

NYS PRE-APPRENTICESHIP GRANT MONITORING GUIDE FOR PROGRAM STAFF

CONTRACTOR:

DATE OF REVIEW:

DATES OF CONTRACT:

STATE REP:

AMOUNT OF CONTRACT:

The Pre-Apprenticeship RFP can be found online here:
<https://www.labor.ny.gov/workforcenypartners/fundingopps/amended-pre-apprenticeship-rfp.pdf>
 And on the server here:
\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Pre-Apprenticeship #W-15\Pre-Apprenticeship RFP and Qs and As

Individual contracts and narratives can be found on the server: \\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Pre-Apprenticeship #W-15

Q&As can be found online here: <https://www.labor.ny.gov/workforcenypartners/fundingopps/q-a-pre-apprenticeship-rfp.pdf>
 And on the server here:
\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Pre-Apprenticeship #W-15\Pre-Apprenticeship RFP and Qs and As

The NYS Pre-Apprenticeship Grant will fund training to out of school disadvantaged individuals, ages 18-24. This includes individuals who received an income, or are a member of a family that received a total family income, that, in relation to family size, does not exceed the higher of: the poverty line; or 70 percent of the lower living standard income level.

Training programs awarded under this grant must be approved as Direct Entry programs, and must have agreements or establish agreements with sponsors of Registered Apprenticeship Programs to ensure successful completers are placed directly into Registered Apprenticeships and will be assigned to state-funded projects as part of their on-the-job training.

A. Desk Review	Comments
<p>1. Vouchers - Vouchers are located in the individual contract files here: \\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Pre-Apprenticeship #W-15. Vouchers are reviewed by the contract unit and then scanned and placed on the server. Vouchers should be submitted monthly. Discuss any issues concerning the vouchers with the Contract unit staff assigned to the contract. If the contractor is not submitting vouchers on a regular basis, then the program monitor should contact the contractor and ensure that this is done.</p> <p>Is the contractor vouchering in a timely manner?</p>	
<p>2. Trainee Information Forms (TIFs) – A TIF is completed for each participant in a training program. It includes personal information which Program staff will review to verify participant eligibility.</p>	

<p><i>Program Staff should review TIFs on-site to make sure they are filled out completely and accurately, and to ensure that trainees are eligible. Contractors are required to keep hard copies of the TIFs on file.</i></p> <p><i>TIFs should be submitted to the Contract Unit along with the first set of vouchers. Data from the TIFs will be entered into OSOS by the OSOS Unit. If necessary, Program staff can request scanned copies of the TIFs by contacting the OSOS help desk (labor.sm.os.help).</i></p> <p><i>Program staff can also contact the contractor to obtain TIFs and verify eligibility sooner, if they are not available from the OSOS unit.</i></p>	
<p>3. Is Data from the TIFs being entered into OSOS by the OSOS unit as required?</p>	
<p>4. ITWs - Copies of the <i>Individuals Trained Worksheet (ITW)</i> will be stored in the individual contract folders here: \\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Pre-Apprenticeship #W-15.</p> <p><i>Have the ITWs been submitted to the Contract unit with the vouchers?</i></p>	
<p>5. Fiscal – Discuss, with the FOTA representative for the contract, any issues regarding their review of the contract, if this has already occurred.</p>	
<p>B. Field Review - Field staff should make at least one visit to the training site during the training to ensure that training is taking place. If there are problems with the contractor, e.g. if training is not occurring or is not the type of training specified in the contract, staff may need to make additional visits. Staff in charge of the program should be interviewed, as well as a sample of trainees. Review a sample of Trainee Information Forms (TIFs) (or all, depending on the number of trainees) and complete Section E. If vouchering is not occurring, or is occurring incorrectly, be prepared to discuss the vouchers with the program director.</p>	
<p>1. Out of School: <i>Is the Out of School checkbox on the TIF marked “Yes?”</i></p>	
<p>2. Between the Ages of 18 and 24: <i>Is the Age Range checkbox on the TIF marked “Yes?”</i></p>	
<p>3. Disadvantaged: <i>Is the checkbox on the TIF regarding income and LLSIL marked “Yes?”</i></p> <p><u>These first three items must be checked “Yes” for the participant to be eligible.</u></p>	
<p>4. Pre-Apprenticeship Trainee Information - TIFs & ITWs: <i>Are the forms filled out completely and accurately, as far as can be determined? Are TIFs signed and dated by both the trainee and the contractor?</i></p>	
<p>5. Pre-Apprenticeship Training: <i>Audit a training class. Is training occurring, and is it in line with the contractor’s proposal?</i></p>	

<p>6. Sign-In Sheets: <i>Does the contractor maintain sign-in sheets for the trainees, and are the sign-in sheets signed by the instructor or supervisor? Attendance Sheets must include the Name of the Trainee, Signature of the Trainee, Signature of the Trainer, and Date and Hours of Training. Note – FOTA staff will be checking the time sheets for attendance. This question is to ensure that the contractor is maintaining them.</i></p>	
<p>7. Participant Interviews:</p> <ul style="list-style-type: none"> • What are the participant’s general impressions of the program? • Did the participant receive the type of training expected? • Did the participant have any significant issues with the program? • Does the participant have any suggestions for improvement of the program? <p><i>Note - Interviews with the participants are designed to elicit any information about the program that would not otherwise be available by asking the program director or through observation. Interviews should be private. The interview should only take a short time. The program monitor may add any additional questions that he/she feels are appropriate.</i></p>	
<p>C. Outcomes - (to be completed within 60 days of the end of the contract period, if the information is not available at the time of the review). Since all outcomes may not be available at the time of the review, additional contact with the contractor will be necessary. This may be done by phone or e-mail.</p>	
<p>1. Enrollment: <i>How many participants were enrolled vs. the number proposed in the program narrative?</i></p>	
<p>2. Training Completion: <i>What is the number and percentage of trainees who have completed training (based on the actual number enrolled)?</i></p> <p><i>Do trainees who completed training have certificates of completion showing the participant completed all required elements of training?</i></p> <p><i>(Contractors must provide documentation that the service was provided. This will include attendance records for each training session and/or certificates of completion showing the participant completed all required elements of the training).</i></p>	
<p>3. Advancement into a Registered Apprenticeship Program: <i>What is the number and percentage of trainees who completed training who advanced into a Registered Apprenticeship Program? Participants who have advanced into a Registered Apprenticeship program will have submitted an AT 401 (Apprenticeship Agreement), as well as an attestation from the Apprenticeship Sponsor that the apprentice will be assigned to state-funded projects as part of their on-the-job training. A spreadsheet has been created to track when these documents are received in Building 12 (Albany). It is located here: \\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-</i></p>	

contracts\WD Contracts\Contracts By Program\Pre-Apprenticeship #W-15.	
4. Evaluation: <i>Based on observation and discussions with staff and trainees, has the program operated in accordance with contract requirements?</i>	

D. Summary – Findings and Technical Assistance Observations

Exit Meeting Notes:

Upon completion of the review, complete the monitoring guide and use it to write the monitoring report letter to the contractor, using the template found on the server at: [\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-Central\Prog&FiscalTA\Policies-Directives-Guides\Monitoring_Guides\Contracts\Pre-Apprenticeship.](#)

Submit the guide and letter to your supervisor for approval. Upon supervisor approval, e-mail the monitoring report letter to the contractor. If there are any Findings, ensure that the contractor provides corrective action within 30 days, and let the contractor know by e-mail if the corrective action is acceptable or not. Post the monitoring report letter and monitoring guide in the following location: [\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-Program\1-Contracts\Pre-Apprenticeship.](#)

E. Data Element Review and Validation for the NYS Pre-Apprenticeship Grant. Per **Trainee Information Form (TIF)** and other validation documents, if required. TIFs need to be signed by the trainee and by the contractor, showing that the contractor reviewed the form and all information is provided.

Name of Participant	OSOS ID (if available at the time of review)	Contractor	
Data Element	Per OSOS	Supported (if yes, list source)	
		Yes	No
Out of School			
Date of Birth - <i>Must be between the ages of 18 and 24 at the time of enrollment.</i>			
Received an income, or are a member of a family that received a total family income, that, in relation to family size, does not exceed the higher of: the poverty line; or 70 percent of the lower living standard income level			
Funded under "WIOA Statewide Activities"			
Education Level			
Veterans Status			
Selective Service – <i>Males born after 12/31/59 – Support with registration number. If no registration, support with Selective Service Attestation Form if not registered and older than 25, or through documented investigation by the contractor. If unsupported, can't be served with WIOA funds.</i>			
Employment Status at Registration			
U.S citizen or authorized to work in the U.S.			
Limited English Proficiency			

Name of Participant	OSOS ID (if available at the time of review)	Contractor	
Data Element	Per OSOS	Supported (if yes, list source)	
		Yes	No
Single Parent			
Disability			
Homeless			
Offender status			