

**DISABILITY EMPLOYMENT INITIATIVE (DEI)
MONITORING GUIDE**

**PATHWAYS TO EMPLOYMENT (DEI6)
FOA/ETA-15-08**

A. Background:

On September 17, 2015 the United States Department of Labor Employment & Training Administration (USDOL ETA) awarded NYSDOL with a sixth Round of Disability Employment Initiative (DEI round VI) funding totaling \$2,500,000, to operate the Pathways to Employment project. The grant period is from October 1, 2015 through March 31, 2019. Under the DEI round VI Pathways to Employment project NYSDOL will contract with two Local Workforce Development Boards (LWDB) the Capital Region and Herkimer/Madison/Oneida (HMO) to provide local participant, partner organization, and American Job Center program activities. The grant will fund two Disability Resource Coordinators (DRCs) in each local area.

NYSDOL's Pathways to Employment Project will serve 300 adults with disabilities, 200 of these participants will complete career pathways training, and 185 will be placed in unsubsidized employment. Attachment F provides the Pathways to Employment's expected performance goals, direct outcomes, and system change activities.

B. Review Topics This review includes, but is not limited to the following:

- 1) Customer OSOS Record Review – Data entry and documentation
- 2) Program and System Activities - On-Site observation, staff interview, local program policies & procedures, supporting documentation
- 3) Disability Resource Coordinator Monthly Report
- 4) Program Outcomes

C. Resources and References:

- 1) TA 11-12.2 regarding Program Eligibility and Data Element Validation.
- 2) TA 12-12.1, Implementation of Veterans' Priority of Service for Covered Persons in Qualified USDOL Job Training Programs.
- 3) TA 10-3.1, Requirements for the Collection of Additional Participant Demographic Information upon Receipt of Intensive or Training Services under Title I-B of the Workforce Investment Act of 1998.
- 4) TA 06-16.2, L2 Service Definitions and Data Entry Procedures.
- 5) TA 10-15.2, Updated Local Workforce Investment Area On-the-Job-Training Policy.
- 6) Notice of Obligational Authority (NOA) – these are emailed to each Program Representative, and can be found on the server.
- 7) DEI Budgets.
- 8) Monthly Disability Resource Coordinator DEI Report.
- 9) USDOL ETA: [DEI webpage](#)

- 10) OSOS DEI Guide: (<https://labor.ny.gov/workforcenypartners/osos/DEI-round-6-osos-guide-final.pdf>)
- 11) DEI Grant Proposal Submitted by NYSDOL to USDOL
- 12) NYSDOL DEI Website at https://labor.ny.gov/workforcenypartners/dpn_dei.shtm
- 13) Research & Statistics DEI Reports available on the Management Report site or submit a request for the reports to the DEWS Performance mailbox Dews.performance@labor.ny.gov

D. Pre-Site Review Procedures:

- 1) Review available reference materials listed above.
- 2) Utilize Attachment B and Attachment C for the Customer OSOS Record Review. Complete the OSOS related Review Topics from Attachment A. Results of the review can be used during the on-site review.
- 3) Ensure that you have access to the 'DEI' tab in OSOS. If you do not have permission, the 'DEI' tab will not be visible in OSOS. Contact your supervisor to obtain permissions, if necessary.
- 4) DEWS Program staff will consult with the NYSDOL Financial Oversight and Technical Assistance (FOTA) Consultant, to identify and discuss financial matters that may impact program service delivery; including the coordination of the program on-site monitoring visit with the fiscal on-site visit if possible.
- 5) Contact the LWDB Director to schedule the entrance conference and onsite monitoring. Provide the LWDB Director with the purpose of the monitoring, monitoring guide, and a list of the documents including programmatic policies and procedures, Memorandums of Understanding/Agreement with partners/interagency agreements, and Contracts with subrecipients.

E. On-Site Monitoring Review Procedures:

- 1) Upon arrival, conduct an entrance conference with appropriate Local Area representatives to discuss the purpose of the visit. Complete Entrance / Exit Summary (Attachment D).
- 2) Complete the Customer OSOS Record Review, Attachment B.
- 3) Complete Attachment A through discussion with the Disability Resource Coordinators (DRC) and review of any applicable documentation.
- 4) After you complete your on-site review, arrange and conduct an exit conference. Complete Entrance / Exit Summary (Attachment D).

F. Completion of Monitoring Guide / Letter Procedures:

- 1) Upon completion of Attachment A, draft a letter (Attachment E) to the LWDB Director.
- 2) All program activities must be necessary and reasonable, and all services must be allowable under the grant. Program staff must contact the FOTA Consultant, if any activities or services are not allowable.
- 3) It may be necessary to discuss potential issues with the DEI NYSDOL Lead to coordinate any corrective action that may be necessary.
- 4) Forward both Attachments A and the report letter to your Field Supervisor for review and approval.

- 5) Upon Supervisor approval, prepare final report letter and issue to the LWIB Director. The DRC, NYSDOL FOTA Representative and DEI NYSDOL State Lead will need to be cc'd on the letter.
- 6) Final letter and Attachment A need to be posted to the Final Report folder on the server at the following location: DEWS-QA-Central\Prog&FiscalTA\Field\Program
- 7) After the final report letter has been issued, follow-up on any Findings within 30 workdays, if corrective action is required.
- 8) Write up results of follow-up and issue a letter on status of any corrective action. Include the write-up as a supplement to the final report letter and post.

DEI Program Review Summary

LWIA reviewed:
Date of Review:

Reviewer:
Period of Review:

<p>Review Topic 1: Customer OSOS Record Review Respond to each question based on the cumulative sampled customer records reviewed (Attachment B). Note each issue / positive practice found. Each question below corresponds directly to the sections on Attachment B.</p>	
	<u>Comments</u>
1. Disability sections in OSOS have been updated:	
2. Customer Detail Tab was properly updated:	
3. Work History Tab was properly updated:	
4. Staff are completing the DEI tab for customers:	
5. Activities and/or Services are being properly entered:	
6. Fields in OSOS that impact performance are being updated. Any data entered is documented.	
Additional Comments:	
<p>Review Topic 2: Program & System Activities Complete this section through on-site observation, interview with the LWDB Director, DRCs, and other appropriate partner staff.</p>	
<p>1. DRC: Provide the name, office location and schedule of the DCR, obtain job description & qualifications, note employment status of DRC (county, LWDB, or contract employee), and professional development (training) activities of the DRC staff. <i>(LWDB must hire new or designate existing <u>full-time</u> staff persons as the <u>two</u> DRCs)</i></p>	
<p>2. Recruitment/Program Delivery/Case Management System: Briefly describe how individuals are identified as potential customers for the program, referral processes, coordination and follow-up on progress of services & employment assistance (DEI & partner). How does the DRC track the progress of DEI participants?</p>	

<p>3. Career Center & Partner Program Staff Training: Included in the DRC role is training of Career Center & Partner program staff.</p> <p>Briefly describe how this is being accomplished; note frequency, training topics, technical assistance (TA) provided, and materials/tools staff can use after the training e.g. quick reference desk guide? What training or TA has been provided to increase Career Center & Partner staff capacity to assist customers with accessing benefits and services that are funded through resources other than those made available under WIOA?</p> <p>Describe training activities specifically for business services staff and employers? How will the training improve services & outcomes of individuals with disabilities through existing career pathway systems?</p> <p>How is the quality, effectiveness and efficiency of DRC training & TA to staff evaluated?</p>
<p>4. Assistive Technology: Identify any assistive technology currently available, include items purchased under the DEI VI grant to better serve customers with disabilities in the Career Centers/AJCs, the existing Career Pathways program, and in response to request for Reasonable Accommodations since implementation of grant. (Equipment with a per unit cost of \$5000 or more requires prior approval from NYSDOL. Discuss any potential issues with FOTA)</p>
<p>5. Integrated Resource Team (IRTs): DRCs are responsible for initiating or participating in IRTs of customers enrolled in WIOA Career Center services. IRTs are comprised of the customer and representatives from two or more different agencies to coordinate services and leverage funds to meet employment needs of the individual. Under this grant one expected system change activity is expanding the capacity of Career Centers to use career services (core & intensive under WIA), and training services as part of IRTs that serve people with disabilities.¹</p> <p>Briefly describe how this is being accomplished; noting how many IRTs the DRC has been involved in since the start of the grant, and identify the agencies comprising the IRTs.</p> <p>How are the IRTs expanding the provision of Career Center services to people with disabilities? How is the degree of expanded services measured?</p>
<p>6. Asset development strategies: The DRC is responsible for assisting customers with asset development strategies. Asset development strategies include various approaches (benefits and services that are funded through resources other than those made available under WIOA) to enhance long-term economic self-sufficiency. Determine what asset development strategies the DRC has utilized or is in the process of developing for customers, and the number of customers who are engaged in asset development strategies. <i>Examples include but are not limited to Individual Development Accounts (IDAs), Financial Literacy training, SSA Work Incentives, Tax Provisions such as the Earned Income Tax Credit, and debt restructuring.</i></p>

¹ “Expanding the capacity of AJCs in New York State to use core, intensive, and training services as part of IRTs that serve people with disabilities.” Refer to Attachment F for all Expected Outcomes and Outputs including System change activities.

<p>7. Partnerships and collaboration: To better serve individuals with disabilities & improve employment outcomes how is the DRC initiating, coordinating, and increasing partnerships/collaborations with community partner entities to: 1. leverage public & private resources, 2. strengthen alignment of service, 3. integrate expertise, and 4. engage with employers to improve services & outcomes of individuals with disabilities through existing career pathway systems? Describe strategies being implemented, completed, on-going, and future activities? <i>(provide example(s), identify any Memorandums of Understanding/Agreement with partners/interagency agreements)</i></p>	
<p>8. Blend & Braid Funds² & Leverage Resources: How are funding sources available to individual participants identified? How is the DRC using partnerships to blend & braid resources? Are DEI participants co-enrolled to leverage funding resources? Who provides customers with assistance in identifying and applying for financial aid programs?</p>	
<p>9. Ticket to Work program: Briefly describe the process for identifying potential ticketholders, assigning tickets, tracking revenue dollars from assigned tickets, and providing long-term supports to ticketholders. Note if any other staff is involved in the process and how any revenue is planned to be used in the local area. Note how many ticket holders have been enrolled in Career Pathways training.</p>	
<p>10. Record Retention: DEI program must follow Federal guidelines on record retention. Records must be kept for at least 3 years from grant closeout. Describe procedures in place to ensure that the DEI records are properly retained. <i>(Current end date for grant is March 31, 2019)</i></p>	
<p>11. Outcome Reporting: Discuss with the DRCs strategies in place to address the DEI outcomes. Comment specifically on the program outcomes in Review Topic 4 below. If DRC is having difficulty with any of the outcomes, discuss with NYSDOL DEI Lead in Albany to coordinate corrective action.</p>	
<p>Additional Comments:</p>	
<p>Review Topic 3: DRC Monthly Report</p>	
<p>DRC Monthly Report Topic</p>	<p>Analysis</p>
<p>1. Ticket Case Management</p>	<p><i>Comments / Activities in OSOS support actions listed.</i></p>

² For the purposes of the DEI VI grant, the term “blended funding” describes mechanisms that pool dollars from multiple sources and make them, in some ways, indistinguishable. “Braided funding” uses similar mechanisms, but the funding streams remain separate.

2. Integrated Resource Teams	<i>Comments / Activities in OSOS support actions listed.</i>
3. Asset development Strategies	<i>Comments / Activities in OSOS support actions listed.</i>
4. Partnerships and Collaboration	<i>Agrees with Information provided in Section 2.</i>
5. Beneficiary Outreach Events	<i>Verify using attendance sheets or other available sources.</i>
6. Capacity Building & Technical Assistance	Agrees with information provided in Section 2.
Additional Comments:	
Review Topic 4: Program Outcomes Review DEI Quarterly reports, Research & Statistics reports, and Attachment F and comment on progress in achieving goals.	
Review Criteria	Comments
Total number of individuals with disabilities served	
Total number received basic and career services (core and intensive services)	
Total number entered Career Pathways training	
Total number completed Career Pathways training	
Total number received an industry-recognized /post-secondary certificate	
Total number entered unsubsidized employment -	
Total Retention rate (180 days)	
Additional Comments:	
Review Topic 5: Summarize Review	
Findings / Required Actions:	
Technical Assistance Observations / Recommendations:	
Additional Comments:	