**WIOA Youth Services**

**Program Review Guide**

**Local WDA:**   **Name of Reviewer:**

**Period Reviewed:**  **Date(s) & Location of Review:**

**Date(s) & Location of Review:** **Date(s) & Location of Review:**

Prior to On-Site Review

1. Schedule the on-site review and entrance conference.
	1. Schedule on-site review and entrance conference with LWDB Director, or other appropriate staff.
	2. Review dates can be scheduled 30 days or more in advance to ensure that documents and staff are available at the time or your review.
2. Request copies (to be provided via email or hard copy on-site) of the following; other items can be requested as needed:
	1. All active LWDB WIOA Youth policies[[1]](#footnote-1) (see Policy Review section of guide)
	2. Youth RFP(s) and Contract(s) for the period under review
	3. Subrecipient Monitoring reports, letters and follow up
	4. Youth Committee composition and meeting minutes covering review period
	5. Youth program forms used, can include:
		1. Intake/eligibility
		2. Individual Service Strategy (ISS)
		3. Worksite agreements, OJT templates
		4. Assessments used (excluding Career/Job Zone)
3. Review prior Program Quality Assurance review (and local board response if needed)
4. Local and Regional Plans, and Service Delivery MOU
5. Local performance reports (when available)
6. Consult with DEWS-QA FOTA staff to identify and discuss financial matters that may impact program service delivery or program issues that may have a fiscal bearing
7. Develop a participant Sample List (see Attachment C) and conduct OSOS review of participants using Attachments A & B
	1. Share sample list with LWDB and/or contractor(s) prior to on-site review start date. Generally, the sample list is provided one week prior to the review date, but this may be extended up to two weeks if additional time is requested.

On-Site Review

1. Conduct entrance conference to review preliminary findings, issues and areas of concern. Entrance conference should include LWDB Director, youth program operator, youth program manager, or other parties LWDB Director wishes to attend.
2. Complete participant file review using Attachments A and B
3. Interview WDB, grant recipient/fiscal agent, and/or contractor staff to answer questions on guide.
4. Review results of the individual file reviews and discussions with local representatives to develop preliminary findings and areas of concern.
5. Conduct exit conference; invite same individuals that attended the entrance conference and any other party that the LWDB Director requests to attend. Discuss any outstanding questions and provide preliminary findings, areas of concern, and corrective actions that can be taken. If necessary, a formal exit conference can be held after the on-site review has ended.

Post On-Site Review

1. Complete data analysis and draft a monitoring letter and submit with the guide to Quality Assurance Manager for review.
2. After receiving Management’s approval to issue the letter, save as PDF and email to the LWDB Director and copy NYSDOL staff listed on the Program Review Letter template. Send only the letter, not the guide.

**Review Elements**

Quarterly Desk Review Summary

Summary of any youth program related issues identified from the most recent field staff’s Quarterly Desk Review (i.e. Low-Income Exception, Needs Additional Assistance Barrier, Lack of program elements provided, Work Experience expenditure rate):

Policy Review

Determine if local youth policies comply with stated reference in table below; provide date when policy was approved by LWDB. If LWDB has additional youth policies not included in the list below, review the policies and determine if they are compliant with WIOA Law, TEGLS, and TAs. If any of the policies reviewed are missing or are not in compliance with WIOA, TEGLs, or TAs, include this as a Finding on your letter.

|  |  |  |
| --- | --- | --- |
| **Policy and Federal/NYSDOL Reference** | **Date Approved by Local Board** | **Compliant with Reference Provided**  |
| 1) Basic Skills Deficiency (§681.290(b)) |  | [ ]  Yes [ ]  No |
| 2) Requires Additional Assistance (§681.300, §681.310) |  | [ ]  Yes [ ]  No |
| 3) Youth Incentive Payments (§681.640)(2CFR200.420) |  | [ ]  Yes [ ]  No |
| a) Are incentives tied directly to goals of training activities and/or work experience? |  | [ ]  Yes [ ]  No |
| b) Does policy identify incentive payment structure (i.e. $25 for GED)  |  | [ ]  Yes [ ]  No |
| c) Does policy include unallowable incentives payments entertainment: movie passes (consult with FOTA is unsure) |  | [ ]  Yes [ ]  No |
| 4) Supportive Services (§681.570) (2CFR200.420) |  | [ ]  Yes [ ]  No |
| 5) Youth ITA Policy (§681.550)  |  | [ ]  Yes [ ]  No |
| a) Includes use of ETPL and demand occupation list? |  | [ ]  Yes [ ]  No |
| b) Notes ITAs can only be for 16 – 24 yr old OSY? |  |  |
| 6) Work Experience (§681.590-600) |  | [ ]  Yes [ ]  No |
| 7) Youth Follow Up Policy (TEGL 21-16; §681.580) a) Does the policy address Follow Up Services to youth who decline or who cannot be located?b) Are staff following local policy?  |  | [ ]  Yes [ ]  No |
|  | [ ]  Yes [ ]  No |
|  | [ ]  Yes [ ]  No |
| 8) Subrecipient Monitoring (TA 04-19, TA 05-15)a) Monitoring forms included |  | [ ]  Yes [ ]  No |
|  | [ ]  Yes [ ]  No |
| 9) Policy ensuring ISS is complete (refer to participant file review section for required ISS components) (TEGL 33-12, pg 3) |  | [ ]  Yes [ ]  No |

**Summarize Policy Review and identify any Findings:**

Procurement Review

WIOA §123. Eligible Providers of Youth Workforce Investment Activities

**Review of RFP/RFA - Complete the following for a representative sample RFP/RFA issued during the review period.**

TEGL 21-16 refers to 2 CFR 200.317 when discussing competitive procurements, this section reads in part - When procuring property and services under a Federal award, a state must follow the same policies and procedures it uses for procurements from its non-Federal funds…All other non-Federal entities, including subrecipients of a state, will follow §§200.318 General procurement standards through 200.326 Contract provisions.

The checklist below is based on the New York State Procurement Guidelines published in May 2014, and the WIA Youth Program RFP Guide, pages 9 – 16, see Attachment C for embedded PDF. The RFP guide is referenced in [TEGL 33-12](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=9254).

If the RFP/RFA reviewed is missing an item listed under Section I below, include the missing item as a Finding in your report. If missing an item listed under Section II below, discuss with local area to determine if the missing item(s) should had been included in the RFP/RFA. A missing item under Section II may be included in the report as a Technical Assistance Observation, if the item would improve future procurements.

Is the RFP(s) under review for OSY, ISY or both?       RFP/RFA Title:       Date of Issue:

|  |  |
| --- | --- |
| Section I: Request **Must** include the following | Included |
| Yes | No |
| **Background and General Information** |  |  |
| Provide purpose of RFP/RFA – details about the LWDA e.g. labor market information such as demand occupations, target industries, geographic areas where services will be located, description of services/program elements to be provided | [ ]  | [ ]  |
| Identify eligible applicants / contractors | [ ]  | [ ]  |
| Identify contract period (including renewal/extension provisions if applicable) | [ ]  | [ ]  |
| Expected Award Date | [ ]  | [ ]  |
| Indicate the total amount of funds to be awarded  | [ ]  | [ ]  |
| Indicate maximum award amount  | [ ]  | [ ]  |
| Expected number of youth to be served  | [ ]  | [ ]  |
| Provide WIOA Youth participant eligibility (WIOA SEC. 129 (a)) | [ ]  | [ ]  |
| Program design elements (WIOA SEC. 129 (c)(1))  | [ ]  | [ ]  |
| Define Youth program element(s) being procured (WIOA SEC. 129 (c)(2) | [ ]  | [ ]  |
| Identify selection process – evaluation criteria (include worksheets and scoring methods)  | [ ]  | [ ]  |
| State timetable for review/scoring of responses | [ ]  | [ ]  |
| Does evaluation criteria in the RFP include the use of statutorily or administratively imposed state, local, or tribal geographical preferences in the evaluation of bids or proposals. If yes, this is prohibited in 2cfr200.319. | [ ]  | [ ]  |
| Include Veteran’s Priority of Service Provisions (other required clauses are covered in FOTA procurement review) | [ ]  | [ ]  |
| Include language advising that renewal/extension is contingent upon continued availability of WIOA Youth funding | [ ]  | [ ]  |
| **Instructions for Responding to the RFP** |  |
| Response due date – includes both time and date | [ ]  | [ ]  |
| Document format – (suggested to have electronic copy) | [ ]  | [ ]  |
| Number of copies that need to be submitted  | [ ]  | [ ]  |
| Address for submissions (preferred to have a specific staff person named) | [ ]  | [ ]  |
| How responses can be submitted (hard copy, fax, email, other) | [ ]  | [ ]  |
| Page limits (suggested for at least the program narrative response) | [ ]  | [ ]  |
| Identify contact person and how they can be contacted (phone / email) | [ ]  | [ ]  |
| Bidders Conference (if one is held, include location, date, and time) | [ ]  | [ ]  |
| Requirements for Budget (i.e. template/instructions) – if doing line item contract | [ ]  | [ ]  |
| **WIOA Youth Program** |  |
| Identify outcome / performance expectations | [ ]  | [ ]  |
| Qualifications for staff serving youth (i.e. minimum education, work experience) | [ ]  | [ ]  |
| Program timelines | [ ]  | [ ]  |
| Where or when services will be provided  | [ ]  | [ ]  |
| **Program Administration** |  |
| Identify responsible party for OSOS data entry  | [ ]  | [ ]  |
| Outline record keeping requirements (i.e. case notes, copies of credentials)  | [ ]  | [ ]  |
| Describe LWDB’s monitoring requirements and the contractors’ role  | [ ]  | [ ]  |
| Responsibility for maintaining records for audits  | [ ]  | [ ]  |
| Identify responsible party for key program components (i.e. recruitment, outreach, eligibility determination, assessments, case management, follow-up) | [ ]  | [ ]  |
|  |  |  |
| Section II: Suggested RFP / RFA Elements: | Included |
|  | Yes | No |
| Identify target youth population(s) to be served | [ ]  | [ ]  |
| Coordination with other agencies (i.e. provider of youth framework services) | [ ]  | [ ]  |
| Provision of incentives to youth / stipends  | [ ]  | [ ]  |
| Requirement for academic credit for educational services (or specific credentials) | [ ]  | [ ]  |
| Incorporate the minimum 75% Out-Of-School Youth expenditure requirement  | [ ]  | [ ]  |
| Incorporate the minimum 20% work experience expenditure requirement | [ ]  | [ ]  |
| Include definitions and explanations of WIOA and local terms | [ ]  | [ ]  |
| Applicant’s minimum qualifications (i.e. company capacity, staffing, licenses, experience, recent performance with similar programs) | [ ]  | [ ]  |
| State services provided by the fiscal agent / grant recipient, if any | [ ]  | [ ]  |
| Definitions (i.e. WIOA performance indicators, low-income, acronyms) | [ ]  | [ ]  |
| Table of Contents  | [ ]  | [ ]  |
| Include sanctions for contractor failure to meet WIOA performance levels  | [ ]  | [ ]  |
| Method for issuing clarifications or modifications to the RFP | [ ]  | [ ]  |
| Insurance and/or bonding requirements | [ ]  | [ ]  |

Findings from Section 1:

Comments or Observations from Section 2:

Contract Review(s)

**Complete the following review for a representative sample of Youth Services Contracts active during the period of review. Discuss with your supervisor if you are unsure if your sample size is appropriate.**

Contractor Name:       WIOA Youth Funds Total Contract Amount $

Contract Number:       Number of Youth to be served: OSY ISY

Contract Start Date:       Contract End Date:

Review applicable RFP(s)/RFA(s) and resulting contracts and complete the table below for each contract. Judgment must be used in determining what is a Finding or Technical Assistance Observation based on this review and the type of contract. For additional guidance, review The WIA Youth Program RFP Guide at <http://www.doleta.gov/youth_services/pdf/rfpguide.pdf>

|  |  |  |  |
| --- | --- | --- | --- |
| **Review item** | **Yes** | **No** | **Notes or N/A** |
| Is contract period the same as in the RFP/RFA document? | [ ]  | [ ]  |  |
| Does the contract only include services/program elements listed in the RFP/RFA? Identify any discrepancies: | [ ]  | [ ]  |  |
| Are contract goals/expected outcomes clearly identified? | [ ]  | [ ]  |  |
| Does contract include sanctions/penalties for not achieving identified performance goals / outcomes (if in RFP)? | [ ]  | [ ]  |  |
| Are reporting/vouchering instructions included? | [ ]  | [ ]  |  |
| Renewal Criteria (if in RFP/RFA)? | [ ]  | [ ]  |  |
| Are staffing duties/requirements identified? | [ ]  | [ ]  |  |
| Is there a Veteran’s Priority of Service clause (other required clauses are covered in FOTA procurement review)? | [ ]  | [ ]  |  |
| Is the contract award amount equal to or less than the amount listed in the RFP | [ ]  | [ ]  |  |
| Was the contract signed by required signatories prior to start date on contract? | [ ]  | [ ]  |  |

**Pay for Performance Contract:** (WIOA SEC. 3 (47))

1) Are any of the Youth Services Contracts for this review period Pay-for-Performance Contracts: [ ]  Yes [ ]  No

If yes, complete the additional questions below:

Pay-for-Performance Contracts must specify the following:

* a fixed amount that will be paid to the service provider based on the achievement of specified levels of performance on the primary indicators of performance described in section 116(b)(2)(A);
* the target population(s) to be served (as identified by the local board including individuals with barriers to employment);
* a defined timetable.

2) Does the Pay-for-Performance Contract include the above requirements: [ ]  Yes [ ]  No

If no, this will be a Finding on the letter. Provide specific detail in the Contract Review Comments below.

**Contract Review Findings, Areas of Concern, or Comments**:

Youth Service Review

**Program design, service mix (20 CFR §681.120 [b-d]; 20 CFR** **681 subpart C; 20 CFR §681.580(c); TEGL 8-15; TEGL 21-16; Local Plan)**

1) Was resource mapping performed by the local board in determining how youth services are made available (required, include as a Finding on your letter if not done or documented) (681.400(b)(2))?

[ ]  Yes [ ]  No N/A [ ]  Comments:

2 If resource mapping was done, did the board develop a service provider directory for the youth providers to utilize?

[ ]  Yes [ ]  No N/A [ ]  Comments:

3) Meet with LWDB staff and youth service staff to determine how youth who are not eligible for WIOA Youth services are referred to other programs (WIOA Law Sec. 129(c)(3)(B); 681.420(e)). Provide a brief description and obtain copy of referral forms, if available.

4) Complete the table below by indicating how each program element is provided in the LWDA; more than one method can be utilized for each program element, but all elements must be made available through at least one method.

|  |  |  |  |
| --- | --- | --- | --- |
| **Program Element** | **Contracted** | **MOA** | **Fiscal Agent / Grant Recipient** |
| 1. Tutoring, study Skills Training, instruction and dropout prevention (ISY)
 |  |  |  |
| 1. Alternative secondary school services or dropout recovery services (OSY)
 |  |  |  |
| 1. Paid and Unpaid Work Experience
 |  |  |  |
| 1. Occupational Skills Training
 |  |  |  |
| 1. Education offered concurrently with workforce preparation and training for a specific occupation
 |  |  |  |
| 1. Leadership Development opportunities
 |  |  |  |
| 1. Supportive Services
 |  |  |  |
| 1. Adult Mentoring
 |  |  |  |
| 1. Follow Up Services
 |  |  |  |
| 1. Comprehensive Guidance and Counseling
 |  |  |  |
| 1. Financial Literacy Education
 |  |  |  |
| 1. Entrepreneurial Skills Training
 |  |  |  |
| 1. Services that provide Labor Market Information
 |  |  |  |
| 1. Postsecondary preparation and transition activities
 |  |  |  |

**Memorandum of Agreements/Understanding (20 CFR 681.470)**

Program elements are not required to be provided using only WIOA funds. If a partner agency can provide one or more program elements with no WIOA funds, there must be a written agreement in place. The agreement, or Memorandum of Agreement (MOA/MOU), is needed to ensure that the partner activity is connected and coordinated with the WIOA youth program. Lack of signed MOAs will result in a Finding, if program elements are being provided through a partner agency. Answer the following questions if the local area has MOAs; a No answer for questions 1 – 5 will result in a Finding; a No answer for questions 6 – 8 can be included as a Technical Assistance Observation.

1) Does MOA provide a description of what youth element(s) will be provided by the partner agency: [ ]  Yes [ ]  No

2) Does MOA identify where services will be available: [ ]  Yes [ ]  No

3) Does MOA identify what, and how, information will be shared between the partners: [ ]  Yes [ ]  No

4) Is the information shared enough to satisfy WIOA reporting requirements: [ ]  Yes [ ]  No

5) Is MOA signed by service agency and program operator and/or LWDB representative: [ ]  Yes [ ]  No

6) Does MOA include the method of referring youth between partners: [ ]  Yes [ ]  No

7) Does MOA indicate a maximum, or minimum, number of youths that can or will be served: [ ]  Yes [ ]  No

8) Does MOA define the duration of and procedures for amending or renewing the MOA: [ ]  Yes [ ]  No

**Youth Service Review Findings/Comments**:

Administration Questions

Review Prior DEWS WIOA Youth review workpapers and report letter; and if necessary, follow up correspondences and/or corrective action plans. Identify any unresolved findings or systemic issues and note here:

**Youth Standing Committee** (TEGL 27-14, WIOA 107(b), 20 CFR 681.110)

1. Has the LWDB formed a Youth Standing Committee? [ ]  Yes [ ]  No
2. If yes, does the committee meet WIOA composition requirements? [ ]  Yes [ ]  No
3. Is meeting frequency following bi-laws? [ ]  Yes [ ]  No
4. Based on review of LWDB and Youth Committee meeting minutes and discussion with board staff

does it appear that Committee is performing functions listed in bi-laws? [ ]  Yes [ ] No

1. List main actions taken by Youth Committee during the review period, include items such as resource mapping, procurement activities, monitoring of provider performance data, etc.:

**Local Youth Program Monitoring** (TA 4-19, WIOA 107(d)(8), 679.370(i))

Review local program monitoring policy, copies of completed reviews, and results of reviews transmitted.

1. Does monitoring policy identify who, or what agency, will perform the monitoring activities [ ]  Yes [ ] No
2. Does the monitoring policy include a schedule of which entities are to be monitored? [ ]  Yes [ ] No
3. Was at least one annual on-site monitoring review for each subrecipient/contract conducted

for the program year under review as required by TA 04-19? [ ]  Yes [ ] No

* + If yes, provide date(s) monitoring occurred:

* + If no, provide expected dates of monitoring:

1. Was monitoring completed as outlined in their monitoring policy? (i.e. frequency, schedule, types

of monitoring, refer to TA04-19) [ ]  Yes [ ] No

1. Were the monitoring reports/letters issued within the required timeframe of 30 calendar days or the

requirement in their policy/plan if less than 30 days? [ ]  Yes [ ] No

1. Were reports/letters provided to the agency reviewed and to the LWDB and/or youth committee? [ ]  Yes [ ] No
2. Were the issued reports/letters comprehensive and detail any findings/corrective actions? [ ]  Yes [ ] No
3. Were all corrective actions/findings documented and satisfactorily completed with follow up

letters/memos issued showing resolution of all findings? [ ]  Yes [ ] No

1. Indicate unresolved or systemic issues identified in Local Monitoring reports:

**20 CFR §681.650** requires that the LWDB provide opportunities to parents, youth participants and other community members to be involved in the program design and implementation of youth programs. The WDB Director should be asked these questions: Are parents, youth participants, or other members of the community:

1. Serving on the youth standing committee? [ ]  Yes [ ]  No
2. Serving as mentors and/or tutors (must be made available to successful participants)? [ ]  Yes [ ]  No
3. Providing input into the design and implementation of program elements? [ ]  Yes [ ]  No

Other, identify:

**Credentials** (TEGL 21-16)

Based on your file review and discussions with local board director, youth staff, and/or youth providers identify the most common certifications and credentials earned during that time frame. If any seem questionable, forward them on to the Youth Unit (labor.sm.DEWS.YouthPortal@labor.ny.gov)

OSOS Participant Review

You will use Attachments A and B, to review participants’ OSOS records. Refer to Attachment C for additional directions. When you’ve completed Attachments A and B for all youth sampled, continue completing the guide here.

* 1. **Eligibility Determination** (20 CFR 681.200 – 220) - Were all youth sampled eligible? [ ]  Yes [ ]  No

If no, identify by NYOSOS number the youth found to be ineligible and provide the reason.

* 1. **Objective Assessment** (681.420(a)(1)) – Was an objective assessment conducted for all youth? [ ]  Yes [ ]  No
* Was the Objective Assessment service entered in OSOS for all youth? [ ]  Yes [ ]  No
* Did the assessments include the required criteria (WIOA Sec. 129(c)(1)(A)); (681.420(a)(1))? [ ]  Yes [ ]  No

Indicate below which (if any) were missing:

[ ]  Academic Levels [ ]  Basic Skills [ ]  Occupational Skill [ ]  Interests

[ ]  Prior Work Experience including volunteering [ ]  Employability [ ]  Supportive Service Needs

[ ]  Aptitudes, including nontraditional jobs [ ]  Developmental Needs [ ]  Service Needs [ ]  Strengths

Notes:

* 1. **Individual Service Strategy** (20 CFR 681.420(a)(2)) – Did each youth sampled have an ISS on file? [ ]  Yes [ ]  No
* Did ISS’s identify a direct link to one or more performance indicators? [ ]  Yes [ ]  No
* Evidence that the participant was involved in the development of the ISS (For example,

updates are signed and dated by the youth and counselor as they occur)? [ ]  Yes [ ]  No

* Did ISS’s identify Career Pathways, including education and employment goals? [ ]  Yes [ ]  No
* Identifies Achievement Objectives? [ ]  Yes [ ]  No
* Identifies services needed/provided and any referral made? [ ]  Yes [ ]  No
* The ISS is updated as needed with progress on goals and issues that occur? [ ]  Yes [ ]  No
* Was the Development of ISS service entered in OSOS for all youth? [ ]  Yes [ ]  No

Notes:

* 1. **Data Element Validation** (TA 11-12.2, Attachment C and D)

Review file to ensure the presence of supporting documentation as required, indicate systemic findings here: Properly Documented

* Date of Birth [ ]  Yes [ ]  No
* Selective Service Registration [ ]  Yes [ ]  No
* Veteran Status [ ]  Yes [ ]  No [ ]  N/A
* Employment Status [ ]  Yes [ ]  No [ ]  N/A
* School Status at Registration [ ]  Yes [ ]  No [ ]  N/A
* Youth with a Disability\* [ ]  Yes [ ]  No [ ]  N/A
* Low Income [ ]  Yes [ ]  No [ ]  N/A
* TANF Recipient [ ]  Yes [ ]  No [ ]  N/A
* Other Public Assistance (SNAP, SSI, State/Local public assistance) [ ]  Yes [ ]  No [ ]  N/A
* Homeless and/or Runaway [ ]  Yes [ ]  No [ ]  N/A
* Offender [ ]  Yes [ ]  No [ ]  N/A
* Pregnant or Parenting Youth [ ]  Yes [ ]  No [ ]  N/A
* Youth Who Needs Additional Assistance (meets local policy) [ ]  Yes [ ]  No [ ]  N/A
* School Status at Enrollment [ ]  Yes [ ]  No [ ]  N/A
* English Language Learner\* [ ]  Yes [ ]  No [ ]  N/A
* Basic Skills Deficiency/Low Levels of Literacy [ ]  Yes [ ]  No [ ]  N/A
* Foster Care Youth [ ]  Yes [ ]  No [ ]  N/A
* Enrolled in Education [ ]  Yes [ ]  No [ ]  N/A
* Other Reason for Exit\*\* [ ]  Yes [ ]  No [ ]  N/A

\*No established documentation standards.

\*\*If reason for exit is anything other than **Exited after 90 days**, review TA 11-12.2, Attachment D for specific review instructions.

Notes:

* 1. **WIOA Youth Element(s) Provided (20 CFR § 681.460)** Answer the questions below based on the individual file reviews conducted using Attachments B and C
1. Did your review find instances of youth services reported in OSOS that were not supported

through OSOS comments and/or the youth’s paper file? [ ]  Yes [ ]  No

1. For any program element provided with non-WIOA funds, was there a MOA available

for your review? [ ]  Yes [ ]  No

1. Was the information shared by the non-WIOA funded service provider sufficient to

determine that the services matched the program element requirement? [ ]  Yes [ ]  No

1. Follow-Up Services:
* Were Follow-Up Services Provided to Exited Youth (TEGL 21-16) [ ]  Yes [ ]  No [ ]  N/A, if still receiving services
* Are Follow up Services being provided (minimum of 12 months)? [ ]  Yes [ ]  No
* Are only the allowable program elements provided during follow-up? [ ]  Yes [ ]  No
* If follow-up services are not being provided, did local follow their policy
* for youth who decline or cannot be located? [ ]  Yes [ ]  No
* Is there evidence that youth was notified of follow-up policy at time of enrollment? [ ]  Yes [ ]  No
1. Work Experience (WE) Program Element:
* Did youth received WE service(s) (TEGL 21-16) [ ]  Yes [ ]  No [ ]  N/A
* Does youth file, OSOS Comments, and/or ISS identify Academic and

Occupational Education received in conjunction with WE? [ ]  Yes [ ]  No

* Is there a worksite, or similar, agreement available for review? [ ]  Yes [ ]  No
* Are there timesheets, or other documentation, supporting placement?[ ]  Yes [ ]  No
1. Incentive Payments:
* Did youth receive an incentive (TEGL 21-16; 20 CFR 681.640)?[ ]  Yes [ ]  No [ ]  N/A
* Are incentive payments directly linked to achievement in training or WE? [ ]  Yes [ ]  No
* Were incentives provided in accordance with written program outline? [ ]  Yes [ ]  No
* Were incentives provided for entertainment (such as movie or sporting tickets)? [ ]  Yes [ ]  No

Notes:

* 1. **Program Outcomes** (TEGL 10-16 Change 1; TA 11-12.2)
* **Credential Attainment**: All ISY and OSY participants enrolled in an education or training program who attain one of the following during participation or within one year after exit from the program:
	+ A recognized postsecondary credential; or
	+ A secondary school diploma, or its recognized equivalent, only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.
1. Did credential attainment dates entered in OSOS match documentation? [ ]  Yes [ ]  No
2. Did credential types entered in OSOS match documentation? [ ]  Yes [ ]  No
3. Were there documented credentials in youth files not reported in OSOS? [ ]  Yes [ ]  No
* **Measurable Skills Gain**: All ISY and OSY participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment **AND** who are achieving measurable skill gains, defined as documented progress towards a credential or employment:
	+ Increase of at least one educational functioning level (EFL) of a participant who is receiving instruction below the postsecondary level. Refer to TEGL 17-05, Change 1 for an example.
	+ Attainment of a secondary school diploma or its recognized equivalent
	+ Secondary or postsecondary transcript or report card that shows a participant has completed a sufficient number credit hours and is meeting the State unit’s academic standards
	+ Satisfactory or better progress report toward established milestones, such as completion of OJT or one year of an apprenticeship program or similar milestones
	+ Successful passage of an exam that is required for an occupation; or
	+ Progress in attaining technical or occupational skills as evidenced by trade-related benchmarks such as knowledge based exams.
1. Were reported measurable skills gains reported in OSOS documented? [ ]  Yes [ ]  No
2. Was there evidence of documented skills gains that were not reported? [ ]  Yes [ ]  No
* **Youth Education and Employment Rate in the 2nd, 4th Quarters after Exit**: the percentage of title I Youth program participants who are in education or training activities, or in unsubsidized employment, during the second and/or fourth quarter after exit from the program. (TEGL 26-16, Change 1).
	+ **Completion of the Employment Outcome Tab**
1. Was unsubsidized employment reported in OSOS documented? [ ]  Yes [ ]  No
2. Was Supplemental Wage information used to report employment post exit? [ ]  Yes [ ]  No [ ]  N/A
	* + If yes, was it documented in accordance with TA 11-12.2? [ ]  Yes [ ]  No
3. Was there evidence that documented employment was not entered in OSOS? [ ]  Yes [ ]  No [ ]  N/A
	* **Reporting of Youth placed into education**
4. Was placement into education post-exit reported in OSOS? [ ]  Yes [ ]  No
	* + If yes, was it documented in accordance with TA 11-12.2? [ ]  Yes [ ]  No
5. Was there evidence that placement into education was not entered in OSOS? [ ]  Yes [ ]  No [ ]  N/A

Review Summary:

**Findings, Required Corrective Action, Technical Assistance Observations and Recommendations**

Where possible, group all similar findings by category. All data entry findings could be reported as one finding category, for example:

“Data Entry was found to be non-compliant in the following ways:

* Date of Birth Tab is not completed
* Comments do not match service type.
* Required Demographic Information tabs are not complete
* Outcomes tab is not completed after training services end.”

This will result in a lower number of findings and will more efficiently represent the types of errors found.

List all findings including the corresponding WIOA Federal, State or Local compliance requirement with the required/recommended Corrective Action necessary to establish compliance with the guidance cited.

**Finding 1:**

Compliance Requirement:

Required Corrective Action:

**Finding 2:**

Compliance Requirement:

Required Corrective Action:

**Technical Assistance Observations:**

List all issues or concerns identified during the review that, if left unaddressed, may result in future findings or questioned costs. A recommendation must be included for each observation listed indicating steps that can be taken to address the issue or concern to avoid future findings or questioned costs.

**Observation 1:**

Recommendation:

**Observation 2:**

Recommendation:

**Entrance Meeting** – Discuss with WDB Director findings, issues and areas of concern identified during pre-onsite review.

Keep documentation of the entrance/exit conference as part of the official work papers.

Date of Conference:

Attendees:

Name:       Job Title

Name:       Job Title

Name:       Job Title

Topics Discussed:

**Exit Conference**

Keep documentation of the entrance/exit conference as part of the official work papers.

Date of Conference:

Attendees:

Name:       Job Title

Name:       Job Title

Name:       Job Title

Topics Discussed:

NOTE: A summary of the Exit Conference is required to be part of the final review letter issued.

1. As of the development of this guide a listing of required policies is being developed by NYSDOL, this list will be used once finalized and released to the local boards. [↑](#footnote-ref-1)