Kathy Hochul, Governor

Roberta Reardon, Commissioner

**Program Annual Review Guide**

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| **Current review period covered:** |  |
| **Prior review period covered:**  |  |
| **Entity/LWDA monitored:** |  |
| **County/borough reviewed:***(multi-county LWDAs include sampling methodology)* |  |
| **Monitor’s name:** |  |
| **Entrance conference date:** |  |
| **On-site monitoring date(s):** |  |
| **Exit conference date:** |  |
| **Date monitoring guide submitted for management review:** |  |

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**Workforce Innovation and Opportunity Act (WIOA)**

**Program Review Guide – Performance, Subrecipient Monitoring, Eligibility and DEV**

Complete the Program Review Guide using information gathered during the full review. If Findings are identified regarding compliance issues, the reviewer must state the basis for the Finding, e.g., observations, interview, Local Workforce Development Board (LWDB) policy, intake documents and/or participant records.

Reviewers must determine if a non-compliance issue is due to a specific individual, isolated factor, or is a systemic problem that is inherent in the LWDA program operations. This will help to identify potential technical assistance and courses of action.

Completed Quarterly desk reviews, annual review excel workpapers and the Word guide and the issued report letter and follow up reports and corrective action plans must be retained in the monitoring record created for the local area and program year reviewed in the Salesforce system.

**Monitoring Review Outline**

1. Quality Assurance (QA) monitor will coordinate the review timeframe with the respective FOTA monitor for the assigned Local Workforce Development Area (LWDA). Program and Fiscal annual reviews planned dates and progress are tracked through Excel files located on the DEWS shared drive.
2. Overview of monitoring timeline:
	1. Develop a participant sample for your assigned LWDA.
	2. Contact LWDB contact (i.e., Board Director) by email to notify them that you will be conducting a hybrid annual WIOA review with at least one day on-site. Entrance conference may be held remotely prior to on-site review or on first day of review.
	3. Documentation that does not include customer or confidential information (i.e., local policies) or blank forms) can be provided by the LWDB through email prior to, during, or after the on-site review.
	4. Documentation containing customer or confidential information can be shared prior to on-site review through ASPERA only. All requested documentation must be provided to monitor prior to review start date or be available on first day of review.
	5. Conduct on-site review; duration of review depends on location and complexity of review but typically will last for 1 to 2 days.
	6. Schedule and hold an exit conference. Exit conferences may be held remotely or on-site.
	7. Draft monitoring guide;
	8. Prepare report letter;
	9. Submit the guide and the report letter to supervisor/field office manager for review;
	10. Issue the approved report letter to the LWDA; and if necessary;
	11. Follow up on any unresolved Findings listed on the letter. The exit conference should be held as close to end of active monitoring week as possible.
3. Identify a participant sample from the funding streams selected for this review. Funding streams include but are not limited to: WIOA Adult, WIOA Dislocated Worker (DW), Trade Act (TAA), National Dislocated Worker Grants and WIOA Youth. The sample size is five (5) participants enrolled during the program year under review for each program funding stream.  However, for WIOA Youth, if both In-School (ISY) and Out-of-School (OSY) youth were served, the sample size is three (3) ISY and three (3) OSY. For all funding streams except Youth, use the ‘WIA Enrollment Date’ shown in OSOS to determine the participant enrollment date. For Youth participants, the enrollment date is the date of the first funded youth program element. This can be found on the ‘Services’ tab in OSOS, or on the ‘Youth Services’ Management Report. The sample size applies to the funding stream directly and is not to be expanded to account for different eligibility categories within a funding stream. For example, for Youth sample could be 3 ISY and 3 OSY, not 5 for each youth eligibility category. Discuss with your supervisor, if needed, to determine appropriate sample size.

In multi-county/borough areas, the monitor will rotate the review annually, so all counties/boroughs will be monitored within an LWDA. However, if the county/borough selected did not have 5 new enrollments for a funding stream, the monitor must sample customers from another county/borough so that 5 newly enrolled customers are sampled for that funding stream. Identify all counties/boroughs used to pull your sample on the guide cover page. Further instructions for selecting a review sample may be found in Attachment A. Instructions for using the Excel workpapers are shown on the Overview tab. Identify participants by OSOS numbers only (not by their personal names) and do not include personal identifiable information (PII) when writing the report letter. After completing your initial OSOS review, complete the Document Request tabs in the workpapers to identify customers and data elements for which you need additional documentation. After reviewing documents provided by the LWDA, discuss any issues you find during the daily meetings. Ask for clarification or additional support documents, if needed. Data elements not properly documented at the completion of the active monitoring week may result in a Finding on the report letter if prevalent or systemic.

1. Contact the LWDB Executive Director to schedule the on-site review date and an entrance conference. Call the Director and inform them the PY22 annual program monitoring will be conducted for their LWDA. Discuss the general timeframe for the review, including when you plan to perform the on-site review and if the entrance conference is to be held remotely or on the first day of the review. Use the information from the call to propose dates to be included in the outreach email. The email will contain possible dates and times, copies of the blank monitoring guide and workpapers, completed Document Request form, and lists of additional documents/information needed for the review. See Attachment B for email to schedule the on-site review and entrance conference.

Additional documents/information needed for the review include:

* Program subrecipient monitoring policy, schedule of subrecipients needing to be monitored, procedures, monitoring reports issued and follow-up (if applicable).
* Documentation for annual and quarterly subrecipient reviews completed.
* Quarterly desk reviews of performance and accountability monitoring of LWDB subrecipients.
* A/DW program forms used by service providers, (i.e., IEP, ITA, work-based training agreements, procedural tools used by staff such as eligibility documentation checklist or desk reference); and,
* Youth program forms used by service providers, i.e., intake form, ISS, procedural tools used by staff such as

eligibility documentation checklist or desk reference.

1. If the entrance conference is held remotely, discuss the review process and Document Request forms (red tabs on the workpapers) and ensure the LWDA staff understand the information being requested and that they can submit documents prior to the on-site review using email or ASPERA depending on the content of the document.
2. Discuss using Aspera/MySend (Aspera) and verify which staff will be sending documents and obtain their email addresses so links can be sent to them to use Aspera. Complete the review with the documents provided by the LWDA. If documents are submitted prior to on-site date, QA monitor may begin work on the review once received. During on-site monitoring, the monitor should ask for clarification on potential issues found or request additional documents, as needed. . The on-site review process should take about one (1) to two (2) days.
3. The exit conference should be scheduled prior to completion of the review; ideally within 1 week of the last day of the monitoring .
	* Prepare an agenda which includes all current potential Findings, Corrective Actions, TAOs, and Recommendations and provide to attendees at least 1 day prior to meeting. Advise that all items included are draft until finalized during internal review process. If the LWDA provides additional information or documents or implements corrective actions prior to the release of the letter, the letter should be updated to reflect the new information.
4. Once the review is complete:
	* Submit the monitoring guide, workpapers, and draft letter to your manager for review.
	* Once approved by management, issue the letter to the LWDB Executive Director and appropriate staff.
	* If there are unresolved Findings, conduct follow up within 45 days to ensure correction /compliance with Findings or Corrective Action Plans (CAP).
	* Issue a follow-up report relaying the status of any Findings, including the acceptance of corrective action taken.

*Additional resources and references may be found at the end of this guide.*

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| **Review Topic 1: Performance** TEGL 10-16, Change 2; TEGL 23-19, Change 2; TEGL 14-18; TEGL 7-20, TA23-01, WIOA Primary Indicators of Performance and Outcomes OSOS Guide.Refer to the Performance sections of the workpapers to complete this section. The questions below will summarize the results of the individual participant file reviews. When completing this section, focus on identifying OSOS data entry errors that may be negatively impacting the LWDA performance and adhering to collecting and retaining documentation to support outcomes reported. For example, if 2 out of 5 customers did not have the credential documented, you would answer ‘No’ for question 2, and identify each error with OSOS ID in the Comments section. **Issues identified during the review may result in a Finding. Isolated incidents may be documented as a TAO. Outcome data reported in OSOS must adhere to DEV requirements in TEGL 23—19, Change 2. Explain any ‘no’ or N/A responses in Comments section.**  |
| 1. **Credential Attainment** – All ISY; A/DW/OSY/TAA who received an education or training service, excluding On-the-Job Training (OJT) and Customized Training. Credential attainment data is entered on the ‘Training Outcomes’ tab in the Services window.
 |
| 1. Did any sampled customers successfully complete a training service, including ISY?

***If ‘No’,******skip to Measurable Skill Gain section below.*** | Yes [ ]  No [ ]   |
| 1. Was the Training Outcomes tab in OSOS updated to include attainment of credential (all green dotted fields updated)?
 | Yes [ ]  No [ ]  N/A [ ]   |
| 1. If credential was reported, was it documented in accordance with TEGL 23-19, Change 2?
 | Yes [ ]  No [ ]  N/A [ ]   |
| 1. Does date on credential (if copy provided) or date of attainment in OSOS Comment match exactly what was entered in the “Completion Date” field?

Note: completion date is used in OSOS for Date of Attainment. | Yes [ ]  No [ ]  N/A [ ]   |
| 1. If participants obtained credentials, were they reported on the Training Outcomes tab?
 | Yes [ ]  No [ ]  N/A [ ]   |
| **Comments on Credential Attainment review**: |
| 1. **Measurable Skill Gain (MSG)** – All ISY, A/DW/OSY/TAA who are in an education or training program that leads to a recognized postsecondary credential or employment. Excludes OSY who receive only work experience services (including Youth-funded OJTs). MSG is not an exit-based outcome; customers are included in the measure each PY they are enrolled in an education or training service. MSG data is entered through the Outcome Detail button on the ‘Training Outcomes’ tab.
 |
| 1. Were any sampled customers enrolled in an education or training service?

If no, skip to Employment-Based Outcomes section below. *Questions below are to be answered for customers enrolled in education or training services.* | Yes [ ]  No [ ]   |
| 1. If MSG reported, is the Skill Gain section on the Outcome Details pop-up window updated correctly?
 | Yes [ ]  No [ ]  N/A [ ]   |
| 1. Has the Contact Info section been updated if MSG reported? (N*ot required per OSOS Guide but is best practice*).
 | Yes [ ]  No [ ]  N/A [ ]   |
| 1. Was a hard copy provided to support reported MSG? (Required per TEGL 23-19, Change 2)
 | Yes [ ]  No [ ]  N/A [ ]   |
| 1. If participants attained an MSG, was it reported on the Outcome Details pop-up window?
 | Yes [ ]  No [ ]  N/A [ ]   |
| **Comments on MSG review**: |
| 1. **Employment-Based Outcomes** – Employment rate in 2nd and 4th quarter after exit and median wages are all employment-based outcomes. These measures use the same data sources to report performance. The primary source of data for these measures is UI wage data (which is not visible to staff or reported directly into OSOS). USDOL allows the use of Supplemental Wage Data in select instances. Focus your review on instances where UI wage data is not available, or when Supplemental Wage Data is used to report employment outcomes.
 |
| 1. Did all sampled customers have a Social Security Number entered in OSOS?

Did all sampled customers have employment data entered on the Employment Outcomes tab?***If ‘Yes’ to both questions above, skip to the next review topic. If ‘No’ to both questions above, move to the next question below.***  | Yes [ ]  No [ ]  Yes [ ]  No [ ]   |
| 1. If employment data was entered on the Employment Outcomes tab, were all green dotted fields updated?
 | Yes [ ]  No [ ]  N/A [ ]  |
| 1. If yes to Q2, was manual wage data entered?
 | Yes [ ]  No [ ]  N/A [ ]  |
| 1. Was documentation provided to support the employment data reported? *OSOS Comment may be used if it states verified with employer; otherwise, hard copy is needed. See TEGL 26-16 for complete list of allowable supplemental wage supporting methods.*
 | Yes [ ]  No [ ]  N/A [ ]  |
| **Comments on Employment-Based Outcomes review**: |
| 1. **Serving Adult Priority Populations** - Refer to the most recently issued [WIOA Quarterly Performance Report](https://gcc02.safelinks.protection.outlook.com/?url=https%3A%2F%2Fdol.ny.gov%2Fperformance-indicators-goals&data=05%7C01%7CTodd.Doherty%40labor.ny.gov%7C17fcf6908aad412d5c0c08db5af7f6da%7Cf46cb8ea79004d108ceb80e8c1c81ee7%7C0%7C0%7C638203793260928860%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=%2FM1zjGcECSwCAzfLgYGSAOHv4RpSI8ZVl2Wfd6nOKxk%3D&reserved=0), WIOA Adult Priority of Service Errors (Excel File) and Adult Priority Analysis completed on the Program Workpapers to complete this section.  The questions below will summarize the results of the LWDB’s level of success in meeting the required goal of giving priority of service to Adults receiving Individualized Career or Training services who are *1) Recipients of Public Assistance, 2) Other Low Income, and or 3) Basic Skills Deficient.*  USDOL envisions that at least 75% of Adult participants in each State who receive individualized career and training services are from at least one (1) of the three (3) priority populations and expects this rate will be no lower than 50.1%. Therefore, NYSDOL will hold LWDBs to the 50.1% requirement.

**Issues identified during the review will result in a Technical Assistance Observation only.  The focus of this section is to identify the LWDB’s current level of success in meeting this requirement, identifying strategies they are implementing to improve, if necessary, and a plan of action going forward if necessary.** |
| **LWDA Adult Priority of Service Performance Summary** |
| Using the most current WIOA Quarterly Performance Report, provide the report date and percent of the Statewide goal:  |  |  |
| What is the current Adult Priority of Service Rate for LWDA?Is the rate at least 50.1%? | Rate:Yes [ ]  No [ ]  |
| If the LWDA Adult Priority of Service Rate is below 50.1% complete the following questions. Comment on any notable results in the Comments Section below. Include any promising practices or future plans they have on improving reporting priority of service data entry.  |
| 1. Based on discussion with LWDA (LWDB Director, Center Director, other) were they aware of the NYSDOL training on Adult Priority of Service given on January 19, 2023?
2. If yes, did they notify center staff of the training and provide time to watch live or the recording? If no, discuss importance of reporting Adult priority populations to USDOL, referring to the TEGL and TA as necessary.
3. If no, advise local staff of availability of recorded training. Note in comment section below if staff informed you of their intention to watch the recording.
 | Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ]  |
| 1. Has the center implemented additional staff training on capturing and reporting Adult priority of service data?

If yes, provide brief summary in the Comment section and note any promising practices.  | Yes [ ]  No [ ]  |
| 1. Has the LWDB implemented an internal monitoring process of Adult Priority Service data entry performed by staff? *Note, it is not required for the local to have implemented their own monitoring process, however, promising practices may be used to assist other local areas.*
 | Yes [ ]  No [ ]  |
| **Analysis of Adult Priority of Service OSOS Data Entry****Answer the following questions using the results of the analysis completed on the Program Workpapers.** |
| * + - 1. Did you find that the customers sampled were correctly entered in OSOS as not having a priority category? If ‘No’, provide summary in the Comments Section. (e.g., Comment states customer is unemployed and disabled at enrollment, but Low-Income was not entered in OSOS.)
 | Yes [ ]  No [ ]  |
| 1. Did review of OSOS Comments find that data entry in OSOS matched or was supported by the comments?
 | Yes [ ]  No [ ]  |
| 1. Did review show that demographic data appeared to be done prior to enrolling customer? (e.g., Customer shown on Adult Priority of Service Error list as not receiving SNAP, but OSOS now shows SNAP data.)
 | Yes [ ]  No [ ]  |
| **Comments:** |

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| **Review Topic 2: PY21 Subrecipient Monitoring**20 CFR 683.410, 20 CFR 679.370(i), WIOA §107(d)(8), WIOA §134(c) and (d), TA 21-04, [TA 21-05](https://dol.ny.gov/ta-21-05)20 CFR 683.410(a) “Each recipient and subrecipient of funds under title I of WIOA and under the Wagner-Peyser Act must conduct regular oversight and monitoring of its WIOA and Wagner-Peyser Act program(s) and those of its subrecipients and contractors as required under title I of WIOA and the Wagner-Peyser Act.TA 21-05 (June 25, 2021), “LWDBs, in partnership with the CEO, or the CEO’s designated fiscal agent, must conduct remote and/or onsite subrecipient monitoring of WIOA programs and the One-Stop Career Center System in their LWDAs.” The TA further defines the types of review and required frequency as follows: (1) Program Monitoring of Adult, Dislocated Worker, Youth and Trade Act – Annually; (2) Subrecipient Contract Reviews – Quarterly; (3) Desk Reviews of Performance monitoring of LWDB subrecipients - Quarterly.LWDBs are required to conduct program monitoring of WIOA A/DW and Youth employment and training (E&T) activities. When LWDBs make sub-awards of federal funds to subrecipients to carry out parts of a federal program, monitoring of the LWDB subrecipients is required. If program services are provided by a contractor, the LWDB is still required to perform oversight activities; but is not included in this part of the review.Evaluate the LWDB subrecipient monitoring for effectiveness and completeness. Review the LWDB subrecipient monitoring policy, plan, monitoring reports and any corrective action plans (CAP). **Failure to comply with Federal, State, or LWDB subrecipient monitoring requirements will result in a Finding.**  |
| 1. **LWDB Adult, DW and Youth Program Subrecipient Monitoring**
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| 1. Does the LWDB have a monitoring and oversight plan which includes a description of the program monitoring and oversight activities to be performed that meet minimum frequency requirements in TA 21-05?

Note: LWDBs must conduct at least one annual program monitoring review for each subrecipient of WIOA formula funds. The subrecipient contract reviews and desk reviews of performance and accountability monitoring of LWDB subrecipients must be completed at least quarterly.  | Yes [ ]  No [ ]  |
| 1. If yes, is there a schedule detailing the timeframes for the monitoring of subrecipients?
 | Yes [ ]  No [ ]   |
| 1. Are all subrecipients included in the monitoring plan?
 | Yes [ ]  No [ ]   |
| 1. Was PY21 monitoring performed as outlined in the LWDB monitoring policy (i.e., frequency, schedule, and type)?

*Check subrecipient county entity(s) to be sure they are being monitored as required. If subrecipients have not been monitored for PY21 by July 31, 2023 (deadline for timeliness of June 30, 2023 plus one month extension), advise the LWDB to stop monitoring this cycle and instead briefly identify plan to improve timeliness of PY22 monitoring.* | Yes [ ]  No [ ]  List any subrecipients not monitored:  |
| 1. Are monitoring reports/letters issued to the subrecipient?

List here when the letters were issued and to whom, as well as for what period the monitoring covered. | Yes [ ]  No [ ]  N/A [ ] Issued to Date Period Covered\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_ |
| 1. Are reports/letters issued in a timely manner per the TA?

To be considered timely, they must be issued within 45 calendar days after the monitoring was completed. Our interpretation of the TA is that completed means the exit meeting or last day of monitoring has occurred. *They must also be issued by June 30 as the TA requires annual monitoring.*  | Yes [ ]  No [ ]   |
| 1. Are the reports/letters issued comprehensive, providing details of any Findings, and required Corrective Actions?
 | Yes [ ]  No [ ]   |
| 1. Is there follow up to ensure corrective actions resolved any Findings identified? *(If applicable)*
 | Yes [ ]  No [ ]  N/A [ ]   |
| **Comments** on Subrecipient Monitoring (noting any unresolved or systemic issues identified in LWDB monitoring reports). Please note that if subrecipient monitoring is not completed or does not comply with guidance, it is a FINDING. *Text below is for guidance – remove un-needed text below once review of subrecipient monitoring is completed.* ***If subrecipient monitoring was not performed****, add a statement such as: The LWDB did not complete program subrecipient monitoring of (subrecipient) for Program Year (PY) 2021 by June 30, 2023, as required in TA 21-05. Subrecipient monitoring must be timely and completed within one year of the end of the program year.* *Corrective Action Example:**As PY21 ended 6/30/2022, requiring completion of the outstanding PY21 subrecipient monitoring reviews during PY23 would be untimely, and could cause delays in timely completion of PY22 subrecipient monitoring. As such, the required action during PY23 is priority completion of PY22 subrecipient monitoring reviews that were not performed for PY21. Additionally, a monitoring plan must be developed to ensure all required subrecipient monitoring for the next program year subrecipient awards, which were made for services during PY22 (for the period of July 1, 2022 to June 30, 2023), must be completed by the end of PY23, which falls on June 30, 2024. The annual monitoring cycle for PY22 must begin as early in PY23 as possible to ensure sufficient time is available to complete all required subrecipient monitoring.* *To partially resolve this finding, the LWDA must provide a written response to this report finding detailing the monitoring timeline for all required PY22 subrecipient monitoring.* *To fully resolve this finding, in addition to the above, the LWDA must complete the PY22 review for subrecipient XX and send the completed workpapers and issued monitoring reports to NYSDOL Program Monitor for review.****If subrecipient monitoring reports were not distributed to all required participants****, add a statement such as: TA 21-05 requires the distribution list for written reports which result from remote and/or onsite monitoring and oversight shall include, [1] The agency being reviewed (subrecipient); [2] LWDB Chair (or designated LWDB member(s) to receive the report); [3] LWDB Executive Director (if this person is not the individual that performed the monitoring and is signing the written report; [4] The appropriate NYSDOL Financial Oversight and Technical Assistance (FOTA) and Program representatives; and [5] Grant Recipient CEO (and subrecipient CEO if the report is for the subrecipient CEO's county).[State which required participants didn’t receive which specific monitoring report. If the local policy doesn’t state all the required parties listed in TA 21-05,indicate that too].**Corrective Action Examples:**Going forward, the LWDA must ensure subrecipient monitoring reports are issued to all required recipients, in accordance with TA 21-05.* *The LWDA is required to modify its subrecipient monitoring policy to ensure compliance with TA 21-05 and adhere to the policy for future monitoring and oversight.*To resolve this finding, the LWDA must:  1. Respond in writing confirming future subrecipient monitoring reports will be issued to all parties on the required distribution listing dictated in TA 21-05.
2. Confirm in writing that local policy which directs monitoring and oversight has been updated to ensure compliance with TA 21-05.

***If the LWDA’s Subrecipient Monitoring Policy/Plan are not in compliance with TA 21-05****, cite the requirement of the TA where the policy is lacking.**Corrective Action Example:**The LWDA is required to update its policy to ensure that the policy is in compliance with TA 21-05 requirements.*To resolve this finding, the LWDA must provide a copy of the updated policy to Program monitor for review. |

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| 1. **Quarterly Desk Review Summary**

Summary of any Adult, DW, TAA and Youth program-related issues identified from the most recent field staff’s Quarterly Desk Review. **Issues identified must be discussed with the LWDB. Any unresolved issues from the review may result in a TAO. (Also see c. below for Data Queries)** |
| **Comments:** |
| 1. **Data Queries**

20 CFR 679.370(h), 20 CFR 680.120-130, 680.210-.220, TA 06-16.2, TA 11-12.2, TA 11-7, TA 17-7, TEGL 10-16 Change 2, TEGL 07-18, TEGL 23-19, Change 2, TEGL 21-16, ER-NDWG OSOS Guide, TAA OSOS Guide(s), Desk Guide for Provider Module Data Entry and Maintenance, Creating Providers, Services and Offerings OSOS Guide, The 411 on WIOA Title I Youth Program Services Guide, ETPL OSOS Guide, LWDB Contracts.Based on the summary of data query tabs in the workpapers, issues identified should be discussed with the LWDB. Any unresolved issue identified in the first review may result in a TAO. If the situations continue to be unaddressed, it could lead to a Finding in the subsequent program year monitoring review. A summary of each query can be found on the Overview tab of the workpapers. The individual queries, and the query instructions can be found in the same document, on the green tabs. |
| **Comments:** |
| **Review Topic 3: WIOA Adult, DW, Youth & TAA Participant Eligibility**TEGL 23-19, Change 2 - Attachment II; TA 23-03, 20 CFR 680.120 - .130, 680.210, WIOA §3(15), Trade Act of 1974 as amended in 2002, 2009, 2011. 2015, 2021.Determine if the LWDA program adheres to eligibility requirements when enrolling participants. Review applicable policies, procedures, participant records and tool(s) the LWDA developed to support accurate eligibility documentation by staff, such as a checklist or desk reference. (Refer to green and tan sections of A, DW, and TAA; and green section of Youth tabs in the workpapers).If errors or omissions are identified, note the specific exceptions, and advise the LWDA staff to re-verify the eligibility of any participant in question during the daily meetings.**Any participant found not eligible at the conclusion of the review will result in a Finding. For any potential Findings, provide evidence, e.g., record examples, observations and documents that support the Finding.** |
| Adult EligibilityTA 23-03 ; TEGL 19-16; WIOA §3(24), 20 CFR § 680.120 |
| Were all Adult participants sampled eligible? Yes [ ]  No [ ]  If no, identify OSOS ID(s) found to be ineligible and provide the reason(s). |
| **Comments:** |
| 1. **DW Eligibility**

TA 23-03; PGL 22-01; TEGL 19-16; WIOA §3(15), WIOA §680.130 |
| Were all DW participants sampled eligible? Yes [ ]  No [ ]  If no, identify by OSOS ID(s) found to be ineligible and provide the reason(s). |
| **Comments:** |
| 1. **TAA Eligibility**

TA 23-03; TA 21-03; TEGL 4-20, Trade Act Program Directives and Guidance, Trade Adjustment Assistance Desk Guide, TAA OSOS Guide - Intake Eligibility, Trade Act Benchmarks, TAA Training Waivers |
| Were all TAA participants sampled eligible? Yes [ ]  No [ ]  N/A [ ]  If no, identify by OSOS ID(s) found to be ineligible and provide the reason(s). |
| **Comments:** |
| 1. **Youth Participant Eligibility**

TA 19-02, TA 23-03, 20 CFR 681.200 - 681.320, TEGL 21-16, TEGL 9-22 |
| Were all Youth participants sampled eligible? Yes [ ]  No [ ]  If no, identify by OSOS ID(s) found to be ineligible and provide the reason(s). |
| **Comments:** |
| **Review Topic 4: Data Element Validation**20 CFR 680.600,TEGL 07-18 Joint Source Documentation, TEGL 23-19, Change2 Attachment II: Source Documentation for WIOA Core/Non-Core Programs, TA 23-03, PIRL, TA 17-7 Data Element Validation (DEV) items are found in the workpapers and Document Request form, on the blue tabs. Examples of acceptable documentation for each data element can be found in the same document on the first red tab.**Issues identified during the review may result in a Finding. Isolated incidents may be documented as a TAO for items (a) through (c).** |
| 1. **Demographic Data WIOA Adult, DW, Youth, and TAA**

TEGL 23-19, Change 2; TA 23-03Items to consider when completing this section include, but are not limited to: * Is the data accurately entered in participant’s OSOS record based on instructions in the OSOS User Guides?
* Is each element reported in OSOS documented with an allowable source?
* Is there consistency between the OSOS record data (e.g., employment status, work history, single parent), OSOS Comments and documentation? *For example, Comments state participant was laid-off from most recent employment, but Work History tab shows no end date for the employment.*
* Is date of birth verification confirmed in OSOS DOB tab? If additional support documentation is needed, is it available and documented appropriately?
* Do all males born after December 31, 1959, have Selective Services registration recorded properly in OSOS?
 |
| **Adult demographic data validation Comments**: **DW demographic data validation Comments**: **Youth demographic data validation Comments**:**TAA demographic data validation Comments**: |
| 1. **Adult/DW Services Review**

20 CFR 680.150(c); 20 CFR 678.430(c), 20 CFR 680.200, 20 CFR 680.230, 20 CFR 680.300, 20 CFR 680.900, TEGL 23-19, Change 2, TEGL 19-16, TA 23-03, TA 09-2.1, TA 10-15.2Generally, each activity and service entered for participants should be accompanied by an OSOS comment. QA monitors will also review the Services tab in OSOS to verify that training serviced are entered correctly and funded with correct funding stream. **If documentation is insufficient it may result in a Finding; determine if it is a systemic issue, or an isolated occurrence**. |
| 1. Is the Initial Assessment (IA) entered and OSOS comment recorded? TA 08-4.2, Recording an Initial Assessment Activity
2. Is Individual Employment Plan (IEP) completed, service entered, and OSOS comment recorded for participants who received training services? 20 CFR 680.170, TA 09-17.1, TEGL 19-16
3. If supportive service is provided, is it recorded in OSOS with corresponding comment? Is it provided according to the LWDB policy? 20 CFR 680.900-.970; WIOA §3(59); WIOA §134(d)(2)
4. If participants are placed in unsubsidized employment, are follow-up services recorded in OSOS? *\*Note: follow up services are provided for up to 12 months after the first day of employment for participants who are placed in unsubsidized employment. –* WIOA §134(2)(A)(xiii); WIOA §134(d)(5)
5. Are training services entered correctly in OSOS, using the correct funding stream, with a supporting comment?
 | Yes [ ]  No [ ]  N/A [ ] Yes [ ]  No [ ]  N/A [ ]  Yes [ ]  No [ ]  N/A [ ] Yes [ ]  No [ ]  N/A [ ]  Yes [ ]  No [ ]  N/A [ ]   |
| **A/DW Services Comments**: |
| 1. **Youth Services Review**

20 CFR 681.460, 681.420(a)(1), 20 CFR 681.420(a)(2), TEGL 21-16Each Youth service must be entered in OSOS with the correct ‘Service Type’, noting “(Youth)” (as listed in L2 WIOA Youth Service Categories and Types), accompanied with an OSOS Comment. QA monitors will review the ‘Services tab’ in OSOS to verify the services were entered correctly and are attached with WIOA Youth funds (in accordance with WIOA Youth Program Services Brief). Information for this section may be gathered from the entrance/exit conference, desk reviews and OSOS Management Report Queries. |
| * + 1. **Design Framework Services:** 20 CFR 681.420(a)(1-3)

NYSDOL guidance requires an Objective Assessment (OA) and Individual Service Strategy (ISS) service be recorded in OSOS for each Youth participant. Design framework services must:Include an OA of each youth participant, a review of the academic and occupational skill levels, service needs and strengths; to identify appropriate services and career pathways;Develop and update (as needed), an ISS based on the needs of each youth participant that:a. Is directly linked to one or more indicators of performance;b. Identifies career pathways, which include education and employment goals;c. Considers career planning and the results of the objective assessment; andd. Prescribes achievement objectives and services for the participant.*NYSDOL Guidance requires Objective Assessment and ISS services be recorded in OSOS for each youth participant.* |
| * + - * 1. **Objective Assessment (OA)** - TEGL 21-16
1. Was an OA conducted for each youth sampled?
2. Was an ‘Objective Assessments (Youth)’ service entered in OSOS for each youth sampled?
3. Did each OA include the following required criteria?
* Academic levels
* Basic skills
* Occupational skills
* Interests
* Prior work experience, including volunteering
* Employability
* Supportive service needs
* Aptitudes, including nontraditional jobs
* Developmental needs
* Service needs
* Strengths
 | Yes [ ]  No [ ]  Yes [ ]  No [ ]  Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ]  |
| **OA Comments** (note OSOS IDs lacking any items above, LWDA response to missing items, what LWDA will do going forward): |
| * 1. **Individual Service Strategy (ISS)** - TEGL 21-16
1. Did each youth sampled have an ISS on file?
2. Was a Development of Individual Service Strategy (ISS) (Youth) service entered in OSOS for each youth?
3. Did each ISS identify a direct link to one or more performance indicators?
4. Is there evidence the participant was involved in the ISS development

 (For example, updates are signed/dated by the youth/counselor?)1. Did each ISS identify career pathways, including education/employment goals?
2. Did each ISS identify achievement objectives?
3. Did each ISS identify services needed/provided and any referral made?
4. Was ISS updated, as needed, with progress on goals and issues that occur?
5. Was an Update of Individual Service Strategy (ISS) (Youth) service entered in OSOS for each ISS update?
 | Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ] Yes [ ]  No [ ]  |
| **ISS Comments** (note OSOS IDs lacking any items above, LWDA response to missing items, what LWDA will do going forward): |
| 1. **WIOA 14 Youth Program Elements:** 20 CFR 681.460; TEGL 21-16

LWDAs must make each of the following 14 program elements available to youth participants. LWDAs may use multiple methods (contract, MOA, Fiscal Agent/grant recipient) to provide each element. **Any of the 14 program elements found not available to youth participants will result in a Finding.**1. Tutoring, study skills training, instruction and dropout prevention (ISY)2. Alternative secondary school services or dropout recovery services (OSY)3. Paid and unpaid work experience4. Occupational skills training5. Education offered concurrently with workforce preparation and training for a specific occupation6. Leadership development opportunities7. Supportive services8. Adult mentoring9. Follow-up services1. Comprehensive guidance and counseling
2. Financial literacy education
3. Entrepreneurial skills training
4. Services that provide labor market information
5. Postsecondary preparation and transition activities

Conduct an analysis of the elements provided in the LWDA, using the review workpaper Excel file: Quarterly Report Youth Services tab and Youth Service Types Data Query tab and note outcomes in Comments section.1. Identify which elements, if any, were not provided during the PY.
2. For any element not provided, request the LWDA provide an overview of how the service would be provided if a youth requires it.
3. Use the same process for any element provided which may have been misidentified, does not meet WIOA requirements (TEGL 21-16), or there is no provider for the element.
 |
| **Youth program element Comments** (note element not available, LWDA response, what LWDA will do going forward):  |
| 1. **WIOA Youth Services:** 20 CFR § 681.460, TEGL 21-16

Services provided to Youth must be supported with OSOS Comments, within paper files, or both. Complete this section using the completed Youth OSOS file review, documentation received, and discussions with LWDA. For youth services reviewed, consider the following –* **OSOS Comments/case notes:**
* Were Youth services reported in OSOS supported with OSOS Comments and/or paper file?
* **Follow-up services:**
* Were follow-up services provided, or offered, to exited Youth?
* Is there evidence follow-up services are being provided for a minimum of 12 months?
* Are only the allowable program elements provided during follow-up? (Adult mentoring, financial literacy, supportive services, labor market and employment information, postsecondary transition)
* If follow-up services were not provided, was the LWDA policy followed for youth who declined services or cannot be located?
* **Work experiences:**
* If the Youth received a work experience, do OSOS Comments, and/or file identify academic and occupational educational components, work location and work details?
 |
| **WIOA Youth services Comments**: (note OSOS IDs and service entry issues, LWDA response, what LWDA will do going forward) |
| **Review Topic 5: New York Systems Change and Inclusive Opportunities Network (NY SCION)**TEGL 23-19, Change 2; TA 21-06.1, TA 23-03, NY SCION OSOS Guide, NY SCION Year 2 Notice of Obligational Authority (NOA), [NY SCION Status Update Reports](file:///%5C%5Cdol-smb%5Cdol_shared%5CDOL0A1FS1%5CDews-Data%5Cdews-public%5CWorkforce%5CProgram%20Development%5CDisability%5CNY%20SCION%5CNY%20SCION%20Data%20Reports)NY SCION Year 2: 01/01/2023 - 12/31/2023**Did the LWDA receive NY SCION Year 2 funding: Yes [ ]  No [ ]** If **yes**, complete this section of the guide. If **No**, do not answer questions below, note in Comment box that local did not receive NY SCION funding and continue to next section.The goal of NY SCION is to improve the participation of individuals with disabilities in workforce systems and career pathway programs and improve their employment outcomes. NY SCION funding is used for the Disability Resource Coordinator (DRC) salary, fringe benefits, administration, support, and DRC training. Refer to the NOA for budgeted expenditures in the LWDA. DRCs may spend up to 50% of their time providing direct services to customers with disabilities. NY SCION funding is not used to fund services on the Services Tab in OSOS. NY SCION enrollments are tracked when staff record data in the NY SCION Tab. Customers served with disabilities need to have the NY SCION Tab in OSOS updated. Results of review will be included on the report letter as TAOs with corresponding Recommendations for PY22 review; no Findings or Required Actions will be on the report letter. |
| **1) NY SCION Customer Served Review**Review the NY SCION status reports and enter the specified data in the table below. Box (a), (b), and (c) are on the NY SCION Status report. Box (d) is on the NY SCION SPT report. Filter the data to only include customers enrolled during NY SCION Year 2.  |
| **Percent of Program Completion****(a)** | **Percent Accrued Expenditures vs. Award****(b)** | **OSOS No. Served (consolidated)****(c)** | **Number of adults with disabilities (ages 18+) served****(01/01/23 – Current)****(d)** | **Percent of Adult Customers with Disability Served****(c / d)** |
| 28.5% | 20% | 77 | 148 | 52% |
| 1. Is the percent of adult customers with disabilities served greater than 50.1%? If no, discuss plans to increase the percent of customers served in the NY SCION program with local staff and summarize below.
 | Yes [ ]  No [ ]  |
| **Comments on NY SCION**: (Note customers served, include summary of local plans to increase customers, if needed.)  |
| **2) NY SCION OSOS Data Review**Sample five (5) NY SCION enrolled customers from the NY SCION SPT report and complete the NY SCION Tab on the Program Annual Review Workpapers. Complete the following to determine OSOS data fields / OSOS Tabs were updated and documented with allowable source documentation. |
| Data Field / OSOS Tab | Updated | Documented |
| a) Date of Birth (NY SCION eligibility item - must be at least 18) | Yes [ ]  No [ ]  | Yes [ ]  No [ ]  |
| b) Disability Status(NY SCION eligibility item – must be disabled) | Yes [ ]  No [ ]  | Yes [ ]  No [ ]  |
| c) Selective Service Registration(WIOA eligibility item) | Yes [ ]  No [ ]  N/A [ ]  | Yes [ ]  No [ ]  N/A [ ]  |
| d) Low-Income Status(if co-enrolled as WIOA Adult) | Yes [ ]  No [ ]  N/A [ ]  | Yes [ ]  No [ ]  N/A [ ]  |
| e) Public Assistance Recipient (if co-enrolled as WIOA Adult) | Yes [ ]  No [ ]  N/A [ ]  | Yes [ ]  No [ ]  N/A [ ]  |
| f) Work History Tab(NY SCION data entry requirement) | Yes [ ]  No [ ]  N/A [ ]  | Yes [ ]  No [ ]  N/A [ ]  |
| g) NY SCION Tab(NY SCION data entry requirement) Note: documentation for NY SCION tab are OSOS Comments. | Yes [ ]  No [ ]  | Yes [ ]  No [ ]  |
| **Comments on NY SCION OSOS Data Review:** (note if customer NY SCION eligibility is entered and documented in OSOS or if OSOS data fields / tabs above were not updated or supported): |
| **Summary of any Monitoring Findings & Corrective Actions** *A list of frequent program Findings and corrective actions can be found in* [*Attachment C*](#AttachmentC)*.*Ensure all relevant information regarding a Finding is captured.* Make a clear, concise, and specific statement describing the violation of statue, regulations, uniform guidance, policies, etc.
* State the cause; for example, what is or was the LWDA doing or not doing that resulted in the Finding.
* Identify the citation(s) (statute, regulation, and/or TA requirement) that support the Finding.
* Identify the action(s) required to eliminate the cause of the Finding.
 |
|  |
| **Summary of any Technical Assistance Observations and Recommendations**Include situations that merit attention because they negatively impact services and performance, and if unaddressed could lead to a Finding. State the suggested actions that can be taken to rectify a TAO. Include the results of the OSOS queries in this section, noting if the level of records with issues is high, average, or low compared to other LWDAs, and recommend any needed actions. |
|  |
| **Entrance Conference**Keep documentation of the entrance conference as part of the official work papers. |
| Date of conference:  |
| Attendees:Name Job title Name Job title Name Job title  |
| Topics discussed: |
| **On-Site Visit** |
| Date(s) of on-site visit: |
| Attendees:Name Job TitleName Job TitleName Job Title |
| Topics discussed: |
| **Exit Conference**Keep documentation of the exit conference as part of the official workpapers. |
| Date of conference:  |
| Attendees:Name Job title Name Job title Name Job title  |

**Resources**

**Federal Resources**

* **WIOA Legislation**
	+ [WIOA Law](https://www.gpo.gov/fdsys/pkg/PLAW-113publ128/pdf/PLAW-113publ128.pdf)
	+ [20 CFR Parts 676, 677, 678](https://www.gpo.gov/fdsys/pkg/FR-2016-08-19/pdf/2016-15977.pdf)
	+ [20 CFR Parts 679, 680, 681, 682, 683](https://www.gpo.gov/fdsys/pkg/FR-2016-08-19/pdf/2016-15975.pdf)
* **Training and Employment Guidance Letters (TEGL)**
	+ [DOL ETA all WIOA related advisories](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-04-20)
	+ [TEGL 4-20](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-04-20): Guidance on Integrating Services for Trade-Affected Workers under the Trade Adjustment Assistance Program (TAA Program) with the Workforce Innovation and Opportunity Act (WIOA) Title I Dislocated Worker (DW) Program
	+ [TEGL 7-18: Guidance for Validating Jointly Required Performance Data Submitted under WIOA](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-07-18)
	+ [TEGL 7-20](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-07-20): Effective Implementation of Priority of Service Provisions for Most in Need Individuals in the Workforce Innovation and Opportunity Act (WIOA) Adult Program
	+ [TEGL 08-15](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-08-15): Second Title 1 WIOA Youth Program Transition Guidance
	+ [TEGL 8-19](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-08-19): Workforce Innovation and Opportunity Act (WIOA) Title I Training Provider Eligibility and State List of Eligible Training Providers (ETPs) and Programs
	+ [TEGL 09-22](https://www.dol.gov/agencies/eta/advisories/tegl-09-22): Workforce Innovation and Opportunity Act Title I Youth Formula Program Guidance
	+ [TEGL 10-16, Change 2](https://www.dol.gov/agencies/eta/advisories/tegl-10-16-change-2): Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Core Programs
	+ [TEGL 14-18](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-14-18): Aligning Performance Accountability Reporting, Definitions, and Policies Across Workforce Employment and Training Programs Administered by the U.S. Department of Labor (DOL)
	+ [TEGL 19-16](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-19-16): Guidance on Services provided through the A and DW Programs under the Workforce Innovation and Opportunity Act (WIOA) and the Wagner-Peyser Act Employment Service (ES), as amended by Title III of WIOA, and for Implementation of the WIOA Final Rules
* [TEGL 21-16: WIOA Title I Youth Formula Program Guidance](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-21-16) – Third Workforce innovation and Opportunity Act (WIOA) Title I Youth Formula Program Guidance
* [TEGL 21-16 Change 1:](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-21-16-change-1)  Change 1 to TEGL 21-16 - To update directions for determining whether youth live in a high poverty area for Workforce Innovation and Opportunity Act (WIOA) Title I Youth Program eligibility purposes
* [TEGL 23-19 Change 2](https://www.dol.gov/agencies/eta/advisories/tegl-23-19-change-2): Revisions to Training and Employment Guidance Letter (TEGL) 23-19, Change 1, Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor (DOL) Workforce Programs updated directions to the Census Bureau website at: <https://youth.workforcegps.org/resources/2017/03/22/09/55/~/link.aspx?_id=8548E345651B4ED19113526286036489&_z=z> to determine if a youth lives in a high-poverty area
	+ [TEGL 23-19](https://www.dol.gov/agencies/eta/advisories/tegl-23-19-change-1) Change 1: Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor (DOL) Workforce Programs
	+ [TEGL 26-16](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-26-16) – Guidance on the use of Supplemental Wage Information to implement the Performance Accountability Requirements under the Workforce Innovation and Opportunity Act
	+ [TEGL 39-11](https://www.dol.gov/agencies/eta/advisories/training-and-employment-guidance-letter-no-39-11): Guidance on Handling and Protection of Personally Identifiable Information (PII)
* [Trade Act Program Directives and Guidance](https://doleta.gov/tradeact/law/)
* [A Quick Guide for Serving Customers: Petitions TA-W # 80,000 +](https://dol.ny.gov/system/files/documents/2021/03/quick-guide-for-petitions-ta-w-80000.pdf)
* [TAA Quick Process Guide](https://dol.ny.gov/system/files/documents/2021/03/taa-quick-process-guide.pdf)
* [USDOL ETA COVID-19 Frequently Asked Questions](https://www.dol.gov/agencies/eta/coronavirus#WIOA_DW)

**NYSDOL Resources**

**NYSDOL Performance Unit** **Email** – [labor.sm.dews.performance@labor.ny.gov](file://dol-vdi.svc.ny.gov/roam/dol/USDSS3/Desktop/WIOA%20MR%20Project/Kimmy%27s%20Draft/A%20DW%20TAA%20TET%20OPIOID%20NDWG/labor.sm.dews.performance%40labor.ny.gov)

**NYSDOL Youth Unit** **Email** – YouthTeam@labor.ny.gov

[**OSOS Guides**](https://dol.ny.gov/workforce-professionals-tools)

**Adults, Dislocated Worker, Trade Act & National Dislocated Worker Grants**

* [Initial Assessment](https://dol.ny.gov/initial-assessment)
* [Employability Profile](https://dol.ny.gov/employability-profile-osos-guide)
* [Displaced Homemaker Guide](https://dol.ny.gov/osos-guide-displaced-homemaker-program)
* [TAA Desk Guide](https://dol.ny.gov/taa-desk-guide)
* [TAA OSOS Guide - Intake Eligibility](https://dol.ny.gov/taa-osos-guide-1-intake-eligibility)
* [Trade Act Benchmarks](https://dol.ny.gov/tra-benchmarks)
* [TAA IEP - Employment Plan](https://dol.ny.gov/taa-iep-employment-plan) (Not a guide, but provides an example of what you're looking for)
* [TAA Training Waivers](https://dol.ny.gov/taa-osos-guide-training-waivers)
* [Dislocated Worker Checklist](https://dol.ny.gov/dislocated-worker-osos-checklist)
* [Dislocated Worker Definitions](https://dol.ny.gov/wioa-dislocated-worker-definitions)
* [Documenting Dislocated Worker Status](https://dol.ny.gov/system/files/documents/2021/03/dislocated-worker-osos-checklist.pdf)
* [Covid-19 Disaster Recovery Dislocated Worker Grant (DR NDWG)](https://dol.ny.gov/system/files/documents/2021/11/covid-19-disaster-recovery-dwg-osos-guide.pdf)
* [Employment Recovery NDWG](https://dol.ny.gov/system/files/documents/2021/03/microsoft-word-er-ndwg-covid19-guide_final.pdf)
* [Gun Violence Prevention (GVP) Local initiative](https://dol.ny.gov/system/files/documents/2021/11/gun-violence-prevention-local-initiative-osos-guide.pdf)
* [Equal Opportunity](https://dol.ny.gov/system/files/documents/2022/01/osos-guide-equal-opportunity.pdf)
* [OSOS Attachments Tab](https://dol.ny.gov/system/files/documents/2021/06/attachments-tab-osos-guide.pdf)
* [New York Systems Change and Inclusive Opportunities Network (NY SCION)](https://dol.ny.gov/system/files/documents/2023/04/ny-scion-osos-guide_draft-4.12.23-2.pdf)

**Youth**

* [WIOA Title I Youth Program Eligibility Brief](https://dol.ny.gov/wioa-title-1-youth-program-eligibility-brief)
* [WIOA Title I Youth Program Services](https://dol.ny.gov/411-wioa-title-i-youth-program-services) Brief
* [OSOS Service Categories and Types](https://dol.ny.gov/osos-service-categories-and-types) (Youth)
* [Youth Program SENSE Comments in OSOS](https://dol.ny.gov/youth-program-sense-comments-osos)
* [Service Types & Outcomes](https://dol.ny.gov/service-types-and-outcomes-youth-webinar) (Youth Webinar)
* [Provider Search and Documenting Services to Youth Program Customers](https://dol.ny.gov/provider-search-and-documenting-services-youth-program-customers)
* [Record Retention Table](https://dol.ny.gov/record-retention-table)

**All**

* [Comprehensive Assessment](https://dol.ny.gov/comprehensive-assessment-osos-guide-2017)
* [Attachments Tab](https://dol.ny.gov/system/files/documents/2021/06/attachments-tab-osos-guide.pdf) (New)
* Poverty Guidelines 2022
* [LLSIL Guidelines LWDA 2022](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fdol.ny.gov%2Fsystem%2Ffiles%2Fdocuments%2F2022%2F04%2F70-llsi-2022-lwda.xlsx&wdOrigin=BROWSELINK)
* [LLSIL Guidelines - County 2022](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fdol.ny.gov%2Fsystem%2Ffiles%2Fdocuments%2F2022%2F04%2F70-llsi-2022-county.xlsx&wdOrigin=BROWSELINK)
* [Military Service](https://dol.ny.gov/military-service-osos-guide)
* [ONET Codes](https://dol.ny.gov/osos-guide-onet)
* [Verifying Date of Birth in the DOB Tab](https://dol.ny.gov/osos-guide-dob)
* [Work History Reasons for Leaving](https://dol.ny.gov/work-history-tab-reason-leaving-definitions)
* [WIOA Primary Indicators of Performance and Outcomes](https://dol.ny.gov/wioa-performance-measures-and-outcomes-guide-0)

[NYSDOL Workforce Development System Technical Advisories](https://dol.ny.gov/policy-directives) **(TAs) & Division of Equal Opportunity Development**

* [TA 06-16.2](https://dol.ny.gov/system/files/documents/2021/03/ta-06-16.2.pdf): L1 and L2 Service Definitions and Data Entry Procedures
* [TA 06-16.4](https://dol.ny.gov/ta-06-164): Revised Level 1 Service Definitions and Data Entry Procedures
* [TA 08-4.2](https://dol.ny.gov/system/files/documents/2021/03/ta-08-04.2.pdf): Effective Use of Initial Assessment in the Career Center System
* [TA 09-17.1](https://dol.ny.gov/system/files/documents/2021/03/ta-09-17.1.pdf): Individual Employment Plans/Training Plans for WIA Participants in Training
* [TA 09-2.1](https://dol.ny.gov/system/files/documents/2021/03/ta-09-02.1.pdf): Individual Training Account (ITA) Approval Policy
* [TA 10-15.2](https://dol.ny.gov/system/files/documents/2021/03/ta-10-15.2.pdf): On-the-Job Training Policy
* [TA 11-07](https://dol.ny.gov/ta-11-07): Common Enrollments and Exits, and Inclusion in Workforce Investment Act and Wagner-Peyser Performance Measures
* [TA 12-9.1](https://dol.ny.gov/system/files/documents/2021/03/ta-12-09.1.pdf): Selective Service Registration Requirements under WIOA
	+ [Selective Service System](https://www.sss.gov/Home/Verification) – Registration Verification
* [TA 16-1](https://dol.ny.gov/system/files/documents/2021/03/ta-16-01.pdf): Poverty Guidelines
* [TA 16-2](https://dol.ny.gov/ta-16-02): Retention of Records
* [TA 17-7](https://dol.ny.gov/ta-17-07): Use of One-Stop Operating System and Re-Employment Operating System
* [TA 18-05](https://dol.ny.gov/system/files/documents/2021/03/ta-18-05.pdf): Securing and protecting Personally Identifiable Information (PII) and Personal, Private and Sensitive Information (PPSI) within the New York State Workforce Development System
* [TA 18-06.2](https://dol.ny.gov/system/files/documents/2021/03/ta-18-06.2.pdf): Primary Indicators of Performance for Titles I and III under the Workforce Innovation and Opportunity Act (WIOA)
* [TA 18-02.4](https://dol.ny.gov/system/files/documents/2021/12/ta-18-2.4-etpl-12-08-2021.pdf): Update New York State Department of Labor (NYSDOL) policy regarding the Eligible Training Provider List (ETPL) to comply with the Workforce Innovation and Opportunity Act (WIOA)
* [TA 19-02](https://dol.ny.gov/system/files/documents/2021/03/ta-19-02.pdf): Workforce Innovation and Opportunity Act (WIOA) Title I Youth Program – Participant Eligibility Criteria
* [TA 19-01](https://dol.ny.gov/ta-19-01): Release of Information between Workforce Innovation and Opportunity Act (WIOA) Partner Programs
* [TA 20-01.2](https://dol.ny.gov/system/files/documents/2022/05/ta-20-01.2-covid-19-emergency-05-18-2022.pdf): Implementation of the Workforce Innovation and Opportunity Act (WIOA) during the COVID-19 emergency
* [TA 21-02](https://dol.ny.gov/system/files/documents/2021/04/ta-21-02-local-and-regional-planning-04-02-2021.pdf): Local and Regional Planning under the Workforce Innovation and Opportunity Act (WIOA)
* [TA 21-03](https://dol.ny.gov/system/files/documents/2021/04/ta-21-03-trade-act.pdf): Trade Adjustment Assistance for Workers (“Trade Act”) Program (the Trade Adjustment Assistance Reform Act (TAA) Program, the Trade and Globalization Adjustment Assistance (TGAA) Program, the Trade Adjustment Assistance Extension Act (TAAEA) Program, and the Trade Adjustment Assistance Reauthorization Act (TAARA) Program)
* [TA 21-04](https://dol.ny.gov/ta-21-04): Monitoring – New York State Department of Labor (NYSDOL) Workforce Innovation and Opportunity Act (WIOA) Monitoring/Oversight of and Provision of Technical Assistance to Local Workforce Development Boards (LWDBs) and LWDB Responsibilities Relating to NYSDOL’s Monitoring Process
* [TA 21-05](https://dol.ny.gov/ta-21-05): Monitoring – Remote and/or Onsite Subrecipient Oversight and Monitoring Responsibilities for Chief Elected Officials (CEOs) and Local Workforce Development Boards (LWDBs)
* [TA 21-06.01](https://dol.ny.gov/system/files/documents/2023/04/ta-21-06.01-ny-scion-04-17-2023.pdf): The New York Systems Change and inclusive Opportunities Network (NYSCION) Disability Resource Coordinator (DRC) Pilot Program
* [TA 22-01](https://dol.ny.gov/system/files/documents/2022/01/ta-22-01_01-10-2022.pdf): Implementation of Workforce Innovation & Opportunity Act (WIOA) Equal Opportunity (EO) and Nondiscrimination Policy and Complaint Processing Procedures
* [TA 22-02](https://dol.ny.gov/system/files/documents/2022/02/ta-22-02-required-posters-02-18-2022.pdf): Required Posters for Display in New York State One Stop Career Centers
* [PGL 21-01](https://dol.ny.gov/system/files/documents/2021/09/pgl-gvp-initiative-09-07-2021.pdf): Guidance for Local workforce Development Boards (LWDBs) on the Gun Violence Prevention (GVP) initiative
* [PGL 22-01](https://dol.ny.gov/system/files/documents/2022/09/pgl-22-01-dw-interpretation-draft-09-21-2022.pdf): New York State Department of Labor (NYSDOL) guidance and interpretation on the Workforce Innovation and Opportunity Act (WIOA) definition of Dislocated Worker (DW) and recording DWs in the One-Stop Operating System (OSOS)
* [TA 23-01](https://dol.ny.gov/system/files/documents/2023/01/ta-23-01.pdf): Serving Priority Populations and Priority of Service under the Workforce Innovation and Opportunity Act (WIOA) Title I Adult Program
* [TA 23-03](https://dol.ny.gov/system/files/documents/2023/04/ta-23-03-data-element-validation-04-28-2023.pdf): Data Element Validation (DEV) for Titles I and III under the Workforce Innovation and Opportunity Act (WIOA), National Dislocated Worker Grants (NDWGs), the Trade Adjustment Assistance (TAA) Program, and the Jobs for Veterans State Grants (JVSG) Program
* [Attachment A: Data Element Validation (DEV) for Adult, Dislocated Worker (DW), and Youth; National Dislocated Worker Grant (NDWG); Wagner-Peyser (W-P); Trade Adjustment Assistance (TAA); and Jobs for Veterans State Grants (JVSG) Program Participant](https://dol.ny.gov/system/files/documents/2023/04/attachment-a-dev-chart-final-04-28-2023.pdf)

**Attachment A**

**Gathering a Sample from OSOS Management Reports**

The participant sample may be obtained from one or multiple sources, including, but not limited to, [OSOS Management Reports](http://10.64.106.121:8055/reportsite/index.jsp), TAA Fiscal Summary Reports, [NYSDOL Trade Act Tracker](http://intranet-home/uifield_data/index.asp?redirect=T), and any lists of participant issued by NYSDOL DEWS Performance.

1. Use the [OSOS Management Reports](http://10.64.106.121:8055/reportsite/index.jsp) to identify the total participants for each program funding stream and grant recipient/county included in the review. Sample 5 participants for each program funding stream: 5 Adults, 5 Dislocated Workers, 5 TAA, , 6 Youth (including both OSY and ISY), from one county or borough in the LWDA.
	1. QA monitor must include on the cover page the methodology of the sample collection, including the county or borough being monitored currently, and the next county or borough to be monitored in the subsequent annual review.

**Using the OSOS Managements Reports for identifying a review sample:**

**Note: methods identified below are for example only, other methods may be used depending on availability of data. If monitor is having difficulty in developing a sample of 5 newly enrolled customers, they can reach out to other QA monitors for assistance using the Teams channel or discuss with the LWDA Director during the outreach phone call.**

* Youth Sampling Method
	+ Identify the county/borough you will be monitoring in the current review period and familiarize yourself with the offices (you must know the OSOS names of the offices) in that county/borough.
	+ In the OSOS Management Reports, select the *Youth School Status/Participants* Report.
	+ Select the program year being reviewed from the options on the top of the report.
	+ The report that is generated includes all youth who were active, received at least 1 service, during the selected review period.
	+ Select 5 Youth from the report for the county/borough being reviewed and transfer the participant information to the appropriate tab(s) of the workpapers.
* A/DW/TAA/ /ER-NDWG Sampling Method
	+ Identify the county/borough you will be monitoring in the current review period and familiarize yourself with the offices (you must know the OSOS names of the offices) in that county/borough.
	+ Enter the dates of your review period
	+ Click Get Report
	+ Using Table 17:
		- Click on each A/DW related funding stream in the report, one at a time. This will provide you with a list of all services provided during the period under review for that funding stream.
		- Choose your sample (5 per) for each funding stream from those participants that received ITA Training, Non-ITA Training and Supportive Services.
* Record these 30 participants in the appropriate tab(s) of the workpapers document.