

Workforce Synergy Forum Resources

FISCAL MONITORING PREPARATION

For monitoring, PAMPER (Patience, Ask questions, Make it your own, Prepare, Early start, Relationships with program staff). And when the monitoring is done, really do pamper yourself!
— Amber Robbie, Fiscal Manager, Capital Region WDB

Monitoring is about teamwork, checks and balances, and good relationships with sub-recipients.
—Amanda Dushaj, Associate Director, Dutchess County WDB

Amber and Amanda both dove headfirst into monitoring with minimal experience. But they built the right relationships, asked the right questions, learned from other people’s mistakes, and created systems that worked for their teams.

[Recording](#)

Click “View session recordings” at the top right corner | Search: Fiscal Monitoring Preparation

Attached Resources:

[Monitoring Guides](#)

[Slides](#)

[Tracking Spreadsheet](#)

Agenda:

Tools

Process

Practices for making monitoring simpler

HAPPY
ANNIVERSARY!

SYNERGY
FORUM



**Share a gift of your wisdom
with this survey
for the Synergy Forum’s anniversary
month!**

[Monitoring Guides and Work Papers](#)

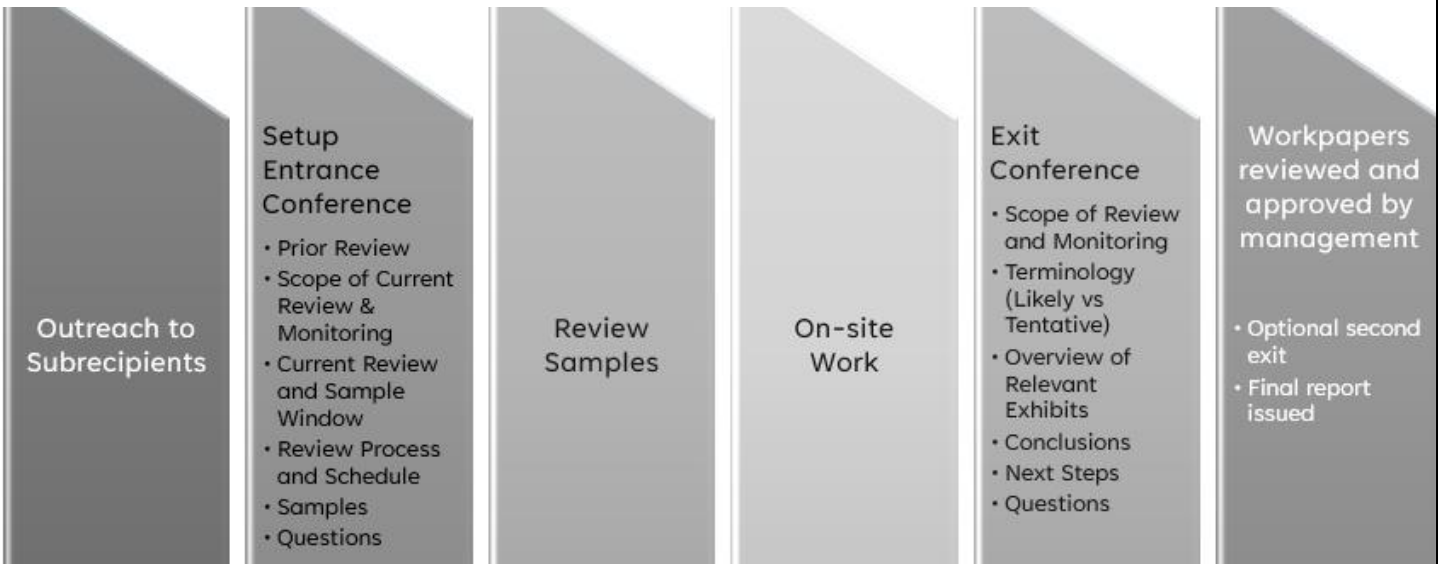
Monitoring Guides help us utilize public funds in effective ways!

If the LWDB and CEO(s) decide to create their monitoring guides, the elements of NYSDOL’s monitoring guides must be incorporated, tailoring it to local needs, so that local subrecipient monitoring mirrors NYSDOL monitoring.

NYSDOL’s fiscal guides are written from a state perspective to monitor the LWDA, so some parts of the guide may not make sense for monitoring a county or contracted service provider, which is why we suggest tailoring them as needed.

SAMPLE TIMELINE FOR STATE FISCAL MONITORING PROCESS

The timeliness of monitoring is vitally important. The intention is to keep the ball rolling to avoid extended delays and be as current as possible, so all feedback is relevant. — Dan Churchill, NYSDOL



I try to do my review at the same time of year so that the sub-recipients know when and what to expect. I am always friendly and open to any questions, and intentionally be less “scary” and more educational and informative. — Forum Participant chat message

SAMPLE SOFT SKILLS FOR FISCAL MONITORING

The biggest thing...do NOT be in fear of your Fiscal Oversight and Technical Assistance (FOTA) or Program Monitor!!!! They are people just like you. — Amy Buggs, LWDB Director

Patience
Ask questions
Make it your own
Prepare
Early start
Relationships with program staff

MAKING
SUB-RECIPIENT
MONITORING
SIMPLER FOR ALL!

Don't fear monitoring! You're not alone on the journey. Reach out to your state monitor for help customizing the guides to make them work best for you. — Peter Nyitrai, NYSDOL

SAMPLE PRACTICES FOR FISCAL MONITORING

A great way to stay on the same page and receive updates from your Program counterpart is to schedule a regular (brief) meeting with that Program counterpart to discuss status updates; this will also ensure it gets done. We've done this at the State level with our Program and FOTA staff. — Caryann Sculley, NYSDOL Quality Assurance Manager

For work experience and for youth incentive payments, we have the Program monitor check for appropriate One-Stop Operating System (OSOS) entries prior to payment. Also, in contracts, we specify that supporting documents and invoices are due within 30-45 days, depending on the item. It prevents hanging onto items until the end of the program year. — Bonnie Rice, Niagara LWDB Director

PRACTICES FOR YOU!

Ensure subrecipients submit timely reimbursement requests.

Track budget to actual spending.

Make sure all required supporting documents are received before beginning your fiscal review.

Know the funding streams and report them accurately:

On-the-Job Training

Individualized Training Account

Customized Training

Youth Incentives

Supportive Services

A CRITICAL EXPECTATION FROM FISCAL REVIEW

“Explain or defend conclusions reached within work papers.”

[TA 21-04](#) Monitoring – NYSDOL WIOA Monitoring/Oversight of and Provision of Technical Assistance to 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 16-02](#) Retention of Records by Local Workforce Development Boards

SAMPLE QUESTIONS ANSWERED DURING THE FORUM

- What can a Program person do to support Fiscal monitoring?
- How to best have Program and Fiscal leads on the same page?
- Common issues the FOTA Monitors see that can be easily avoided.
- How do you ensure subrecipients are using funds per WIOA requirements?
- How to prepare for auditing when you are a new staff member?
- How many years do we need to keep old files?
- It seems like teamwork is essential to good Fiscal monitoring. How do you create good synergy within your own teams?



Encourage subrecipients to ask questions BEFORE implementing changes. It allows you to check with FOTA if needed to be sure an item is reimbursable and appropriate. — Bonnie Rice, Niagara LWDB Director

Please take a [survey](#) to shape future Synergy Forums!

SYNERGY FORUM FACILITATORS FOR FISCAL MONITORING PREPARATION



Amber Robbie is currently the Fiscal Manager for the Capital Region Workforce Development Board/Rensselaer County Department of Employment & Training and has over 15 years of Governmental Accounting experience. Amber graduated from The College of Saint Rose with her Master's Degree in Business Administration and immediately began working for Rensselaer County. Amber has trained numerous new fiscal staff and she prides herself on her attention to detail and organizational skills. In her free time, Amber enjoys traveling, boating and spending time with her husband, daughter and two step-kids. Amber@capreg.org



Dan Churchill is an Auditor 2 (Employment & Training) for NYSDOL. Dan started with NYSDOL as a Clerk 1 in Unemployment Insurance Records in 2010. Dan has previously worked as a Tax Auditor with the NYS Department of Taxation and Finance and as an Auditor 2 at the NYS Board for Public Accountancy. Before beginning his State career, Dan was a New York Army National Guard Commissioned Officer in the 427th Brigade Support Battalion and deployed to Afghanistan in support of Operation Enduring Freedom from 2008–2009. Dan has a Bachelor of Arts in History from SUNY Albany, and a Bachelor of Science in Accountancy from Russell Sage College. Dan.Churchill@labor.ny.gov



Amanda Dushaj has quickly moved up the ranks at the Dutchess County WDB as her fiscal knowledge and expertise has guided the policy and decision-making of the organization. Amanda is a graduate of The College of Saint Rose and is the Associate Director of Finance for the Dutchess WDB, supervising all fiscal operations. She brings the team approach from the soccer field to the day-to-day operations as staff better understands their position and role on the team. When they learn to rely on each other, they cohesively perform their duties. Amanda@dcwib.org



Peter J. Nyitrai Jr. has been working with NYSDOL since 2017. Since February 2024 he has worked as an Auditor 2 (Employment & Training) in the Rochester, NY office, providing oversight for assigned LWDAs. Peter grew up in the City of Buffalo and received his Bachelor of Science in Accounting and Minor in Marketing from Alfred University in 2011. After completing two master's degrees, one in Business Administration and another in Forensic Accounting, along with its work experience requirement, Peter became a Certified Fraud Examiner. Peter has enjoyed attending Annual Global Fraud Conferences since June 2019 and sharing insights in his work. Peter.Nyitrai@labor.ny.gov

[Resources from past Workforce Synergy Forums](#) (under the Workforce Synergy Forum filter)

What is the Workforce Synergy Forum?

As the leaders of WIOA Programs, we all face similar opportunities and thrive by asking questions, sharing practices, and learning from experts and our peers. Workforce Synergy is a monthly forum that explores, develops, and sustains effective workforce strategies. We will collectively build the synergy we want and need for our workforce system. Leaders are encouraged to attend live for active, real-time collaboration!

SYNERGY CULTURE PRINCIPLES

1. Safety
2. Trustworthiness and transparency
3. Peer support
4. Collaboration and mutuality
5. Empowerment, voice, and choice
6. Cultural, historical, and gender perspectives

Inspired? Questions? Collaborate! LWDB@labor.ny.gov | 518-457-3555

Brought to you by the WIOA Local Leaders and New York State Department of Labor



Rensselaer County Subrecipient Monitoring Reviews Completed During 7/1/23 - 6/30/24 Timeframe (for PY23 FOTA Annual Review)

Subrecipient	Type of Review	Dates of Review	Monitoring Conducted By	Completion Date	Findings?	Followup Required?	Date Followup is Due	Approximate Date of Next Review
Names of subrecipients	Desk review of Subrecipient Expenditure Reports	Monthly via Checklist	Amber Robbie	Monthly-following completion of monthly reports				Monthly
	Desk review of Subrecipient Expenditure Reports	Monthly via Checklist	Amber Robbie	Monthly-following completion of monthly reports				Monthly
	WIOA Youth Subcontractor Quarterly Desk Review (22-23 Contract)	7/1/23 - 9/30/23	Amber Robbie					January, 2024
	WIOA Youth Subcontractor Quarterly Desk Review (22-23 Contract)	7/1/23 - 9/30/23	Amber Robbie					N/A - Final expenses reported by 9/30/23
	WIOA Youth Subcontractor Quarterly Desk Review (22-23 Contract)	10/1/23 - 12/31/23	Amber Robbie					N/A (end of contract)
	WIOA Youth Subcontractor Quarterly Desk Review (22-23 Contract)	10/1/22 - 12/31/23	Amber Robbie					N/A (end of contract)
	WIOA Youth Subcontractor Quarterly Desk Review (23-24 Contract)	10/1/23 - 12/31/23	Amber Robbie					April, 2024
	WIOA Youth Subcontractor Quarterly Desk Review (23-24 Contract)	10/1/23 - 12/31/23	Amber Robbie					April, 2024
	WIOA Youth Subcontractor Quarterly Desk Review (23-24 Contract)	1/1/24 - 3/31/24	Amber Robbie					July, 2024
	WIOA Youth Subcontractor Quarterly Desk Review (23-24 Contract)	1/1/24 - 3/31/24	Amber Robbie					July, 2024
	WIOA Youth Subcontractor Quarterly Desk Review (23-24 Contract)	4/1/24 - 6/30/24	Amber Robbie					October, 2024
	WIOA Youth Subcontractor Quarterly Desk Review (23-24 Contract)	4/1/24 - 6/30/24	Amber Robbie					October, 2024
	WIOA Financial Management Review (For Contracted Program Service Providers- Submitting on a voucher basis)	PY22 (7/1/22 - 6/30/23)	Amber Robbie					



HAPPY
ANNIVERSARY!

SYNERGY
FORUM

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SYNERGY FORUM'S ANNIVERSARY

August 2023
Two pilots – WIOA Training Services Strategy

December 2023 - July 2024

Monthly Topics

- Brainstorming with Leaders
- OJT Process and Marketing
- Strategies for Adult Priority of Services
- Planning for Basic Skills Assessments & Services
- Mental Health Supports in Employment Services
- Tools for Frontline Staff Training
- Possibilities for Youth Programs
- Program Monitoring Discussion

<https://dol.ny.gov/workforce-professionals-tools>
(Workforce Synergy Forum Filter)

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SYNERGY FORUM
Seeing perspectives to contribute!

lwdb@labor.ny.gov

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SYNERGY CULTURE PRINCIPLES

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Share in chat:

One example of how Synergy Forum embodies the above STPECC principles in action

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Design Thinking

Dutchess County – Louise McLoughlin

Forum for:

NYSDOL Managers
LWDB Directors
E&T Directors

Sept 24, 2024 @ 2:30 pm

ANNOUNCEMENTS

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FISCAL MONITORING PREPARATION

Tools

Process

Practices for you

From peers

From Fiscal Monitors

Making Sub-recipient Monitoring Simpler

Q&A

Informal Hangout

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CONTRIBUTORS AND FACILITATORS

Peter J. Nyitrai Jr., NYSDOL

Amanda Dushaj, Dutchess County

Dan Churchill, NYSDOL

Amber Robbie, Capital Region

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FISCAL MONITORING TOOLS

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The screenshot shows a web browser at dol.ny.gov/monitoring-guides. A sidebar on the left lists sections: Overview, Program Monitoring of Local Areas, Fiscal Monitoring of Local Areas (highlighted), and Contract Monitoring. The main content area displays the title 'Fiscal Monitoring of Local Areas' and a list of links: 'Fiscal Annual Review Guide - Excel Work Papers', 'Fiscal Annual Review Guide - Narrative Instructions', and 'Financial Management Review Guide (Contracted Service Providers)' with a sub-link for 'Monthly Desk Review (Contracted Service Providers)'.

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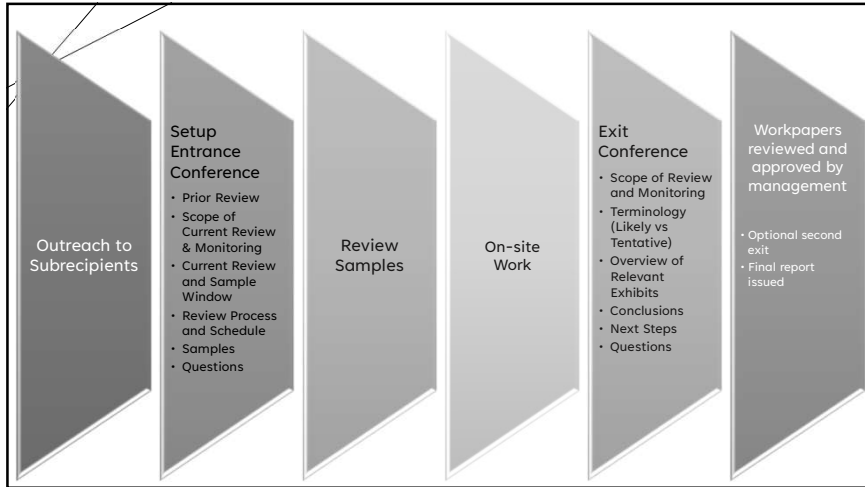
The screenshot shows the 'Table of Contents' for the 'Fiscal Annual Review Guide - Narrative Instructions'. It lists exhibits 1 through 16, including 'FOIA Annual Review - Objectives, Review and Procedures', 'Expenditure Samples', and 'Subrecipient Monitoring'. The page also features the 'WE ARE YOUR DOL' logo and the Department of Labor name.

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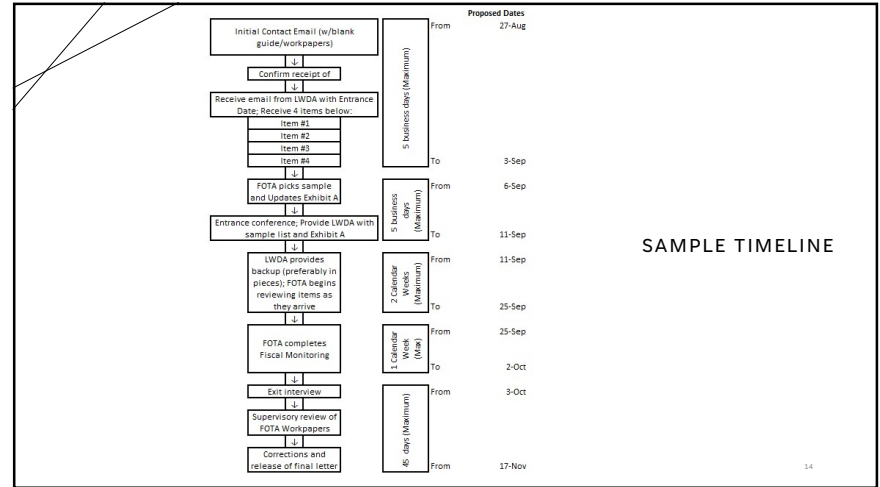
The screenshot displays a detailed Excel workpaper for 'Annual Subrecipient Monitoring - annual monitoring must be completed with report issued in accordance with 16.025-60 prior to June 30th'. The form includes sections for 'Initial outreach', 'Payroll Register', and 'Secondary request'. It contains various input fields, checkboxes, and instructions for data entry. A navigation bar at the bottom shows tabs for 'Heading', 'STANDARD Exh A Doc Req', 'Exh B-Staffing & Org', 'Exh 1 MFR testing', 'Exhibit 1A Reconciliation', 'Exh 1B Closeout', 'Exh 2 CAP', 'Exh 3 Staff PR', and 'Exh 4 Fringe Benefit ...'.

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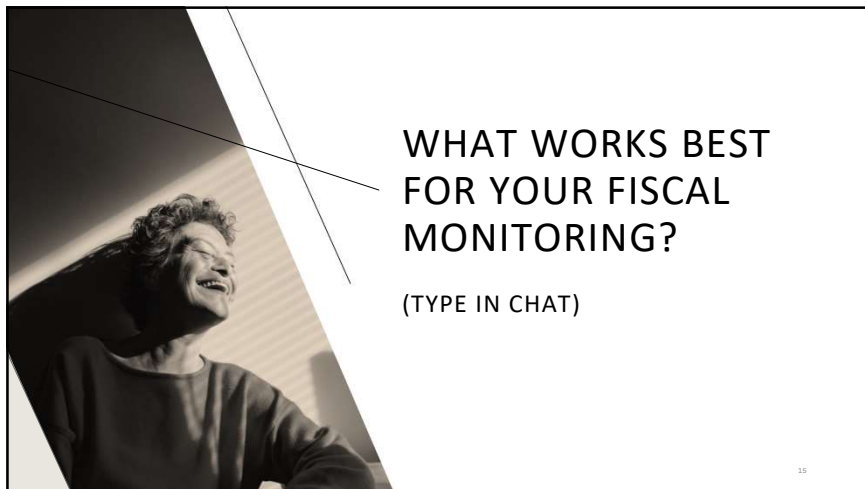
Fiscal Annual Review Guide – Excel Work Papers
dol.ny.gov/monitoring-guides/



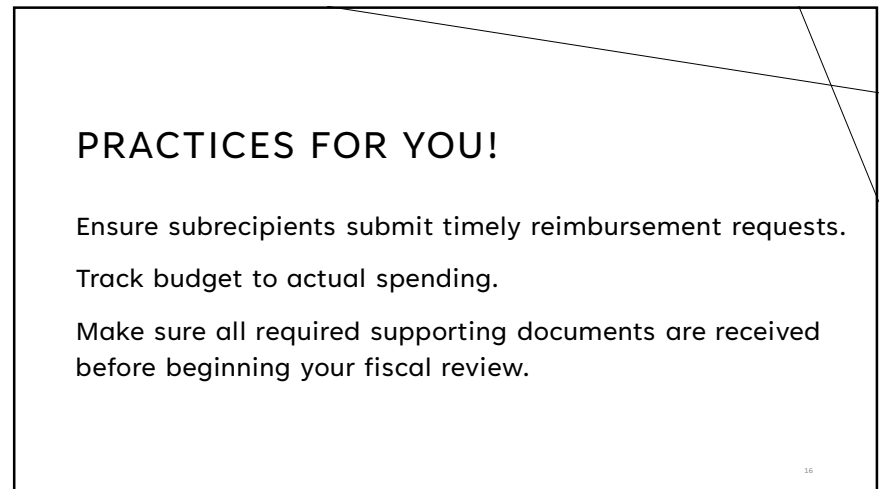
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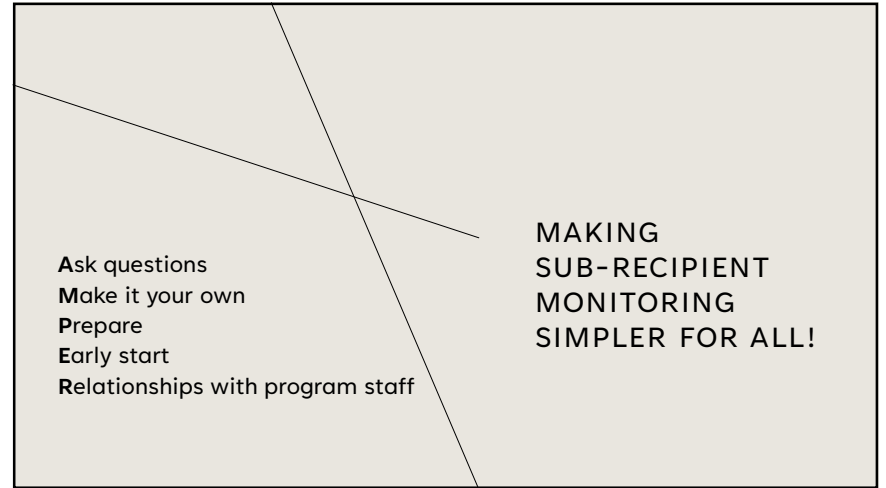


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**LOCAL AREA
FISCAL MONITORS**

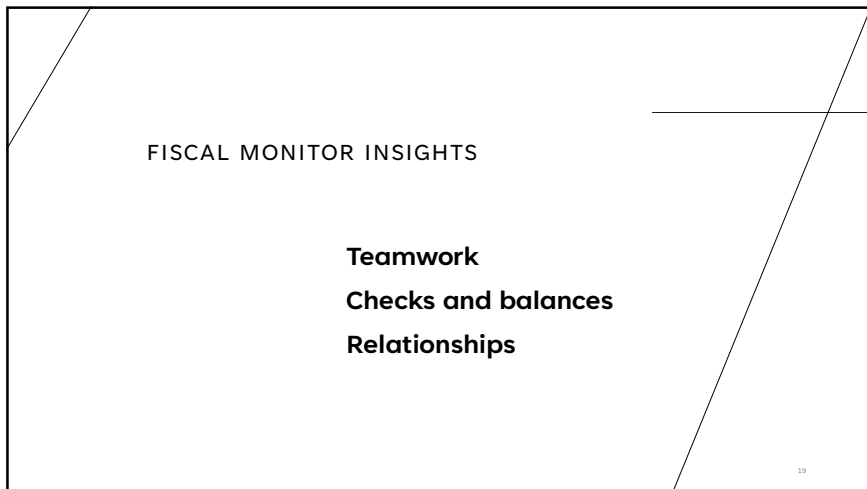
17



- Ask questions
- Make it your own
- Prepare
- Early start
- Relationships with program staff

**MAKING
SUB-RECIPIENT
MONITORING
SIMPLER FOR ALL!**

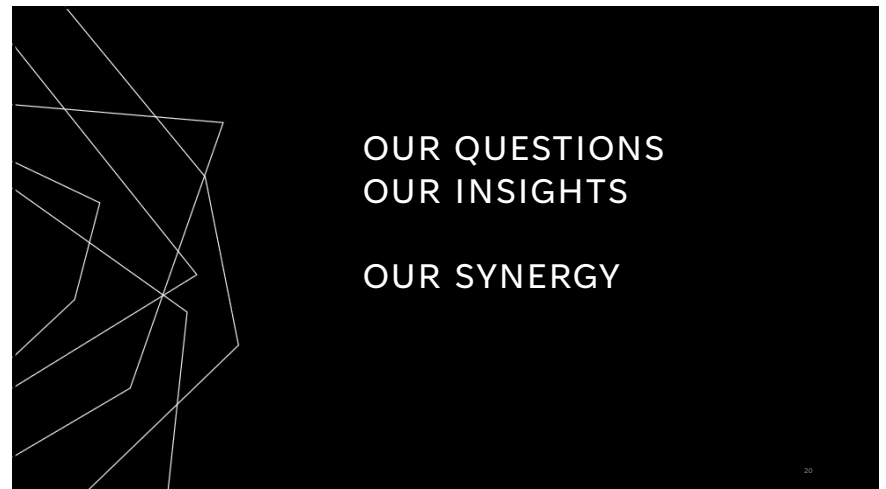
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FISCAL MONITOR INSIGHTS

- Teamwork**
- Checks and balances**
- Relationships**

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**OUR QUESTIONS
OUR INSIGHTS**

OUR SYNERGY

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PRACTICE FOR PROGRAM STAFF

Know the funding streams and report them accurately:

- On-the-Job Training
- Individualized Training Account
- Customized Training
- Youth Incentives
- Supportive Services

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PREPARING FOR FISCAL MONITORING

1. Ask yourself these questions before you begin:

Do you have subrecipients?

For which programs do you have sub-recipients?

What are the costs in the contract/budget that are agreed to be reimbursed?

Does the subrecipient submit supporting documentation provided at the time of reimbursement request?

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PREPARING FOR FISCAL MONITORING

2. Review monitoring guides and clarify questions with the state fiscal monitor
3. Prepare necessary documents and materials
4. Ensure availability of both monitor and entity for timely and cohesive monitoring
5. Maintain open communication to avoid delays and confusion

Adequate Preparation | Less stressful process | Clear and concise results | Easy report drafting

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A CRITICAL EXPECTATION FROM FISCAL REVIEW

“Explain or defend conclusions reached within work papers.”

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