Program Annual Review Guide

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:	

_____

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, Word guide, issued report letter, any follow up reports and/or corrective action plans must be retained in the Salesforce software monitoring record created for the Local Workforce Development Area (LWDA) and program year reviewed.

<u>**Monitoring Review Outline**</u>

Quality Assurance (QA) monitor will coordinate the review timeframe with the respective FOTA monitor for the assigned LWDA. Program and Fiscal annual reviews are tracked through Salesforce.

Overview of monitoring timeline:

- Develop a participant sample for your assigned LWDA.
- Contact LWDB contact (i.e., Board Director) by email to notify them you will be conducting a hybrid annual WIOA review which will include at least one day onsite, and daily meetings during the active monitoring week. Entrance conference may be held remotely prior to on-site review or on first day of review.
- Documentation that does not include customer or confidential information (i.e., local policies) or blank forms) may be provided by the LWDB through email prior to, during, or after the on-site review.
- Documentation containing customer or confidential information may only be shared during the review using ASPERA. All requested documentation must be provided to the monitor prior to the review start date or on the first day of review.
- Conduct on-site review; duration of review depends on location and complexity of review, but typically will last for 1 to 2 days.
- Issue Annual Program Review Data Corrections Memo to LWDB Director and NYSDOL Manager.
- Schedule and hold an exit conference. Exit conferences may be held remotely or on-site. The exit conference should be held as close to end of active monitoring week as possible.
- Draft monitoring guide.
- Prepare report letter. Do not include personal identifiable information (PII) when writing the report letter.
- Submit the guide, workpapers, and the report letter to supervisor/field office manager for review.
- Issue the approved report letter to the LWDA.
- If necessary, follow up on any unresolved Findings listed on the letter.

Participant Sample - 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), and WIOA Youth.

- Sample size - 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. 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.

- Enrollment date - 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. Multi-county/borough LWDAs - In multi-county/borough LWDAs, 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.

- Excel workpapers - Instructions for using the Excel workpapers are shown on the Overview tab. Identify participants by OSOS numbers only (not by their personal names) and. After completing your initial OSOS review, complete the Document Request tabs to identify customers and data elements for which you need additional documentation.

Contact LWDB to set date(s) – Call the LWDB Director to inform them the PY23 annual program monitoring will be conducted for their LWDA, and you are planning to schedule the on-site review date and an entrance conference. 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 in the outreach email. The email must contain potential dates and times, copies of the blank monitoring guide and workpapers, completed Document Request form, and lists of any additional documents/information needed for the review.

Entrance Conference - If the entrance conference is held remotely, discuss the review process and Document Request forms (red tabs on the workpapers). 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.

Documentation for annual review -

- Aspera - 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.

- Additional documents/information needed for the review – at a minimum the following items are to be requested:

    A. Program subrecipient monitoring policy, schedule of subrecipients needing to be monitored, procedures, monitoring reports issued and follow-up (if applicable).
    B. Documentation for annual and quarterly subrecipient reviews completed.
    C. Quarterly desk reviews of performance and accountability monitoring of LWDB subrecipients.
    D. 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).
    E. 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.

- The Supplemental Questionnaire form (ES102) plays a pivotal role in ensuring compliance with Data Element Validation (DEV) requirements when a customer self-attestation is the source documentation. The ES102 is a key component of our compliance framework, capturing customer signatures and dates when attesting to various DEV elements. During the review the monitor should discuss with the local staff the importance of retaining the signed ES102, either in paper or electronic format. Retaining the ES102 form electronically streamlines our processes while ensuring compliance with regulatory standards. Electronic files offer convenience, accessibility, and security in retaining crucial documentation. Moreover, electronic files can be readily shared with the QA program monitor for review purposes using Aspera MySend, facilitating efficient oversight and compliance management. It is important to note that QA monitors cannot mandate how the ES102 is retained, but monitors need to stress the importance of retaining the ES102, even if the customer answers "No" to the questions.

OSOS Corrections Memo - After reviewing documentation received and / or the on-site portion of the review; complete and email the Annual Program Review OSOS Corrections Memo (combined for Title I and NYSDOL). The corrections memo must be provided at least 7 days prior to the exit conference. The correction memo is designed to provide time for OSOS corrections or additional documentation to be provided to resolve any potential Findings. The corrections memo includes issues identified as of the date it is prepared. The list of OSOS issues identified is to be discussed during the exit conference. Exit Conference - The exit conference should be scheduled prior to completion of the review; ideally within 1 week of the last day of the monitoring; and on or after the corrections due date mentioned in the Annual Review OSOS Corrections Memo.

For the exit conference, prepare an agenda that includes all current potential Findings, Corrective Actions, TAOs, Recommendations and provide to attendees at least 1 day prior to meeting. Advise that all items identified 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 must be updated to reflect the new information.

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 Director, and appropriate LWDA staff, and appropriate NYSDOL 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.

Review Topic 1: Performance

20 CFR 679.300(b); 679.370(h)(i)(m)(p);TEGL 10-16, Change 2; TEGL 23-19, Change 2; TEGL 14-18; TEGL 7-20, TA 23-01, 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 3, and identify each error with OSOS ID in the Comments section.

Documented credentials not reported, or credentials reported but not properly documented will result in a Finding. All issues identified with more than one occurrence in this section should be included under one Performance Finding. 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.

a. Credential Attainment – All ISY; and any 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, including ISY, successfully complete a training service during <u>PY23</u>? ***If 'No', check the N/A box for remaining questions in this section and go to next section below.***	Yes ☐ No ☐
2. Was the Training Outcomes tab in OSOS updated to include attainment of credential (all green dotted fields updated)?	Yes ☐ No ☐ N/A ☐
3. If credential was reported, was it documented in accordance with TEGL 23-19, Change 2?	Yes ☐ No ☐ N/A ☐
4. Does date on documentation for credential attainment 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 ☐
5. Was the Training Outcomes tab updated for all sampled customers who had a documented credential?	Yes ☐ No ☐ N/A ☐

Comments on Credential Attainment review:

b. Measurable Skill Gain (MSG) – All ISY, and any 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.

Local staff are not expected to enter MSGs in OSOS if the MSG was earned in a prior Program Year. Changes to prior PY MSG data in OSOS will not affect the LWDA's annual performance reporting. A Finding is to be included on the letter if there are multiple instances of MSG reporting or documentation errors. Required actions for these old MSGs is to require local staff enter MSGs properly and maintain documentation "going forward"; and to require that staff receive additional training on MSG reporting / documentation.

1. Were any sampled customers an ISY or enrolled in an education or training service during PY23? ***If 'No', check the N/A box for remaining questions in this section and go to next section below.***	Yes ☐ No ☐
2. If MSG reported, is the Skill Gain section on the Outcome Details pop-up window updated correctly? *The Skill Gain Type must be appropriate for the Training Category; see Attachment B.*	Yes ☐ No ☐ N/A ☐
3. Was a hard copy provided to support reported MSG? (Required per TEGL 23-19, Change 2)	Yes ☐ No ☐ N/A ☐

4. If there was evidence of participants attaining an MSG during PY23 in OSOS Comments or paper file, was it reported on the Outcome Details pop-up window?	Yes ☐ No ☐ N/A ☐

Comments on MSG review:

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d. Serving Adult Priority Populations – TA 23-01 WIOA Adult Priority of Service

Refer to the most recently issued PY23 WIOA Primary Indicators Performance Report, most recently issued PY23 WIOA Adult Priority of Service Report (Excel File), and Adult Priority Analysis completed on the Program Workpapers to complete this section. The questions below summarize the results of the LWDB's level of success in meeting the required Adult Priority of Service (APoS) rate of 50.1%.

To comply with WIOA and United States Department of Labor Employment and Training Administration (USDOL ETA) requirements, NYSDOL requires at least 50.1% of WIOA Title I Adults receiving individualized career or training services in each LWDA to fall into at least one (1) of the following three (3) priority populations:

  i. Recipients of public assistance;

  ii. Other low-income individuals (see definition in Attachment A); and

  iii. Individuals who are basic skills deficient (see definition in Attachment A), which includes English Language Learners.

OSOS Issues identified during the review may result in a Finding. A Finding must be included on the review letter if the LWDA APoS rate is under 50.1% for the Program Year being reviewed.

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.
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LWDA Adult Priority of Service Performance Summary

1. Enter the APoS Service Rate for LWDA from the most recent PY23 WIOA Primary Indicators Performance Report? *(Use the percent shown in the first column of the Performance Report.)*	**XX%**
2. Is the rate at least 50.1%? *(If the rate is less than 50.1%; a Finding **must** be included on the report letter.)*	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 the LWDB has to improve reporting priority of service data entry.

1. Based on a 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?	Yes ☐ No ☐
a. 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.	Yes ☐ No ☐
b. 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 ☐
2. Has the LWDB 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 ☐
3. Has the LWDB implemented an internal monitoring process of Adult Priority Service data entry performed by staff? *Note, it is not required for the LWDB 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 'Adult Priority Analysis' tab on the Program Workpapers.

1. Were customers sampled 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 ☐

2. Did your review of OSOS Comments find that data entry in OSOS matched or was supported by the Comments?	Yes ☐ No ☐
3. Did your review reflect 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:

e. LWDA Trend Analysis – 20 CFR 679.300(b); 679.370(h)(i)(m)(p)

Utilizing the LWDA Enrollment and LWDA Service trend tabs on the review workpapers, complete the section below. The trend analysis will help to identify LWDAs with decreasing or significantly low customer enrollments and/or service provision.

If it is determined that the number or enrollments and/or training services provided for Adults or DWs or WEX and Follow-Up for Youth are low based on discussions with the FOTA rep on WIOA funding provided or trending significantly downward over the years, a Finding must be made on the report letter. The resolution for the Finding will be a corrective action plan from the LWDB identifying what steps they will take to improve enrollments and/or service provision. Steps that can be taken by the local include but are not limited to: Issuing a new RFP for Youth Service Providers; providing a plan to increase recruitment and outreach; staff training on OSOS data entry.

Monitor **must** share the enrollment and service data for all 6 PYs (PY18 - PY23) with the LWDA prior to discussing the trend analysis results. Only provide the enrollment and service data for the LWDA being reviewed, all other LWDA data must be removed prior to sharing.

Customer Enrollment analysis

	Adult		DW		Youth	
	Number Increase / (Decrease) in Enrollments	**% Change Up (Down)**	**Number Increase / (Decrease) in Enrollments**	**% Change Up (Down)**	**Number Increase / (Decrease) in Enrollments**	**% Change Up (Down)**
PY 18 to PY19	XX	XX%	XX	XX%	XX	XX%
PY 19 to PY20	XX	XX%	XX	XX%	XX	XX%
PY 20 to PY21	XX	XX%	XX	XX%	XX	XX%
PY 21 to PY22	XX	XX%	XX	XX%	XX	XX%
PY 22 to PY23	XX	XX%	XX	XX%	XX	XX%

Looking at all six years in the tab and after a discussion with the FOTA representative, was there a significant decrease in the number of customers enrolled, that cannot be explained by reduced or flat WIOA funding?	Yes ☐ No ☐

Comment, including naming the funding stream(s) impacted:

If 'Yes', discuss with the local area what actions they have, or plan to implement, to increase customer enrollments going forward.

Summary of actions the local area has or plans to implement:

Customer Training, WEX, FU Services analysis

	Adult Training		DW Training		Youth WEX & FU		
	Number Increase / (Decrease)	**% Change Up (Down)**	**Number Increase / (Decrease)**	**% Change Up (Down)**	**PY 21 to PY22**	**Number Increase / (Decrease)**	**% Change Up (Down)**
PY 18 to PY 19	XX	XX%	XX	XX%	**WEX**	XX	XX%
					Follow-Up Services	XX	XX%
PY 19 to PY 20	XX	XX%	XX	XX%	**WEX**	XX	XX%
					Follow-Up Services	XX	XX%
PY 20 to PY 21	XX	XX%	XX	XX%	**WEX**	XX	XX%
					Follow-Up Services	XX	XX%
PY 21 to PY 22	XX	XX%	XX	XX%	**WEX**	XX	XX%
					Follow-Up Services	XX	XX%
PY 22 to PY 23	XX	XX%	XX	XX%	**WEX**	XX	XX%
					Follow-Up Services	XX	XX%

Looking at all six years in the tab and after a discussion with the FOTA representative, was there a significant decrease in the number of training / WEX/FU services provided, that cannot be explained by reduced or flat WIOA funding?	Yes ☐ No ☐

Comment, including naming the funding stream(s) impacted:

If 'Yes', discuss with the local area what actions they have, or plan to implement, to increase customer services going forward.

Summary of actions the local area has or plans to implement:

Comments on enrollment and services trends, include if actions taken or planned to be taken by the local are expected to increase enrollments and/or services provided. Specify if a Finding for low enrollments / lack of meaningful amounts of training, youth WEX, Youth FU services for the local area will be included on the review letter. The Required Action is a written corrective action plan to increase customer outreach, enrollments, and services. See example in comments.

Example Low Enrollment Finding

Finding 1   Low WIOA Youth Enrollments

LWDA does not have any new WIOA Youth registrations for PY2023; no WIOA Youth services have been provided from July 1, 2023 to date. In addition, there were only two youth enrolled in PY2022 and both youth had exited during PY2022. The only WIOA Youth services provided during PY2022 were Labor Market Information and work experience, and neither youth completed the work experience.

Required Action 1

To resolve the above Finding, the following must be addressed:

- *The LWDB Director must provide this office with available date(s) to conduct a Teams meeting with the LWDB Director, LWDB Chair, and LWDA WIOA Youth services program management.*

- *During the Teams meeting, the LWDB chair and LWDA WIOA Youth services program management will be required to present to NYSDOL an increased outreach and expanded services plan to include goals set for increased enrollments and a monthly timeline(s) for increased enrollments and services. The written plan must be provided to this office prior to the Teams meeting.*
- *We recommend the LWDB consider issuing another request for proposal (RFP) to other LWDA youth providers and include this strategy in your plan.*

The NYSDOL Quality Assurance Unit is available, upon request, to provide Technical Assistance to assist in the resolution of this issue.

Review Topic 2: PY22 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, 20 CFR 200.331

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.

20 CFR 200.331: "a pass-through entity *(LWDB)* must make case-by-case determinations whether each agreement it makes for the disbursement of Federal program funds casts the party receiving the funds in the role of a subrecipient or a contractor." NYSDOL's interpretation is that an agency is to be classified as a subrecipient if it determines WIOA program eligibility independently from the LWDA staff. Other factors that may indicate the agency is a subrecipient is if it determines the program services provided to customers independently from input from the LWDA staff; or if the agency performs all OSOS data entry for the customers served.

Program monitor must consult with the assigned FOTA staff and agree on subrecipient determinations. If there is disagreement, the determination made by Program staff must be followed, with supervisor agreement. A Finding is to be included on the report letter if NYSDOLs determination differs from the LWDBs.

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 must 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 must still perform oversight activities; although it 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). The LWDBs must document the designation of either subrecipient or contractor for any agency with whom it contracts. A sample determination may be viewed at: Subrecipient Checklist

Failure to comply with Federal, State, or LWDB subrecipient monitoring requirements will result in a Finding.

a. LWDB Adult, DW and Youth Program Subrecipient Monitoring

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 ☐
a. If yes, is there a schedule detailing the timeframes for the monitoring of subrecipients?	Yes ☐ No ☐

b. Is the subrecipient designation documented?	Yes ☐ No ☐
c. Does Program and FOTA staff agree with the subrecipient designation identified by the LWDB?	Yes ☐ No ☐
d. Are all subrecipients included in the monitoring plan?	Yes ☐ No ☐
2. Was PY22 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 PY22 by July 31, 2024 (deadline for timeliness of June 30, 2024 plus one month extension), advise the LWDB to stop monitoring this cycle and instead briefly identify plan to improve timeliness of PY23 monitoring.*	Yes ☐ No ☐ List any subrecipients not monitored: _____ _____
3. 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 _____ _____ _____ _____ _____ _____
4. 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 (i.e., meaning the exit meeting or last day of monitoring has occurred). Reports must also be issued by June 30, as the TA requires annual monitoring.*	Yes ☐ No ☐
5. Are the reports/letters issued comprehensive, providing details of any Findings, and required Corrective Actions?	Yes ☐ No ☐
6. Is there follow up to ensure corrective actions have 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). 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) 2022 by June 30, 2024, 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 PY22 ended 6/30/2023, requiring completion of the outstanding PY22 subrecipient monitoring reviews during PY24 would be untimely, and could cause delays in timely completion of PY23 subrecipient monitoring. As such, the required action during PY24 is priority completion of PY23 subrecipient monitoring reviews that were not performed for PY22. 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 PY23 (for the period of July 1, 2023 to June 30, 2024), must be completed by the end of PY24, which falls on June 30, 2025. The annual monitoring cycle for PY23 must begin as early in PY24 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 PY23 subrecipient monitoring.*
>
> *To fully resolve this finding, in addition to the above, the LWDA must complete the PY23 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.

b. Quarterly Desk Review Summary
Summary of any Adult, DW, TAA and Youth program-related issues identified from the most recent monitor'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:

c. 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).
Note: The ES102 can be used to document eligibility when customer self-attestation is an allowable source document in TA 23-03.
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.

a. Adult Eligibility
TA 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:

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

c. 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? If no, identify by OSOS ID(s) found to be ineligible and provide the reason(s).	Yes ☐ No ☐ N/A ☐
Comments:	

d. 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? If no, identify by OSOS ID(s) found to be ineligible and provide the reason(s).	Yes ☐ No ☐
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.

Note: The ES102 can be used to document data elements when customer self-attestation is an allowable source document in TA 23-03.

Issues identified during the review may result in a Finding. Isolated incidents may be documented as a TAO for items (a) through (c).

a. Demographic Data WIOA Adult, DW, Youth, and TAA TEGL 23-19, Change 2; TA 23-03 Items 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? For each funding stream identify each participant sampled by NYOSOS# and provide comments on any DEV errors found. If no DEV errors were found for a participant, type N/A.
Adult demographic data validation Comments: NYOSOS# - DEV summary NYOSOS# - DEV summary NYOSOS# - DEV summary NYOSOS# - DEV summary NYOSOS# - DEV summary

DW demographic data validation Comments:
NYOSOS# - DEV summary
NYOSOS# - DEV summary
NYOSOS# - DEV summary
NYOSOS# - DEV summary
NYOSOS# - DEV summary

Youth demographic data validation Comments:
NYOSOS# - DEV summary
NYOSOS# - DEV summary
NYOSOS# - DEV summary
NYOSOS# - DEV summary
NYOSOS# - DEV summary

TAA demographic data validation Comments:
NYOSOS# - DEV summary
NYOSOS# - DEV summary
NYOSOS# - DEV summary
NYOSOS# - DEV summary
NYOSOS# - DEV summary

b. 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 23-06, TA 23-03, TA 09-2.1, TA 10-15.2
Generally, 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 an Initial Assessment activity (IA) and an OSOS comment recorded? TA 23-06	Yes ☐ No ☐ N/A ☐
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	Yes ☐ No ☐ N/A ☐
3. If a supportive service is provided, is it recorded in OSOS with corresponding comment?	Yes ☐ No ☐ N/A ☐
4. If 'Yes' to question 3, are supportive services provided according to the LWDB policy? 20 CFR 680.900-.970; WIOA §3(59); WIOA §134(d)(2)	Yes ☐ No ☐ N/A ☐
5. Are training services entered correctly in OSOS, using the correct funding stream, with a supporting comment?	Yes ☐ No ☐ N/A ☐
6. For all remaining services provided during PY under review, are there OSOS Comments entered?	Yes ☐ No ☐ N/A ☐

A/DW Services Comments:

c. Youth Services Review
20 CFR 681.460, 681.420(a)(1), 20 CFR 681.420(a)(2), TEGL 21-16
Each 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.

i. 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:

1) 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;
2) 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; and
   d. Prescribes achievement objectives and services for the participant.

Objective Assessment (OA) - TEGL 21-16

1)	Was an OA conducted for each youth sampled?	Yes ☐	No ☐
2)	Was an 'Objective Assessments (Youth)' service entered in OSOS for each youth sampled?	Yes ☐	No ☐
3)	Did each OA include the following required criteria?		
	• Academic levels	Yes ☐	No ☐
	• Basic skills	Yes ☐	No ☐
	• Occupational skills	Yes ☐	No ☐
	• Interests	Yes ☐	No ☐
	• Prior work experience, including volunteering	Yes ☐	No ☐
	• Employability	Yes ☐	No ☐
	• Supportive service needs	Yes ☐	No ☐
	• Aptitudes, including nontraditional jobs	Yes ☐	No ☐
	• Developmental needs	Yes ☐	No ☐
	• Service needs	Yes ☐	No ☐
	• Strengths	Yes ☐	No ☐

OA Comments (note OSOS IDs lacking any items above, LWDA response to missing items, what LWDA will do going forward):

Individual Service Strategy (ISS) - TEGL 21-16

1)	Did each youth sampled have an ISS on file?	Yes ☐	No ☐
2)	Was a Development of Individual Service Strategy (ISS) (Youth) service entered in OSOS for each youth?	Yes ☐	No ☐
3)	Did each ISS identify a direct link to one or more performance indicators?	Yes ☐	No ☐
4)	Is there evidence the participant was involved in the ISS development (For example, updates are signed/dated by the youth/counselor?)	Yes ☐	No ☐
5)	Did each ISS identify career pathways, including education/employment goals?	Yes ☐	No ☐
6)	Did each ISS identify achievement objectives?	Yes ☐	No ☐
7)	Did each ISS identify services needed/provided and any referral made?	Yes ☐	No ☐
8)	Was ISS updated, as needed, with progress on goals and issues that occur?	Yes ☐	No ☐

ISS Comments (note OSOS IDs lacking any items above, LWDA response to missing items, what LWDA will do going forward):

ii. 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 experience
4. Occupational skills training
5. Education offered concurrently with workforce preparation and training for a specific occupation
6. Leadership development opportunities
7. Supportive services
8. Adult mentoring
9. Follow-up services
10. Comprehensive guidance and counseling
11. Financial literacy education
12. Entrepreneurial skills training
13. Services that provide labor market information
14. 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 forward):

iii. **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:**
  o Were Youth services reported in OSOS supported with OSOS Comments and/or paper file?
✓ **Follow-up services:**
  o Were follow-up services provided, or offered, to exited Youth?
  o Is there evidence follow-up services are being provided for a minimum of 12 months?
  o Are only the allowable program elements provided during follow-up? (Adult mentoring, financial literacy, supportive services, labor market and employment information, postsecondary transition)
  o If follow-up services were not provided, was the LWDA policy followed for youth who declined services or cannot be located?
✓ **Work experiences:**
  o 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: Governance
WIOA Section 107(e); 20 CFR 678.730, 678.800, 679.250, 679.500-580, 679.370, 680.180, 679.300-330, 679.390; 2CFR 200.318-326; TEGL 16-16; TA 18-01.1, 19-03.3, 21-02, 17-1.
As we reintroduce governance to the PY23 Program Monitoring Guide, the scope of the governance review for PY23 is limited to issues identified by the NYSDOL LWDA Compliance Team within the WIOA and Grants Administration unit (the team who responds to emails sent to labor.sm.dews.lwdb). These issues are maintained on a spreadsheet titled "PY 2023 Monitoring Guide Non-Compliance." Program Monitors were instructed to email their local areas by July 19, 2024, prior to the start of the PY23 monitoring cycle to let them know of any areas of

Results of July 2024 Preliminary Outreach: (1) Summarize the local area's **preliminary** issues identified in the "PY 2023 Monitoring Guide Non-Compliance DRAFT 07-16-2024" spreadsheet which NYSDOL's WIOA Grants and Administration Unit provided to NYSDOL Field on 7/16/24. (2) Note if any issues were resolved prior to emailing/performing outreach to the local area, or in the time that has elapsed since the spreadsheet was shared with the local area. For example, the spreadsheet may have indicated that LWDB minutes had not been posted on the LWDA's website, but you confirmed that they had been posted after the spreadsheet was created. Share these updates/information you receive with the WIOA Grants and Administration team. (3) State the name of the local area, the date you emailed the list of preliminary issues to the local area, the name and title of the person you emailed, and a summary of their response (if any).

Steps for Assessing Governance During Current PY23 Monitoring Review: (1) Provide an updated summary of the local area's remaining outstanding governance compliance issues identified at the time of your review:

(A) Advise of any updates to the current version of the spreadsheet maintained in SharePoint at PY 2023 Monitoring Guide Non-Compliance .xlsx (sharepoint.com)

(B) Advise of items that remain out of compliance per the current version of the chart.

(C) Include the date that you last accessed the updated non-compliance spreadsheet.

(2) Discuss the remaining issues per the updated spreadsheet with local staff, and any issues were resolved since the spreadsheet was last updated, share these updates with WIOA Grants and Administration by sending to labor.sm.dews.lwdb with the heading – "Updates for the PY 2023 Monitoring Guide Non-Compliance spreadsheet".

(3) Discuss the remaining unresolved issues with the LWDA and ask about their plans and timelines for addressing the issues. Summarize the discussion here.

Determine if governance issues are a Finding or a TAO. Remaining unresolved PY 23 governance requirements at the time of the program monitoring exit meeting are findings. Posting board policies to the website is a TAO only. Anything resolved prior to the exit meeting does not need to be included in the report letter at all.

Governance Comments:

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 Title
Name	Job Title
Name	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

QA Program Monitor Participation in LWDB Meetings

QA Program Monitors are encouraged to attend two LWDB meetings per Local Area, per year. Remote attendance is allowable, if remote attendance is offered by the LWDB.

In this section, please document the approximate future dates and plan for LWDB meeting attendance for the Local Area being monitored. If you've already attended a LWDB meeting, please note that and ensure your summary is complete in the Summary of Board Meeting Attendance.

In the Summary of Board Meeting Attendance, summarize the meetings, including the dates, major activities of the meetings, and any technical assistance that was requested and provided (before, during or after the meeting). Upload the Summary of Board Meeting Attendance document when complete to the LWDA Salesforce record.

Note: This is a new section, it is understood that monitors may not have attended LWDB meetings during PY23.

Has monitor attended LWDB meetings since the prior monitoring review was completed?	Yes ☐ No ☐
If yes, has a Summary of Board Meeting Attendance been uploaded to the LWDA's Salesforce record for each LWDB meeting attended?	Yes ☐ No ☐
Enter LWDB meeting dates attended since the prior monitoring review was completed:	1) xx/xx/xxxx
	2) xx/xx/xxxx
Provide dates of upcoming LWDB meetings that the monitor plans to attend:	1) xx/xx/xxxx
	2) xx/xx/xxxx

Resources

Federal Resources

- **WIOA Legislation**
  - [WIOA Law](#)
  - [20 CFR Parts 676, 677, 678](#)
  - [20 CFR Parts 679, 680, 681, 682, 683](#)

- **Training and Employment Guidance Letters (TEGL)**
  - [DOL ETA all WIOA related advisories](#)
  - [TEGL 4-20](#): 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](#)
  - [TEGL 7-20:](#) 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](#): Second Title 1 WIOA Youth Program Transition Guidance
  - [TEGL 8-19](#): Workforce Innovation and Opportunity Act (WIOA) Title I Training Provider Eligibility and State List of Eligible Training Providers (ETPs) and Programs
  - [TEGL 09-22](#): Workforce Innovation and Opportunity Act Title I Youth Formula Program Guidance
  - [TEGL 10-16, Change 2](#): Performance Accountability Guidance for Workforce Innovation and Opportunity Act (WIOA) Core Programs
  - [TEGL 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:](#) 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 – Third Workforce innovation and Opportunity Act (WIOA) Title I Youth Formula Program Guidance](#)
  - [TEGL 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](#): 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 Change 1:](#) Guidance for Validating Required Performance Data Submitted by Grant Recipients of U.S. Department of Labor (DOL) Workforce Programs
  - [TEGL 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:](#) Guidance on Handling and Protection of Personally Identifiable Information (PII)
  - [Trade Act Program Directives and Guidance](#)
  - [A Quick Guide for Serving Customers: Petitions TA-W # 80,000 +](#)
  - [TAA Quick Process Guide](#)
  - [USDOL ETA COVID-19 Frequently Asked Questions](#)

NYSDOL Resources

NYSDOL Performance Unit Email – labor.sm.dews.performance@labor.ny.gov

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

OSOS Guides

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

- Initial Assessment
- Employability Profile
- TAA Desk Guide
- TAA OSOS Guide - Intake Eligibility
- Trade Act Benchmarks
- TAA IEP - Employment Plan (Not a guide, but provides an example of what you're looking for)
- TAA Training Waivers
- Dislocated Worker Checklist
-
- Equal Opportunity
- OSOS Attachments Tab
- State-Level Training and Supportive Services OSOS Guide
- Adult and Dislocated Worker (DW) Program Eligibility and Adult Priority of Service (APoS) Matrix

Youth

- WIOA Title I Youth Program Eligibility Brief
- WIOA Title I Youth Program Services Brief
- OSOS Service Categories and Types (Youth)
- Youth Program SENSE Comments in OSOS
- Service Types & Outcomes (Youth Webinar)
- Provider Search and Documenting Services to Youth Program Customers
- Record Retention Table
- Title 1 Youth Program Basics Training Series

All

- Comprehensive Assessment
- Attachments Tab
- Low-Income Charts
- Military Service
- ONET Codes
- Verifying Date of Birth in the DOB Tab
- Work History Reasons for Leaving
- WIOA Primary Indicators of Performance and Outcomes
- Writing an Effective Case Note in OSOS

NYSDOL Workforce Development System Technical Advisories **(TAs) & Division of Equal Opportunity Development**

- TA 06-16.2: L1 and L2 Service Definitions and Data Entry Procedures
- TA 06-16.4: Revised Level 1 Service Definitions and Data Entry Procedures
- TA 23-06: Initial Assessment in the Career Center System
- TA 09-17.1: Individual Employment Plans/Training Plans for WIA Participants in Training

- TA 09-2.1: Individual Training Account (ITA) Approval Policy
- TA 10-15.2: On-the-Job Training Policy
- TA 11-07: Common Enrollments and Exits, and Inclusion in Workforce Investment Act and Wagner-Peyser Performance Measures
- TA 12-9.1: Selective Service Registration Requirements under WIOA
  - Selective Service System – Registration Verification
- TA 16-1: Poverty Guidelines
- TA 16-2: Retention of Records
- TA 17-7: Use of One-Stop Operating System and Re-Employment Operating System
- TA 18-05: Securing and protecting Personally Identifiable Information (PII) and Personal, Private and Sensitive Information (PPSI) within the New York State Workforce Development System
- TA 18-06.3: Primary Indicators of Performance for Titles I and III under the Workforce Innovation and Opportunity Act (WIOA)
- TA 18-02.4: 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: Workforce Innovation and Opportunity Act (WIOA) Title I Youth Program – Participant Eligibility Criteria
- TA 19-01: Release of Information between Workforce Innovation and Opportunity Act (WIOA) Partner Programs
- TA 21-02: Local and Regional Planning under the Workforce Innovation and Opportunity Act (WIOA)
- TA 21-03: 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: 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: Monitoring – Remote and/or Onsite Subrecipient Oversight and Monitoring Responsibilities for Chief Elected Officials (CEOs) and Local Workforce Development Boards (LWDBs)
- TA 22-01: Implementation of Workforce Innovation & Opportunity Act (WIOA) Equal Opportunity (EO) and Nondiscrimination Policy and Complaint Processing Procedures
- TA 22-02.1: Required Posters for Display in New York State One Stop Career Centers
- PGL 21-01: Guidance for Local workforce Development Boards (LWDBs) on the Gun Violence Prevention (GVP) initiative
- PGL 22-01: 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: Serving Priority Populations and Priority of Service under the Workforce Innovation and Opportunity Act (WIOA) Title I Adult Program
- TA 23-03: 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

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, TAA Fiscal Summary Reports, NYSDOL Trade Act Tracker, and any lists of participant issued by NYSDOL DEWS Performance.

1. Use the OSOS Management Reports 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.
   a. 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

  o 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.
  o In the OSOS Management Reports, select the *Youth School Status/Participants* Report.
  o Select the program year being reviewed from the options on the top of the report.
  o The report that is generated includes all youth who were active, received at least 1 service, during the selected review period.
  o 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
  o 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.
  o Enter the dates of your review period
  o Click Get Report
  o 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.
  o Record these 30 participants in the appropriate tab(s) of the workpapers document.

Training Category	Skill Gain Types
Post-Secondary Education	**Secondary/PSE Report Card/ Transcript** **Training Milestone** **Skills Progression**
Occupational Training	**Training Milestone** **Skills Progression**
On-the-Job Training	**Training Milestone** **Skills Progression**
Secondary Education	**EFL Gain** **Secondary/PSE Report Card/ Transcript** **Training Milestone** **Skills Progression**