

## APPRENTICESHIP EXPANSION GRANT – AEG-1 MONITORING GUIDE FOR PROGRAM STAFF

**CONTRACTOR:**

**CONTRACT NUMBER:**

**DATE OF REVIEW:**

**DATES OF CONTRACT:**

**STATE REP:**

**AMOUNT OF CONTRACT:**

The Apprenticeship Expansion Grant RFA can be found online here:

<https://labor.ny.gov/workforcenypartners/fundingopps/apprenticeship-expansion-grant.pdf>

and on the server here:

[\\dol-smb\dol\\_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Apprenticeship Expansion Grant \(AEG\)](\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Apprenticeship Expansion Grant (AEG))

Individual contracts and narratives can be found on the server:

[\\dol-smb\dol\\_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Apprenticeship Expansion Grant \(AEG\)](\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Apprenticeship Expansion Grant (AEG))

Q&As can be found online here:

<https://labor.ny.gov/workforcenypartners/fundingopps/aeg-rfa-questions-and-answers.pdf>

The purpose of this RFA is to expand Registered Apprenticeship (RA) training by increasing employment opportunities for approximately 800 new apprentices with a focus on underrepresented populations. These new apprentices will enter into trades in high-demand occupations, with a focus on the emerging fields of Advanced Manufacturing, Healthcare, and Information Technology, as well as other in-demand occupations.

NYSDOL is making up to \$4.1 million available until April 30, 2019 to serve approximately 800 new apprentices in RAs. This funding will cover costs associated with training apprentices through RA, such as Related Instruction (RI), On-the-Job Training (OJT), books, and tools.

A. Desk Review	Comments
<p><b>1. Vouchers</b> - Vouchers are located in the individual contract folders here: <a href="\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Apprenticeship Expansion Grant (AEG)">\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Apprenticeship Expansion Grant (AEG)</a>. Vouchers are reviewed by the contract unit and then scanned and placed on the server. Awardees will be required to provide reports at intervals specified by NYSDOL. Discuss any issues concerning the vouchers with Contract unit staff assigned to the contract. If the contractor is not submitting vouchers on a regular basis, then the program monitor should contact the contractor and ensure that this is done.</p> <p>Is the contractor vouchering in a timely manner?</p>	
<p><b>2. Trainee Information Forms (TIFs)</b> - A TIF is completed for each participant in a training program. It includes personal information which Program staff will review to verify participant eligibility.</p> <p>Program Staff should review TIFs on-site to make sure they are filled out completely and accurately, and to ensure that trainees are eligible. Contractors are required to keep hard copies of the TIFs on file.</p>	

<p>TIFs should be submitted to the Contract Unit along with the first set of vouchers. Data from the TIFs will be entered into OSOS by the OSOS Unit. If necessary, Program staff can request scanned copies of the TIFs by contacting the OSOS help desk (<a href="mailto:labor.sm.os.help">labor.sm.os.help</a>).</p> <p>Program staff can also contact the contractor to obtain TIFs and verify eligibility sooner, if they are not available from the OSOS unit.</p>	
<p>3. Is data from the TIFs being entered into <b>OSOS</b> by the OSOS unit as required?</p>	
<p>4. Are services being entered under the <b>correct funding in OSOS</b>? The first \$3,000 (per apprentice) must be charged to AEG funds; anything over \$3,000 must be charged to WIOA funds.</p>	
<p>5. ITWs - Copies of the <b>Individuals Trained Worksheet (ITW)</b> will be stored in the individual contract folders here: <a href="\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Apprenticeship Expansion Grant (AEG)">\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-invest-contracts\WD Contracts\Contracts By Program\Apprenticeship Expansion Grant (AEG)</a>.</p> <p>Have the ITWs been submitted to the Contract unit with the vouchers?</p>	
<p>6. <b>Fiscal</b> - Discuss, with the FOTA representative for the contract, any issues regarding their review of the contract, if this has already occurred.</p>	
<p>7. <b>On-the-Job Training (OJT) plan</b> - Did all participants reviewed have an OJT plan completed for them? If contractors are having difficulty creating these plans, they should contact the Contract unit for assistance.</p>	
<p>8. <b>Documented Progress</b> - Regular documentation of On-the-Job Training (OJT) progress can be determined by reviewing apprentice Blue Books. Apprenticeship Training Representatives (ATRs) already review Blue Books, so to avoid duplicating efforts, Program staff should contact the ATR for the program to discuss any issues with the program, and to ensure that Blue Books are being properly maintained. Contact info for the ATRs can be found here: <a href="https://labor.ny.gov/apprenticeship/contactus.shtm">https://labor.ny.gov/apprenticeship/contactus.shtm</a>.</p>	
<p><b>B. Field Review</b> – Field staff should make <b>at least one visit</b> to the training site during the course of the training to ensure that training is taking place. If there are problems with the contractor, e.g. if training is not occurring or is not the type of training specified in the contract, staff may need to make additional visits. Staff in charge of the program should be interviewed, as well as a sample of trainees. Review a sample of TIFs (or all, depending on the number of trainees) and complete Section E. If vouchering is not occurring, or is occurring incorrectly, be prepared to discuss the vouchers with the program director.</p>	
<p>1. <b>Related Instruction:</b> Audit a training class. Is related instruction occurring and is it in line with the contractor’s proposal?</p>	
<p>2. <b>Related Instruction Sign-In Sheets:</b> Does the Instructor maintain sign-in sheets for the trainees, and are the sign-in sheets signed by the instructor and/or supervisory staff? Note - FOTA staff will be checking</p>	

<p><i>the time sheets for attendance. This question is to ensure that the contractor is maintaining them.</i></p>	
<p><b>3. Trainee Information - TIFs &amp; ITWs:</b> <i>Are the forms sampled filled out completely and accurately, as far as can be determined? Are TIFs signed and dated by both the trainee and the contractor?</i></p>	
<p><b>4. On-the-Job Training (OJT):</b> <i>If possible, visit the apprentice(s) at a worksite. Is OJT occurring, and is it in line with the contractor's proposal and the OJT plan?</i></p>	
<p><b>5.</b> <i>Is all OJT occurring on company time, as required?</i></p>	
<p><b>6.</b> <i>Are Apprentices being trained in the trade that was originally indicated on the Application?</i></p>	
<p><b>7.</b> <i>Verify that the sponsor is headquartered in NYS or that at least 75% of OJT takes place in NYS. Verify that Related Instruction takes place in NYS.</i>  <i>The contractor must provide reasonable justification for any Related Instruction that takes place outside of NYS. Apprentices need not be NYS residents.</i></p>	
<p><b>8. Participant Interviews:</b></p> <ul style="list-style-type: none"> <li>• What are the participant's general impressions of the program?</li> <li>• Is the participant receiving the type of training they expected?</li> <li>• Does the participant have any significant issues with the program?</li> <li>• Does the participant believe the OJT and Related Instruction are appropriate and easily accessible? (transportation, convenient location, tasks assigned, work hours)</li> <li>• Does the participant have any suggestions for improvement of the program?</li> </ul> <p><i>Note- Interviews with the participants are designed to elicit any information about the program that would not otherwise be available by asking the program director or through observation. Interviews should be private. The interview should only take a short time. The program monitor may add any additional questions that he/she feels are appropriate.</i></p>	
<p><b>C. Outcomes</b> (if this information is available at the time of the review)</p>	
<p><b>1. Enrollment:</b> <i>How many participants were enrolled vs. the number proposed in the program narrative?</i></p>	
<p><b>2. Retention:</b> <i>What is the number and percentage of trainees who have remained in the program (based on the actual number enrolled)?</i></p>	

**3. Evaluation:** *Based on your review, observation, and discussions with staff and trainees, has the program operated in accordance with contract requirements?*

**D. Summary – Findings and Technical Assistance Observations**

Exit Meeting Notes:

Upon completion of the review, complete the monitoring guide and use it to write the memo to OSOS staff and the monitoring report letter to the contractor, using the templates found on the server here: [\\dol-smb\dol\\_shared\DOL0A1FS1\Dews-Data\Dews-QA-Central\Prog&FiscalTA\Policies-Directives-Guides\Monitoring\\_Guides\Contracts\Apprenticeship\\_Expansion\\_Grant](\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-Central\Prog&FiscalTA\Policies-Directives-Guides\Monitoring_Guides\Contracts\Apprenticeship_Expansion_Grant)

Then submit the guide, the memo, and the report letter to your supervisor for approval. After it is approved, e-mail the memo to the appropriate OSOS staff (at *labor.sm.os.help*, with a cc to the Apprenticeship office) outlining the eligibility/OSOS review completed, along with any issues encountered. A copy of the monitoring report letter will be included in the transmission with the memo, and any feedback on the Report Letter and internal Memo must be received no later than seven days from the date of the transmittal. Share any responses with your supervisor as well as any updates to the report letter.

Upon supervisor approval, e-mail the monitoring report letter to the contractor (with a cc to the Apprenticeship office). If there are any Findings, ensure that the contractor provides corrective action within 30 days. Let the contractor know by e-mail if the corrective action is acceptable or not. Post the memo, monitoring report letter, and monitoring guide here: [\\dol-smb\dol\\_shared\DOL0A1FS1\Dews-Data\Dews-QA-Program\1-Contracts\Apprenticeship\\_Expansion\\_Grant](\\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\Dews-QA-Program\1-Contracts\Apprenticeship_Expansion_Grant)

**E. Data Element Review and Validation for the Apprenticeship Expansion Grant**

Name of Participant	OSOS ID (if available at the time of review)	Contractor	
Data Element	Per OSOS	Supported (if yes, list source)	
		Yes	No
Date of Birth – <i>Acceptable documentation includes a match with UI or NYSDMV data in the OSOS DOB tab. If the contractor used another source (e.g. out of state license or birth certificate) to verify DOB, then the contractor must have this documentation available for review.</i>			
Selective Service - <i>Males born after 12/31/59 -Support with registration number. If no registration, Career Center staff should follow TA 11-12.2 and TA 12-9.1. If unsupported, cannot be served with WIOA funds. Customer Detail - Add'l Info Tab in OSOS.</i>			
Veteran's Status - <i>Customer Detail - Add'l Info Tab</i>			
Limited English Proficiency - <i>Comp Assessment - Education Tab</i>			
Single Parent - <i>Comp Assessment - Family Tab</i>			
Disability - <i>Customer Detail - Eligibility Tab</i>			
Homeless - <i>Comp Assessment - Housing Tab</i>			
Offender Status - <i>Comp Assessment - Legal Tab</i>			
O*Net / NAICS codes entered for Training Service - <i>Services Tab</i>			