CFA ROUND 7.0
UNEMPLOYED/UNDEREMPLOYED WORKER TRAINING (UWT)
MONITORING GUIDE FOR PROGRAM STAFF

CONTRACTOR:

CONTRACT NUMBER:

DATE OF REVIEW:

DATES OF CONTRACT:

STATE PROGRAM REP:

AMOUNT OF CONTRACT:

There are significant differences between CFA 6.0 and CFA 7.0.

- Eligibility is conducted by the contractor rather than local Career Center staff. Contractors and trainees will sign Trainee Information Forms (TIFs). TIFs cannot be transmitted electronically because they contain Social Security numbers, so program monitors will review TIFs at the training site. Internal memos will not be issued for this round of CFA funds.
- Trainees do not have to be dislocated workers; they have to be unemployed or underemployed. *Underemployed is defined as (1) employed less than FT but seeking FT employment; (2) employed in a position that is inadequate with respect to their skills and training; (3) employed and low income as defined in WIOA sec. 3(36); or (4) employed but earning less than what was earned in a previous job.*
- Contractors may have proposed to serve priority populations, but program monitors will not review to ensure they served priority populations. This is not a requirement for the CFA funds.
- OSOS data entry will be performed by Albany DOL staff; program monitors will not review OSOS data entry, but will review completed TIF forms only to determine eligibility.

Since contractors are now responsible for eligibility determinations, monitors may wish to schedule a telephone conference or meeting with the contractor **before** the training program starts, to review the following items:
(A pre-training meeting can reduce the likelihood of ineligible trainees and disallowed costs.)

- Review the TIF and ask the contractor if they have questions about any of the items. Emphasize that TIFs must be signed by trainees and contractors on or before the first day of training. If a NYS DMV number isn't used for Date of Birth validation, a copy of the identification used must be retained in the contractors' records. You may wish to share "Trainee Documentation Requirements" and "Selective Service Attestation" forms with the contractor prior to the start of the training. (see RESOURCES, below).
- Review the program narrative and advise contractors that the narrative describing the training to be provided must be followed exactly as written.
- Review the budget, and advise contractors that they must follow the budget or request a budget modification from the contract unit if needed.
- Share the "Sample Time and Attendance Record" (see RESOURCES) and advise contractors that time and attendance must be recorded for every class session and signed by both trainees and instructors. Contractors can develop their own form for recording attendance, but it must contain all the same items as in the sample.
- Contractors will be reimbursed per trainee based on the percentage of scheduled hours attended versus those listed in the approved budget for the training class. If a trainee attends up to and including 50% of the course, the provider is only reimbursed at a pro-rated level of attendance achieved. For example, if a trainee attends 30% of the course session, the contractor will be reimbursed for 30% of the tuition rate for that trainee. For trainee attendance of 51% or higher, the contractor will be reimbursed for 100% of the tuition rate for that trainee.
- All job openings that occur during the contract period must be posted with the NYSDOL Job Bank. Contractors can request to have their job openings automatically posted to the Job Bank via this link: https://us.jobs/indexingrequest.asp. Contractors should click on "My company is not on the list, please index jobs from our corporate website…" This only has to be done once and is a free service offered by NYSDOL.

RESOURCES

Before starting a review, please review the CFA 7.0 **RFP**, which is available here: \\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\DEWS-QA-invest-Contracts\WD Contracts\Contracts By Program\CFA 7.0\Contract Unit Documents\RFPs

Contracts, **program narratives**, **budgets** and **vouchers (DRRs)** can be found here: \\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\DEWS-QA-invest-Contracts\WD Contracts\Contracts By Program\CFA 7.0\UWT Contracts

Program review **guide**, review **letter** and "**Sample Time and Attendance Record**" are available here: \\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\DEWS-QA-Central\Prog&FiscalTA\Policies-Directives-Guides\Monitoring_Guides\Contracts\CFA 7.0 UWT - EET

"**Trainee Documentation Reqs**" and "**Selective Service Attestation**" forms are available here: \\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\DEWS-QA-invest-Contracts\WD Contracts\Contracts By Program\CFA 7.0\Contract Unit Documents

A. Desk Review	**Enter your comments in this column:**
1. Vouchers/DRRs Check to see if any vouchers have been submitted: \\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\DEWS-QA-invest-Contracts\WD Contracts\Contracts By Program\CFA 7.0\UWT Contracts If vouchers have been submitted, print the list of names to compare to the TIFs that will be reviewed onsite. If vouchers are not being submitted on a regular basis, contact the contractor to ensure this is done. If vouchers are incorrect, coordinate technical assistance with FOTA staff or Contract Unit staff (depending on the nature of the errors) to provide instruction and rectify any procedural or documentation errors.	
2. Fiscal – Ask the FOTA staff assigned to this contract if a fiscal review has occurred, and, if so, are there any issues that program staff should be aware of.	

B. Field Review – Field staff should make **at least one visit** to the training site during the course of the training to ensure that training is taking place. **Signed attendance sheets and TIFs should be reviewed at this visit, so please ask the contractor to make sure they're available on the date of your visit.** 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 of future trainings that take place. Staff overseeing the program and/or providing training for the program and a sample of trainees should be interviewed. Observe that training is taking place as outlined in the contract program narrative.

1. Attendance: Review attendance records, but do not take originals. Make copies if needed. Are there attendance records for every class session so far? Are attendance records signed by trainees and instructors daily? And does the attendance record state how many hours of training occurred on the given day?	

Are start and end times recorded for each trainee?	
2. TIFs: Review TIFs but do not take originals. Make copies if needed (e.g., insufficient review time onsite). If you make copies, be sure to shred them or lock them up when you're finished with your review. Did the contractor give you TIFs for all the trainees on the attendance lists? If you have a list of trainees from your voucher review, check to make sure there is a TIF for each of those trainees. If the NYS DMV number wasn't used for eligibility, is there a copy of the documentation that was used? Is the alternative documentation source an acceptable source? *Acceptable documentation includes: copy of ID, baptismal record, birth certificate, DD-214, non-NYS driver's license, government ID, hospital record of birth, passport, public assistance/social service records, school records, school ID, work permit, tribal records.* Are males registered with Selective Service? If not, is a Selective Service attestation form attached to the TIF? Are TIFs signed by both the contractor and the trainee? Were TIFs signed on or before the first date of training?	
3. Occupational Training: Audit/attend a training class. Is occupational training occurring and is it in line with the contractor's proposal?	
4. Job Bank: Are all job openings that occur during the contract period listed with the NYSDOL Job Bank? Ask for verification from the program director. If contractor is only a training provider, and not an employer, this is not applicable, unless the contractor intends to hire some of the trainees.	
5. Contractor Interview: You may wish to develop a list of questions for the instructor or program representative. Try to interview instructors before or after class or during a break to minimize interruptions. The questions you ask will vary based on the training, but here are some options you may wish to include: • How has attendance been? • What is going well with the classes? • What are the challenges with the classes, the trainees or the curriculum? • If you have the opportunity to offer this training again, what will you do differently?	

• Is there anything you'd like to add? • Do you have any questions for me?	
6. Trainee Interviews: Ask to interview a few trainees. Trainee interviews 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. If interviews are conducted during class time, keep them brief to minimize disruption. • What are the trainee's general impressions of the program? • Did the trainee receive the type of training expected? • Did the trainee have any significant issues with the program? • Did the trainee believe the training and any associated clinical or lab schedule was appropriate and easily accessible (transportation, location convenient, length of training)? • Does the trainee have any suggestions for improvement of the program?	
C. Outcomes (Complete this section if the information is available at the time of the review).	
1. Enrollment: How many trainees were enrolled vs. the number proposed in the program narrative?	
2. Training completion: Number and percentage (based on the actual number enrolled) of trainees who have completed training?	
3. Credentials: Number and percentage of trainees who completed training who received an industry-recognized credential or certificate upon completion of the training in the field for which they were trained?	
4. Job interviews: How many trainees were granted job interviews?	
5. Hires: How many trainees were hired for full-time positions (35 hours or more per week)?	
6. Other performance indicators: Did the contractor make any additional claims in the program narrative or contract? If yes, list them here and indicate if those objectives were met.	
7. Evaluation: Based on observation and discussions with staff and trainees, has the program operated in accordance with contract requirements?	

D. Summary – Findings and Technical Assistance Observations

Exit Conference

After completing sections A though C, schedule an Exit Conference with the contractor to review findings, observations and corrective actions. **In the space below, indicate the date of the Exit Conference, who was included, and what was discussed**.

Upon completion of the review, complete this monitoring guide and use it to write the monitoring report letter to the contractor, using the template found on the server: \\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\DEWS-QA-Central\Prog&FiscalTA\Policies-Directives-Guides\Monitoring_Guides\Contracts\CFA 7.0 UWT - EET There is no internal memo for CFA 7.0.

Then submit the guide and report letter to supervisor for approval. Upon supervisor approval, e-mail monitoring report letter to contractor. If there are any findings, ensure that the contractor provides corrective action within 30 days, and let the contractor know by e-mail if the corrective action is acceptable, or not. Post the monitoring report letter and monitoring guide at the following site: \\dol-smb\dol_shared\DOL0A1FS1\Dews-Data\DEWS-QA-Central\Prog&FiscalTA\Field\Contracts\Consolidated Funding Application 7.0