-development approach. Staff in LDWAs will develop a broader business engagement approach within existing Career Pathways programs to address business needs and develop a sustainable talent pipeline.

DEI 8 targeted industry sectors: Healthcare, Technology, Advanced Manufacturing, Agricultural/Food Production, Hospitality, and Financial Services.

The DEI 8 proposed program outcomes are contained in section G below.

1. Review Topics This review includes, but is not limited to the following:
   1. Participant Record Review – Data entry and documentation
   2. Program and System Activities - On-Site observation, staff interview, local program policies & procedures, supporting documentation
   3. Disability Resource Coordinator Monthly Report
   4. Notice of Obligational Authority (NOA) and Subrecipient Agreement
   5. DEI Budgets
   6. Program Outcomes
2. Pre-Site Review Procedures
   1. Review the Resources-Guidance-Definitions Tool for this guide.
   2. Ensure that you have access to the ‘DEI 8’ tab in One Stop Operating System (OSOS). If you do not have permission, the ‘DEI 8’ tab will not be visible in OSOS. Contact your supervisor to obtain permissions, if necessary.
   3. For each customer in the review, access the OSOS record and complete the Participant Record worksheet. Any questions or comments can be entered on the Entrance Summary for discussion on-site. Summarize the results of the initial Participant Record review in the related sections of the Review Summary. The Participant Record worksheet will be reviewed and updated during the on-site visit.
   4. NYSDOL Program staff will consult with the NYSDOL Financial Oversight and Technical Assistance (FOTA) staff, to identify and discuss financial matters that may impact program service delivery; including the coordination of the program on-site monitoring visit with the fiscal on-site visit if possible.
   5. Contact the Local Workforce Development Board (LWDB) Director to schedule the entrance conference and onsite monitoring. Request the DRC to be present/available for the review. Provide the LWDB Director with the purpose of the monitoring; monitoring guide; a list of any local policies and procedures governing the DEI 8 program, and any DEI 8 contract documents with subrecipients, if applicable.
3. On-Site Monitoring Review Procedures
   1. Upon arrival, conduct an entrance conference with appropriate Local Area representatives to discuss the purpose of the visit. Complete Entrance Summary.
   2. Complete the Participant Record worksheets and review for any discrepancies between the OSOS data and the information obtained on-site.
   3. Complete the Review Summary through discussion with the DRCs and review of any applicable documentation.
   4. After you complete your on-site review, arrange and conduct an exit conference. Complete Exit Summary. (Note: Once the monitoring guide is completed a subsequent Exit meeting should be scheduled, if necessary.)
4. Completion of Monitoring Guide / Letter Procedures
   1. Upon completion of the monitoring guide, draft a letter to the LWDB Director.
   2. All program activities must be necessary and reasonable, and all services must be allowable under the grant. Program staff must contact the FOTA Consultant, if any activities or services are not allowable.
   3. It may be necessary to discuss potential issues with Kerry Wiley, DEI Round 8 State Lead, the Special Populations Team ([SpecialPopulations@labor.ny.gov](mailto:SpecialPopulations@labor.ny.gov) to coordinate any corrective action that may be necessary.
   4. Forward both the Review Summary and the report letter to your Field Supervisor for review and approval.
   5. Upon Supervisor approval, prepare final report letter and issue to the LWDB Contact.
   6. Final letter and guide need to be posted to the Final Report folder on the server at the following location: DEWS-QA-Central\Prog&FiscalTA\Field\Program
   7. After the final report letter has been issued, follow-up on any Findings within 30 workdays, if corrective action is required.
   8. Write up results of follow-up and issue a letter on status of any corrective action. Include the write-up as a supplement to the final report letter and post.

G. Expected Goals and Outcomes

|  |
| --- |
| **NYSDOL - Project Goals:** |
| Improve education and employment outcomes for youth (ages 14-24) with disabilities by increasing their participation in existing Career Pathways programs |
| Expand the capacity of the New York State Career Center system to serve youth with disabilities using a career-development approach |
| Develop a broader business engagement approach within existing Career Pathways programs to address business needs and develop a sustainable talent pipeline. |

|  |  |  |  |
| --- | --- | --- | --- |
| **Projections for Participant Outcomes** |  | |  |
| **Youth: WIOA Title 1 - Statewide** | Amount | | % |
| Increase of reportable youth with disabilities | 90 | | 15% |
| Increase of youth with disabilities entering training | 20 | | 15% |
| Increase of youth with disabilities who receive work experience opportunities | 110 | | 40% |
| **WIOA Title I Program Primary Indicators of Performance for Youth with Disabilities by LWDA** | | | |
|  | CDO | Hempstead | Tompkins |
| Employment/placement in education/training in 2nd quarter after exit | 46% | 84% | 43% |
| Employment/placement in education/training in 4th quarter after exit | 39% | 29% | 28% |
| Median earnings in the 2nd quarter after exit | $2,731 | $3,648 | $1,927 |
| Credential attainment within one year after exit | 40% | 40% | 40% |
| Measurable skills gain | 80% | 80% | 80% |
| **Expected Outcomes of Serving Ticket Holders - Statewide** | | | |
| Number of SWAs and LWDBs becoming Ticket to Work ENs | All LWDBs are currently ENs | | |
| Number of Tickets assigned | 35 | | |
| Amount of Ticket revenue | $33,600 | | |
| Social Security disability beneficiaries participating in career pathways  programs | 11 | | |
| SSDI beneficiaries that are employed or received a placement in postsecondary education | 14 | | |
| Number of milestones achieved in program year | 13 | | |

DEI Round 8

Review Summary

LWDA reviewed: Reviewer:

Date(s) of Review: Period of Review:

|  |  |  |
| --- | --- | --- |
| **Review Topic 1: Participant Record Review** Respond to each question based on the cumulative sampled participant records reviewed. Note any discrepancies and/or Findings disclosed during the review. Note any technical assistance, corrective action, and/or required action in the comments section. | | |
|  | **Comments** | |
| 1. General Information tab is being properly updated including email address: |  | |
| 1. Eligibility tab including Disability sections in OSOS have been updated: |  | |
| 1. Work History Tab was properly updated: |  | |
| 1. Staff are collecting information and completing the DEI tab: |  | |
| 1. DEI Services are being properly entered: |  | |
| 1. OSOS Fields that impact performance are being updated. Any data entered is documented. |  | |
| Additional Comments: | | |
| **Review Topic 2: DEI Program Disability Resource Coordinator/Professional Development/Assistive technology** Complete this section through on-site observation, interview with the LWDB Director, DRC, and other appropriate partner staff. | | |
| 1. **DRC**: Provide the name, office location and schedule of the DRC, obtain job description & qualifications, note employment status of DRC (county, LWDB, or contract employee). *(Note three DRCs are funded under the grant, one in Hempstead/Long Beach, one in Tompkins, and one in CDO)* | | |
|  | | |
| 1. **Career Center & Partner Program Staff Training:** Included in the DRC role is training of Career Center & Career Pathways staff.   Briefly describe how this is being accomplished; note frequency, training topics, and entities participating?  Describe training activities specifically for business services staff and employers? How will the training improve services & outcomes of individuals with disabilities through existing career pathway systems?  How is the quality, effectiveness and efficiency of DRC training evaluated? | | |
|  | | |
| 1. **Assistive Technology**: Identify any assistive technology items purchased or planned purchases under the DEI 8 grant to better serve customers with disabilities in the Career Centers/American Job Centers (AJCs), the existing Career Pathways program, and in response to request for Reasonable Accommodations since implementation of grant. (Equipment with a per unit cost of $5000 or more requires prior approval from the DEI State Lead). | | |
|  | | |
| **Review Topic 3: Local Area Workgroup Formation & Activity** Complete this section through review of monthly DRC reports, on-site observation, interview with the LWDB Director, DRC, other appropriate partner staff, and any documentation/materials provided by program staff. | | |
| 1. **Local Area Workgroup Formation:** A workgroup is to be formed in each of the three LWDAs. Has a workgroup been formed and active? What local entities are participating in the workgroup? | | |
|  | | |
| 1. **Workgroup Activity** The functions of the workgroup are listed below. For each topic consider the following questions. How is the workgroup addressing its functions? What activity has taken place? What knowledge has been gained? Have any resources and/or partnerships been developed? What progress has the workgroup made? Is workgroup activity and progress measurable? | | |
|  | | |
| I. **Accessibility**   1. Identify key barriers and solutions businesses face in recruiting, hiring, training, and retaining individuals with disabilities. 2. Identify and implement strategies for:  * Physical and programmatic accessibility of Career Pathways programs, and * Communications, Services, Technology, and materials.  1. Assess current career pathways training curricula to identify and implement strategies to increase accessibility for youth participants. | | |
|  | | |
| II. **Business Partnerships**   1. Develop a process to identify jobs requiring knowledge and skills for key sectors. 2. Develop and implement a business engagement strategy in targeted industry sectors with career pathway occupations. 3. Expand work-based opportunities | | |
|  | | |
| III. **Outreach and Engagement**   1. Develop and implement a comprehensive youth engagement strategy including:  * Social Media * Outreach and Marketing for Career Pathways programs  1. Comprehensive outreach and engagement targeting:  * Community Based Organizations, Youth Bureaus, Faith-based organizations, Department of Social Services, and Adult Career and Continuing Education Services – Vocational Rehabilitation (ACCES-VR) Community Employment Specialists. | | |
|  | | |
| **Review Topic 4: DRC Activity** Complete this section through review of monthly DRC reports, on-site observation, interview with the LWDB Director, DRC, other appropriate partner staff, and any documentation/materials provided by program staff. | | |
| 1. How is the DRC supporting the goals of the DEI 8 program? Consider the following questions and provide examples. What activities has the DRC participated in to increase their own knowledge of accessibility, career resources, and support services? Has the DRC identified any barriers to career pathway training and/or work experience and initiated strategies for accessibility? How is the DRC engaging businesses to identify career pathway occupations and work experience opportunities? Has the DRC reached out to create relationships and engage local Community Based Organizations, Youth Bureaus, business organizations, and ACCES-VR? Is the DRC developing and implementing recruitment strategies? | | |
|  | | |
| **Review Topic 5: DEI 8 Tab Service Delivery Strategies**  Integrated Resource Team (IRTs), Blend & Braid Funds[[1]](#footnote-1) & Leverage Resources, Work-Based Experience, Apprenticeship, or internships, Asset Development, Case Management or Wraparound Services, Customized Employment and Discovery, Benefits Planning, and Individualized Learning Plans. | | |
| 1. What service delivery strategies are being implemented in the LWDA? What is the DRCs role in implementing and/or facilitating the service delivery strategies? | | |
|  | | |
| **Review Topic 6:** | | |
| 1. **Ticket to Work program:**  Briefly describe the process for identifying potential ticketholders, assigning tickets, and providing long-term supports to ticketholders. Note how many ticket holders have been enrolled in Career Pathways training and/or work experience. | | |
|  | | |
| 1. **Record Retention**: DEI program must follow Federal guidelines on record retention. Records must be kept for at least 3 years from grant closeout. In addition, providers must be incompliance with the collection, storage and/or disposal of personally identifiable information (PII) and personal, private, and sensitive information (PPSI) as outlined in [TA 18-5](https://labor.ny.gov/workforcenypartners/ta/ta-18-5.pdf). Describe procedures in place to ensure that the DEI records are properly maintained. | | |
|  | | |
| **Review Topic 7: Program Outcomes** Based on review of available sources such as DEI Quarterly reports, Research & Statistics reports, local staff discussion, and tracking activity with the Outcomes in section G above, comment on progress in achieving goals.  *Evaluate participant and service levels during the grant period and change in levels from program years prior to the start date of the grant.* | | |
| **Review Criteria** | | **Comments** |
| **Projections for Participant Outcomes Youth: WIOA Title 1** | | |
| Total number of individuals with disabilities served | |  |
| Increase of reportable youth with disabilities | |  |
| Increase of youth with disabilities entering training | |  |
| Increase of youth with disabilities who receive work experience opportunities | |  |
| **WIOA Title I Program Primary Indicators of Performance for Youth with Disabilities by LWDA** refer to section G. Expected Goals and Outcomes above or grant narrative | | |
| Total number attaining credential during or within one year after exit | |  |
| Total number in employment/placement in education/training in 2nd quarter after exit | |  |
| Total number in employment/placement in education/training in 4th quarter after exit | |  |
| Total number of measurable skill gains | |  |
| **Expected Outcomes of Serving Ticket to Work Holders** refer to section G. Expected Goals and Outcomes above or grant narrative | | |
| Number of Tickets assigned | |  |
| Social Security disability beneficiaries participating in career pathways | |  |
| SSDI beneficiaries that are employed or received a placement in postsecondary education | |  |
| Number of milestones achieved in program year | |  |
| Additional Comments: | | |
| **Summarize any Findings & Required Actions below:** | | |
|  | | |

DEI Review Entrance

|  |  |  |
| --- | --- | --- |
| **Entrance Meeting Summary** | | |
| **LWDA** | **DEI Round #** | **Date** |
| **Name & Title of Individuals Present** | | |
| **Topics/Issues Discussed** | | |

DEI Review Exit

|  |  |  |
| --- | --- | --- |
| **Exit Meeting Summary**  After completing the monitoring guide, schedule an Exit Conference with the subrecipient to review findings, observations and corrective actions. In the space below, indicate the date of the Exit Conference, who was included, and what was discussed. | | |
| **LWDA** | **DEI Round #** | **Date** |
| **Name & Title of Individuals Present** | | |
| **Topics/Findings/Observations/Corrective Actions Discussed** | | |

1. For the purposes of the DEI 8 grant, the term “blended funding” describes mechanisms that pool dollars from multiple sources and make them, in some ways, indistinguishable. “Braided funding” uses similar mechanisms, but the funding streams remain separate. [↑](#footnote-ref-1)