Workforce Synergy Forum Resources

Program Monitoring Discussion

Our goal is to have one or several staff in each area understand how to run and interpret the results of monitoring. Those staff can then stay on top of issues that might otherwise go undetected. Each new desk review builds on the prior one, so it's easy to compare each quarter and identify trends.

- Ned Applegate, NYSDOL

WIOA envisions local and state monitoring as a partnership. When we ask questions and share ideas on a local level, it's an opportunity for us as policy staff and monitors to learn something new and change policies and program practices as needed.

- Juie Deo, NYSDOL

The [monitoring guides and work papers](#) could be scary at first, but the directions are wonderful. Once you look at each tab, it just makes sense. The biggest thing is to have open lines of communication because if there's anything you're worried about, your program monitor can help boil it down even more.

- Karin Piseck, Herkimer, Madison & Oneida (HMO) LWDB

Think of quality program monitoring like regular flossing, instead of going to the dentist too late!

Recording

Click "View session recordings" at the top right corner | Search: Synergy Forum – Program Monitoring Discussion

Attached Resources:

» [Slides](#)

» [Notes on monitoring](#)

» [Quarterly Desk and Annual Reviews Sample tracking tables from HMO and CDO LWDBs](#)

Agenda:

» State Monitoring

» Local Monitoring

» Questions and Answers

Help improve the Synergy Forum with [this quick survey](#)

Monitoring Guides and Work Papers

Monitoring Guides help us pursue the mission of serving all Workforce Innovation & Opportunity Act (WIOA) customers and offer staff technical assistance.

What do you need to get started with local monitoring?

You will need:

» Access to the OSOS Management Reports-a must!

» WIOA Primary Indicators of Performance Report Cards which are posted on the NYSDOL Performance Indicators & Goals webpage

» The individual local area Credential Attainment, Measurable Skill Gains, and Adult Priority of Service customer lists

» TA #21-05 and your local monitoring policy

» Good knowledge of DEV requirements and OSOS guides

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Quarterly Performance Report Cards

Essence of Synergy in Monitoring

Emphasize to staff that they will get credit for the good work they're already doing if they catch mistakes – and catching them early makes everything easier. Having leadership recognize the importance of monitoring helps everyone do better too.

- Bonnie Rice, Niagara County LWDB

You will need:

Open lines of communication with the NYS Workforce Program Specialist that monitors your area!

We encourage local staff to use our program monitoring guides and work papers. Your local program monitor is here to help guide you through any piece you don't understand. We want to make this process as simple as possible, and we encourage you to ask questions!

- Tom Mormile, NYSDOL

Your Expertise

» Routine "non-emergency" contact, checking in when you have a brief question.

» Get to know your team! We are in this together.

» Sharing successes and concerns.

» Trust and no egos!

» Receiving outreach from monitors with helpful recommendations to help us remain in compliance.

What builds open communication between local and state monitors?

Do not Forget to Review …

» 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)

Functional alignment = same monitoring for WIOA customers, regardless of who served them.

Answers to pre-forum questions are provided by local and state monitors in the recording:

» What is the most challenging part of the monitoring process for you?

» What are some of the daily practices that help to make monitoring easier?

» What are the red flags to look for monitoring?

» Why do different area monitors allow different documentation than other regions?

» How accurate are the OSOS Management Reports?

» How can monitoring be more streamlined?

» How can we make the monitoring go smoothly for the monitor and the staff?

» Samples of findings and recommendations

» Monitoring has a negative connotation. How do the experts monitor while keeping it positive and having a positive working dialog?

The Synergy Forum is not complete without you. Please take a survey to shape future Synergy Forums!

Reach Out to Synergy Forum Facilitators

Helen Dennis joined as a staff for the Niagara County Workforce Development Board in 2020 with a bachelor's degree in business administration through Medaille College's Accelerated Business Degree program. Her bookkeeping, sales, and customer service experiences positively influence her work. Her strong accomplishments and drive to understand the needs of the Niagara community helped her to take on more responsibilities and roles with the Board. Helen and her husband are looking forward to the next chapter of their lives, as they welcome their first child in October. Experience her innate ability to share her knowledge and expertise. Helen.Dennis@niagaracounty.com

Edmund (Ned) Applegate is a Workforce Programs Specialist 3 in NYSDOL's Albany Quality Assurance (QA) Office. He has a bachelor's degree in business administration from Northeastern University. Ned has been with NYSDOL for over ten years, previously working in the Apprenticeship and Training Central Office. As a QA program monitor, he focuses on building relationships with local area staff, service providers, and contractors. He provides ongoing technical assistance and promotes best practices. Notice Ned's consistent follow-through of projects with a composed attitude which converts the challenges in our work into growth opportunities. Edmund.Applegate@labor.ny.gov

Karin Piseck began employment with Herkimer County Employment & Training (E&T) in 1988 under the Job Training Partnership Act (JTPA). She has thrived through the transition from JTPA to WIA to WIOA, including the advent of the NYSDOL/County combined "One Stop Centers". As Manager of the Herkimer Working Solutions Career Center and Director of Herkimer County E&T since 2009, Karin has seen all in the workforce system. She retired in 2023 and currently supports the local board on a part-time basis as a Data Manager/Local Monitor. Find Karin's love for coaching through monitoring with her laser-focused attention to detail as well as vast experience to help local areas meet their performance. kpiseck@working-solutions.org

Tom Mormile is a Workforce Programs Specialist 3 in NYSDOL's Buffalo QA Office. Tom has been with the State since 1998, and with NYSDOL since 2009, previously working as an Employment Counselor, Business Services Representative, and Supervising Labor Services Representative. As a QA program monitor, Tom focuses on open communication with the local areas he's assigned to monitor in support of their efforts in administering WIOA programming. Join to avail Tom's sense of humor and commitment to meeting WIOA requirements, along with customer needs, to find a silver lining among the tedious aspects of monitoring. Thomas.Mormile@labor.ny.gov
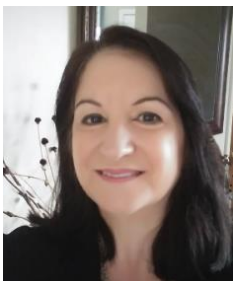
Bonnie Rice is the Executive Director for the Niagara County Workforce Development Board, steering federal WIOA dollars and services to local job seekers and businesses. Bonnie has a Master's Degree in Education and over 20 years of experience in federal and state funded services including as a career counselor handling Monitoring, Training, Youth Services, and Business Services at various times. She also has private sector experience at two Fortune 500 companies. Bonnie.Rice@niagaracounty.com

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

What is the Workforce Synergy Forum?

Synergy Forum Agreements

Authenticity
Inclusivity
Dedication

Based on your input, focus groups, literature & observations

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 dedicated to exploring, developing, and sustaining 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!

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

Quarterly Desk Review Notes

Please request the quarterly desk review spreadsheet from your local or state (NYSDOL) program monitor to see the tabs mentioned below. Our Program Quarterly Desk Reviews are recorded in an Excel spreadsheet with 11 tabs, including a summary tab where we record anything notable from each report. Local Workforce Development Boards (LWDBs) are also required to perform quarterly desk reviews, and NYSDOL recommends that local staff use the same templates that we use. Our goal is to have someone, or several staff, in each area understand how to run these reports and interpret the results. Those staff can then stay on top of issues that might otherwise go undetected.

Each new desk review builds on the prior review, so it's easy to compare quarter to quarter and identify trends. To complete these reviews, we look at the OSOS Management Reports, the WIOA Primary Indicators of Performance Reports, individual LWDB websites, and a sampling of active customers in the One-Stop Operating System (OSOS). Walk through of each tab:

» The **Primary Indicators** tab summarizes data from the [WIOA Primary Indicators Performance Report](#) which is posted to the NYSDOL internet page. This is usually one quarter behind, but we just use the most recent available data. For each of the indicators, we record the percent of the Local Area Goal shown for each funding stream. This is typically the last column of the report. We will note any measures that are below 80% of the local area goal in the summary tab. Those that are below 80% at the end of a Program Year (PY)

are now required to submit a Performance Improvement Plan, so it is helpful to keep an eye on these indicators throughout the year.

» The **LWDB tab** focuses on the boards' requirement to operate by the WIOA Sunshine Law Provisions as well as New York State Public Officers Law. The Sunshine Law Provisions require LWDBs to conduct their business openly. This includes making information about their activities available to the public through electronic means and open meetings. We look to see that LWDB websites have current board rosters, that board membership includes at least 51% business representation, and that the board's by-laws and local policies are available. We look to see that upcoming board meeting dates are posted, and that minutes from past meetings are available. Any current Requests for Proposals should be available on their websites as well.

» The **Un-ended Services** report shows all open services that are past their planned end date in OSOS. When services are not ended on time it can skew local numbers and negatively impact a local area's performance data. Services identified by this report should be reviewed by local staff to determine if the service needs to have an Actual End Date added in OSOS. If the service is extended, the Planned End Date will need to be updated to reflect the new expected End Date.

» The **Monthly Summary Report** tab is used to help identify trends in customer flow in the local area. It shows the number of new customers, served customers, and active customers broken down by month and PY. We look for significant changes from month to month and between PYs. Large variations or no new enrollments in a given month may indicate data entry errors.

» The **Services Report** tracks quarterly services provided to customers. It gives us the total count of services provided during the quarter, broken out by service type and funding stream. We look for trends in provision of services, especially training, youth services, and youth follow-up services. Additionally, we look for services provided with funding that's not currently allocated to the Local Area. Anything out of the ordinary would be noted on the Summary tab.

» The **Youth Reports** tab is used to review the LWDA's compliance with the 5% limitation on enrolling youth who are required to be low-income but are not low-income; and the limitation on enrolling more than 5% of in-school youth (ISY) who only have the needs additional assistance eligibility barrier. Additionally, the percent of ISY to out-of-school youth (OSY) is reviewed, as there is a 50% OSY spending requirement.

» The **Youth Program Elements** tab shows the number of each youth element provided during the quarter. LWDBs are required to have 14 youth elements available to customers; whether they provide them or not depends on the needs of their customers. We question those elements that were not provided in recent quarters to make sure they are available.

» On the **Subrecipient Monitoring** tab, we record information from the LWDB's most recent round of annual monitoring. There is normally a one-year lag, so monitoring of PY22 subrecipients was due by the end of PY23 (which was June 30, 2024).

We also review a small sample of youth and adult customers served each quarter. This review helps us identify potential OSOS data entry errors in a timely manner, rather than waiting until the annual review. This desk review is based solely on information found in OSOS; we do not reach out to local staff to request additional documentation. If you have questions about any of these reports, you should reach out to your local Program monitor. Some tabs are not applicable, and in some cases, the instructions are outdated. When our desk reviews are complete, we share the finished product with the LWDB Director and let them know if there is anything they need to look into. We encourage Directors to share this information with all local staff.

Overview of Annual Programmatic Monitoring conducted by NYSDOL

» **Performance:** We review Credential Attainment & Measurable Skill Gains (MSG) performance on the individual participant level, and we want to see that when earned, outcomes are recorded and recorded properly so the LWDA is recognized for the work it's doing. (TEGL 10-16, Change 3)

» **Serving Adult Priority Populations:** Although we look at the Adult Priority of Service rate under performance, it is not a performance measure, but rather a requirement of WIOA (TEGL 07-20 & TA 23-01). Here we are looking at the strategies LWDBs have and plan to implement, and offer technical assistance in an effort to help improve the rate for your areas.

» **Monitoring of WIOA programming by LWDBs** is a required function of the local board (679.370(i)), and as such, we look to ensure local areas are conducting this monitoring by WIOA, NYSDOL, and local expectations. This local monitoring is something we have been focusing on more in recent years. It is an important exercise for all local areas to perform. There should be several staff in each LWDA that know how this process works, and who can complete the required review and report. Staff turnover is increasingly common, so plan by cross-training multiple staff on the process. We encourage local staff to use our Program monitoring guide, work papers, and report templates. Your local Program monitor can help with this process, and we encourage you to ask questions. Your monitor can tell you what questions or topics are not applicable and guide you through any piece you don't understand. We aim to make this as simple a process as possible.

» **Participant Eligibility:** When reviewing **eligibility**, we are looking at individual participants to verify that they are eligible for the funding stream they were served under. This ties to the next review topic, Data Element Validation (DEV) – making sure that the supporting documentation required by USDOL (TEGL 23-19, Change 2) and NYSDOL (TA 23-03) is retained.

» **Adult, Dislocated Worker & Youth Services:** When conducting a review of the **services** provided, we look to see that services were appropriate; compliant with WIOA, state, and local guidance; and that the services provided were appropriate for the participant.

» **Governance:** For our PY23 reviews we will add in a section we haven't included in our annual monitoring in several years, governance. In general, we will be looking at LWDB compliance with WIOA rules and expectations, and possible topics include: Career Center Certification; LWDB Recertification; Board Meetings; and compliance with the Sunshine provision of WIOA and NYS Open Meetings Law.

Our goal when monitoring is to ensure compliance, however, our preferred method is through the provision of technical assistance - we don't get bonuses for findings - we work to identify areas that need improvement and hope to help you improve them.

Sample Tracking from HMO and CDO Counties

Quarterly Desk Reviews

WIOA Reporting Quarter	Months	Desk Review Due Date	My Review Sent to Managers	Managers Approval	Sent to Alice	Ned's done	Sent Ned's to Managers
PY 22							
PY 22 Q 1	July-September	31-Oct	XXXXXX	XXXXXX	XXXXXX	XXXXXX	XXXXXX
PY 22 Q 2	October-December	31-Jan	XXXXXX	XXXXXX	XXXXXX	XXXXXX	XXXXXX
PY 22 Q 3	January-March	30-Apr	5/19/2023	✓	✓	✓	✓
PY 22 Q 4	April-June	31-Jul	9/8/2023	✓	✓	✓	✓
PY 23							
PY 23 Q 1	July-September	31-Oct	10/31/2023	✓	✓	✓	✓
PY 23 Q 2	October-December	31-Jan	5/10/2024	✓	✓	✓	✓
PY 23 Q 3	January-March	30-Apr				✓	✓
PY 23 Q 4	April-June	31-Jul					

Annual Reviews

WIOA Program Year	Timeframe	Monitoring Due Date	Monitoring Done	Letters Sent	Ned's done
PY 22	7/1/22-6/30/23	6/30/2024	3/6/2024	✓	✓
PY 23	7/1/23-6/30/24				

Slide 1

Synergy Forum

Workforce leaders unite to strategize and operationalize!

Slide 2

Synergy Forum Agreements

Authenticity

Inclusivity

Dedication

Based on your input, focus groups, literature & observations

Slide 3

Synergy Forum Resources

Recordings, follow-up materials, survey/poll results
DOL's Workforce Professional Tool's Page under Workforce Synergy Forum Filter: dol.ny.gov/workforce-professionals-tools

Tools, templates, and policies from local areas
Synergy Google Drive: tinyurl.com/synergy-drive/

Contribute with your feedback and ideas
Survey: tinyurl.com/synergy-forum-feedback/

Slide 4

Program Monitoring Discussion

» State Monitoring: Tom Mormile
                         Ned Applegate
» Local Monitoring: Helen Dennis/Bonnie Rice, Niagara
                         Karin Piseck, HMO
» Your Questions and Answers

Program Quarterly Desk Reviews

» Primary Indicators

» LWDB tab

» Unended Services

» Monthly Summary Report

» Services Report

» Youth Reports

» Youth Program Elements

» Subrecipient Monitoring

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Annual Program Monitoring

» Performance
  » Credential Attainment
  » Measurable Skills Gain
  » Serving Adult Priority Populations*

» Subrecipient Monitoring

» Adult, Dislocated Worker, Trade Act & Youth Eligibility

» Data Element Validation

» Review of Adult, Dislocated Worker & Youth Services (Including Framework Services)

» Governance

Technical Advisories: 21-05 and 21-04
Monitoring Guides – Narrative Instructions and Work Papers

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Monitoring at the Local Level

You will need:

» Access to the OSOS Management Reports-a must!

» WIOA Primary Indicators of Performance Report Cards which are posted on the NYSDOL Performance Indicators & Goals webpage

» The individual local area Credential Attainment, Measurable Skill Gains, and Adult Priority of Service customer lists

» TA #21-05 and your local monitoring policy

» Good knowledge of DEV requirements and OSOS guides

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Monitoring at the Local Level

You will need:

Remember: the workpapers and templates look scarier than they are!

» Access to the OSOS Management Reports-a must!

» WIOA Primary Indicators of Performance Report Cards which are posted on the NYSDOL Performance Indicators & Goals webpage

» The individual local area Credential Attainment, Measurable Skill Gains, and Adult Priority of Service customer lists

» TA #21-05 and your local monitoring policy

» Good knowledge of DEV requirements and OSOS guides

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Slide 9

Monitoring at the Local Level

You will need:

Open lines of communication with the NYS Workforce Program Specialist that monitors your area!

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Slide 10

What builds open communication between local and state monitors?

Type in Chat

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Slide 11

Local Quarterly Desk Review

Desk review instructions will walk you through exactly what you need to do.

These are sent to the center managers for their information and approval. Once approved I inform the LWDB Director.

State rep will ask to see them at their annual monitoring to make sure they have been done.

Primary Indicator Summary: analysis done on percent of LWDA Goal provided on WIOA Primary
The goal is for these all to be over 80% of LWDA goal.

LWDB Tab:
Bylaws have been added to the HMO website.

Un-Ended Services:
These services should be reviewed and end-dated / extended as necessary.

Monthly Summary Report
Nothing notable.

Services Report
Nothing notable. No services in odd funding streams.

Youth Reports
ISY/OSY ratio is fine (below 50% ISY). (There is a 50% OSY spending requirement)

Youth Program Elements
Should be reviewed to ensure all 14 elements are available in the LWDA, and that all

Subrecipient Monitoring
For NYSDOL use only.

OSOS Data Review
Adult/DW/TAA Review Summary:
Review the comments column.

Youth Review Summary:
Review the comments column.

Highlighted sections are for NYSDOL use only. Can delete these tabs for local monitoring.

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Slide 12

Local Annual Program Monitoring

Sent to the center managers with a date for corrections to be made if needed.

	Tab	Summary
Workpapers	Adult, DW, TAA	Workpapers for Adult, Dislocated Worker and Trade Act participants.
	In School Youth	Workpapers to be used for all In-School Youth (ISY) participants sampled.
	Out of School Youth	Workpapers to be used for all Out-of-School Youth (OSY) participants sampled.
Data Element Validation (DEV)	DEV Chart	Provides an overview of enrollment, eligibility, service and performance data points reviewed in Workpapers, and a list of required supporting documents.
	DEV Definitions	
		DEV Source documentation definitions.

Refer to your local monitoring policy or TA #21-05 for instructions on issuing your report when done.

Each tab has headings describing exactly what you are looking for

Overview | Adult, DW, TAA | In School Youth | Out of School Youth | DEV Chart | DEV Definitions

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Keep track of your work

WIOA Reporting Quarter	Months	Desk Review Due Date	My Review Sent to Managers	Managers Approval	Sent to Alice	Ned's done	Sent Ned's to Managers
PY 22							
PY 22 Q 1	July-September	31-Oct	XXXXXX	XXXXXX	XXXXXX	XXXXXX	XXXXXX
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PY 23 Q 1	July-September	31-Oct	10/31/2023	✓	✓	✓	✓
PY 23 Q 2	October-December	31-Jan	5/10/2024	✓	✓	✓	✓
PY 23 Q 3	January-March	30-Apr					
PY 23 Q 4	April-June	31-Jul					

Quarterlies

WIOA Program Year	Timeframe	Monitoring Due Date	Monitoring Done	Letters Sent	Ned's done
PY 22	7/1/22-6/30/23	6/30/2024	3/6/2024	✓	✓
PY 23	7/1/23-6/30/24				

Annuals

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Functional alignment = same monitoring for WIOA customers, regardless of who served them.
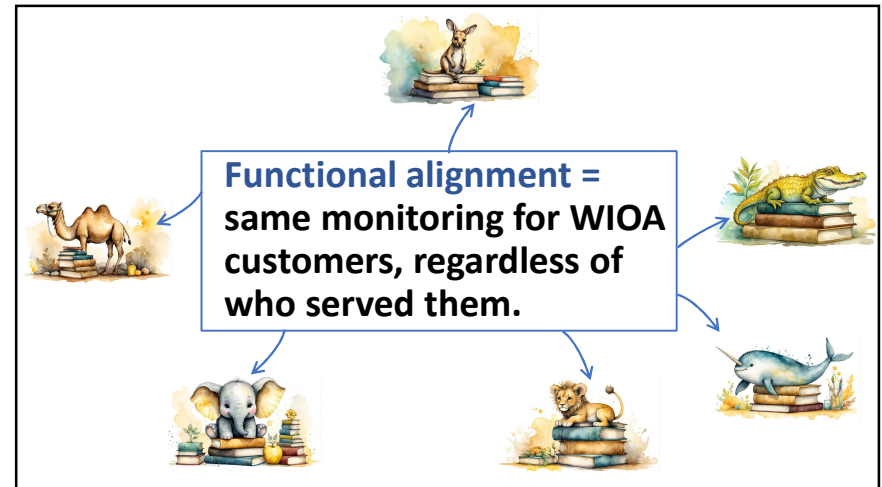
14

Best, Best Practice: Excel Monitoring Worksheets

» Great guide

» Editable

» Added LWDB policy specifics to the excel sheet to assist with more accurate reviews

NIAGARA COUNTY WORKFORCE DEVELOPMENT BOARD

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Best Practice: Monitoring Tracking Sheets

NIAGARA COUNTY WORKFORCE DEVELOPMENT BOARD

Using NY#'s an internal sheet is kept to track which participant, training provider and courses we've reviewed the previous quarter

» Helps with reviewing a variety of participants

» Alleviates reevaluating a participant previously reported

» When gathering random sample for the next quarter, there's the ability to review training providers/businesses who have not been recently reviewed

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Best Practice:
Internal spreadsheets to capture program information

Using NY#'s to capture detailed data regarding enrollment and progress

» ITA's – Training Provider, Courses, In progress vs Completed Successfully, number of participants taking that training or enrolled with training provider

» OJTS's – Name of the Business, job position participant is training for, In Progress vs. Completed

» Using this data to present to the Board through the One Stop System Operator Reports, or when the WDB Executive Director and Employment and Training Director request it.

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**Best Practice: Internal spreadsheets to capture program information**

Use in Monitoring

» Able to collect a sample that consists of varied data

» Pare the information down to the enrollment dates for review

» For ITA's – select random samples based on the number of participants in each course during that enrollment to get to the 10% needed for review

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Benefits of Monitoring:
Example

Youth Incentives

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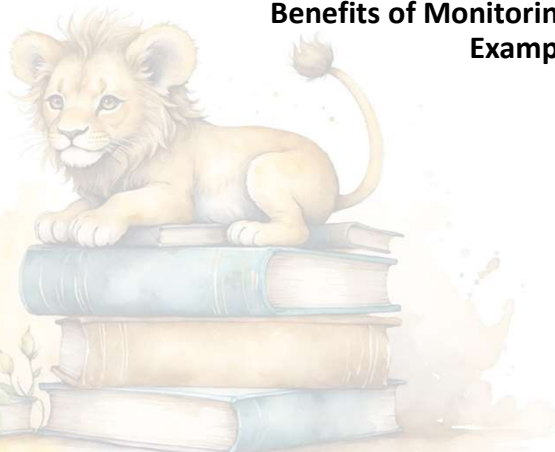
More Questions?

August Synergy Forum

Write to: Local Monitors | State Monitors
LWDB@labor.ny.gov

Fiscal Monitoring
Capital Region

Giving More Than What We Take

Survey: tinyurl.com/synergy-forum-feedback/

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