# 2020-21 Youth Desk Monitoring Guide

Workforce Innovation & Opportunity Act (WIOA)

Minnesota Youth Program (MYP)

## GENERAL INFORMATION

Workforce Development Area: Contact:

Address: City, State, Zip:

Phone: E-mail:

Review Period: Date(s) Monitored: From To

Name of Monitor:

### Desk Review (Completed by DEED Monitor):

If resolution is ongoing from previous monitoring and/or audit reports, ask for an update.

#### Items Reviewed:

Local WIOA/MYP Youth Plan: Dated:

Comments/Observations:

Plan Updates: Dated:

Comments/Observations:

Most Recent WIOA Youth Budget: Dated:

Comments/Observations:

Most Recent MYP Budget: Dated:

Comments/Observations:

Most Recent WIOA Performance Report: Dated:

Comments/Observations:

Workforce One Reports: Dated:

Comments/Observations:

Prior Monitoring Reports: Dated:

Comments/Observations:

Expenditure Reports: Dated:

Comments/Observations:

Other/Specify: Dated:

Comments/Observations:

### Plan Versus Actual (Completed by DEED Monitor)

#### WIOA YOUTH (as of: )

| Enter data into blank cells **Participants** | **Planned Enrollment** | **YTD Enrollment** | **Percent of Plan** |
| --- | --- | --- | --- |
| WIOA Total Youth |  |  |  |
| **Budget** | **Planned Expenditures** | **Reported Expenditures** | **Percent of Plan** |
| WIOA Total Youth |  |  |  |
| WIOA Out-of-School Youth  |  |  |  |
| WIOA Work Experience |  |  |  |

Of the reported expenditures to date under WIOA Youth, what percent of expenditures are for out-of-school youth?

#### MINNESOTA YOUTH (as of: )

|  |  |  |  |
| --- | --- | --- | --- |
| Enter data into blank cells **Participants** | **Planned Enrollment** | **YTD Enrollment** | **Percent of Plan** |
| MYP Summer Youth |  |  |  |
| MYP Year-Round Youth |  |  |  |
| MYP Outreach to Schools |  |  |  |
| **Budget** | **Planned Expenditures** | **Reported Expenditures** | **Percent of Plan** |
| MYP Total |  |  |  |
| MYP Outreach to Schools |  |  |  |

#### OTHER YOUTH GRANTS (as of: )

|  |  |  |  |
| --- | --- | --- | --- |
| Enter data into blank cells **Participants** | **Planned Enrollment** | **YTD Enrollment** | **Percent of Plan** |
| Grant 1: |  |  |  |
| Grant 2: |  |  |  |
| **Budget** | **Planned Expenditures** | **Reported Expenditures** | **Percent of Plan** |
| Grant 1: |  |  |  |
| Grant 2: |  |  |  |

### Entrance Conference (Date: )

#### Participants:

Name: Position/Title:

Organization:

Name: Position/Title:

Organization:

Name: Position/Title:

Organization:

Name: Position/Title:

Organization:

#### Pre-Visit Issues/Comments:

Issues:

Comments:

If there are additional conditions that may require corrective action, provide comments as appropriate.

## DOCUMENTATION CHECKLIST

The following documents are important parts of the monitoring process and will be referenced as part of your monitoring report. It also provides backup documentation when reviewed by the Office of the Legislative Auditor and/or U.S. Department of Labor representatives. These documents will remain on file at DEED.

PLEASE NOTE: All relevant documents should be sent electronically to the monitor.

**Youth Committee Documents (If Applicable)**

[ ] Current list of Youth Committee members, Mission Statement and Workplan

[ ] Orientation materials for the Youth Committee (including current by-laws)

[ ] Minutes from the two most recent Youth Committee Meetings

[ ] The most recent Request For Proposal (RFP) for youth services

[ ] The LWDB/Youth Committee “Conflict of Interest” policy

[ ] All WIOA youth-related waiver requests and Youth Committee/LWDB minutes affirming approval(s)

[ ] A copy of the local Youth Incentive Policy and Youth Committee/LWDB minutes affirming approval of the policy (if applicable)

[ ] The local policy for youth-focused Individual Training Accounts (ITAs) (if applicable)

[ ] A sample worksite agreement between the service provider and employer hosting a work experience participant

**Work Experience Documents**

[ ] A list of all worksites used during the program year

[ ] Copies of all “First Report of Injury” forms for youth participants during the current program year

[ ] Copies of all grievances filed by youth participants (or parent, if participant is a minor) during the current program year

[ ] Orientation materials for participants and worksite supervisors

[ ] A sample worksite agreement between the service provider and employer

[ ] A copy of MYP Customer Satisfaction Survey

[ ] A copy of the MYP/TANF Youth Work Readiness Indicator form

[ ] Monitoring tool used by the WDA to monitor worksites and/or subgrantees

## STANDING YOUTH COMMITTEE (if applicable)

Does the LWDB have a Standing Youth Committee in place? How many of the Youth Committee members are also members of the full LWDB? {WIOA §107(b)(4)(A)(ii)}; TEGL 27-14 and 23-14. 20 CFR 681.110 and 20 CFR 681.120.

How does the LWDB do oversight of youth workforce investment activities? Attach a copy of any local monitoring tool used by your WDA. {WIOA §107(d)(8), Program Oversight; Sec 123 Eligible Providers of Youth Services}

Describe the role of the Youth Committee (see examples below): {WIOA §107(d)(3-11)} 20 CFR 681.110 and 20 CFR 681.120.}

* Providing policy and oversight in the delivery of youth services;
* Leveraging resources;
* Connecting and interacting with the business community and Chambers of Commerce;
* Connecting and interacting with local educational agencies and key community partners;
* Addressing gaps in services for youth;
* Supporting strategies for serving youth of color, homeless youth, youth with disabilities and other at-risk youth under-represented in the workforce

To what extent are parents, youth participants and other community members with youth program experience involved in the design, implementation and evaluation of youth programs (including use of focus groups)? {WIOA§107(b)(4)(A)(ii)}

## OUTREACH, ACCESS AND REFERRALS

Review strategies in Local Youth Plan for recruiting Out of School Youth (OSY). How are local areas partnering with community organizations in reaching out to OSY?How are local areas partnering with school districts to coordinate services for In-School Youth?TEGL 23-14

Does the Local Youth Plan include the LWDB’s definition for “requires additional assistance” for OSY and ISY? {WIOA Sec. 129 (a)(1)(B)(iii)(VIII) and Sec. 129 (a)(1)(C)(iv)(VII), 20 CFR 681.300 and 20 CFR 681.310. TEGL 23-14, TEGL 8-15, TEGL 21-16}

Does the LWDB assure that not more than five percent of newly enrolled ISY in a given program year are eligible based on the “requires additional assistance barrier”? {WIOA Sec 129 (a)(3)(B); Regulations: 20 CFR 681.310(b); TEGL 8-15, TEGL 21-16}

Describe any innovative strategies for recruiting youth of color, homeless youth, youth with disabilities and other at-risk youth under-represented in the workforce.

## PROGRAM DESIGN AND PROGRAM ELEMENTS

### Local Youth Plan/RFP Review

What process has the local area used to select eligible youth service providers? Has the local board awarded grants or contracts to youth service providers, or is the local board providing some or all youth services directly? When is the next RFP expected to be issued relating to youth services? {WIOA Sec.129(c)(2)(A), WIOA Sec. 107(d)(1)(B) Selection of Youth Providers; Sec. 123 Eligible Providers of Youth; Sec. 102(b)(2)(D)(i)(V) Program Specific Requirements}

How does the WDA ensure that the 14 required program elements are available to all WIOA Youth participants? Include any LWDB written policies defining the provision of the 14 program elements?

Has training been provided to youth case managers on WIOA Youth eligibility, program design, and performance? {TEGL 23-14, TEGL 8-15, TEGL 21-16, TEGL 10-16, Change 1} [ ] **Yes** [ ] **No**

Does the LWDB use the 5% window? [ ] **Yes** [ ] **No**

Does the Local Youth Plan include the WDA’s additional barrier as it pertains to in-school or out-of-school youth who qualify under the five (5) percent window? {WIOA Sec. 129(a)(3)(B)} [ ] **Yes** [ ] **No**

### Objective Assessment – Individual Service Strategies (ISS)

{WIOA §129(c)(1)}. Please attach a copy of the ISS and assessment materials.

Describe how the ISS is developed or how the IEP is used as the ISS. Does the ISS include references to the 14 program elements? {TEGL 23-14; TEGL 8-15, TEGL 21-16}

Does the ISS identify which of the 14 program elements the youth will participate in? [ ] **Yes** [ ] **No**

Does the participant have an understanding of appropriate Labor Market Information? [ ] **Yes** [ ] **No**

Does the ISS establish credential attainment goals as appropriate {WIOA §129(c)(1)(C)}? [ ] **Yes** [ ] **No**

Does the ISS identify career pathways for education and/or employment? [ ] **Yes** [ ] **No**

Do all participants have an ISS? [ ] **Yes** [ ] **No**

Was an objective assessment used to create the ISS? [ ] **Yes** [ ] **No**

Is the ISS updated to reflect youth’s progress in meeting goals? [ ] **Yes** [ ] **No**

Does the ISS show evidence of active youth participation {WIOA §129(c)(1)(A)}? [ ] **Yes** [ ] **No**

How does the WDA ensure the ISS identifies appropriate services based on the objective assessment and is linked to youth performance indicators?

What specific role do youth play in the development of their Individualized Service Strategy? {WIOA §129 (c)(3)(C)}

**Check below if these items are included in the WDA’s Youth Assessment {WIOA §129(c)(1)}.**

[ ] Educational attainment

[ ] Educational achievement

[ ] Work experience/history

[ ] Youth’s goals

[ ] Vocational aptitude

[ ] Career pathways interests

[ ] Family strengths

[ ] Work readiness competencies

[ ] Community Services

[ ] Medical assessment

[ ] Review of basic skills

[ ] Support service needs

[ ] Occupational skill level

[ ] Other (specify)

Identify assessment tool(s) used with all out-of-school youth at the time of enrollment.

### Program Outcomes

What strategy has the WDA identified to ensure youth program activities lead to a High School diploma or its equivalent or a recognized post-secondary credential? Identify type(s) of credentials youth typically attain. {WIOA §129 (c)(1)(C)(i); TEGL 23-14; TEGL 8-15, TEGL 21-16}

How are local area staff, including case managers, provided ongoing training on Labor Market Information (LMI) to ensure youth participants are receiving the required in-demand industry/occupational information within the local and/or regional labor market area? {WIOA §129(c)(1)(C)(v)}

Describe local strategies that prepares youth for post-secondary education and training opportunities, leading to attainment of recognized post-secondary credentials. {WIOA §129(c)(1)(C)(ii), §129 (c)(1)(C)(iii)}

Describe the strategy to prepare youth for unsubsidized employment, including with small employers, specifically those that include in-demand industry sectors and occupations of the local and/or regional labor markets? {WIOA §129(c)(1)(C)(iv)}, §129(c)(1)(C)(v)}

Does the LWDB pay incentives? If yes, attach a copy of the local policy. Are awards permitted only for recognition and achievement directly tied to training activities and work experiences? Does the policy prohibit awards tied to food or entertainment venues? {20 CFR 681.641, 2 CFR 200.438}

### Work Experience and Worksite Development

Did the WDA encounter any problems with assuring maintenance of effort and obtaining concurrence from organized labor for worksites covered by collective bargaining agreements? {WIOA §181(b)(7)}[ ] **Yes** [ ] **No**

The Work Experience element includes paid and unpaid work experiences that have academic and occupational education as a component. It may include summer and year-round employment opportunities, pre-apprenticeships, internships/job shadow, and on-the-job training opportunities. What strategy or process has the local area identified to provide this element? {WIOA §129(c)(2)(C)}

What criteria are used for selecting worksites {WIOA §181(b)}?

Describe orientation and training provided to worksite supervisors, including youth safety training. Does the WDA document that all worksite supervisors and alternate supervisors received training prior to the assignment of participants to the worksite? Please provide a sample packet used for supervisor training.

How does the WDA ensure that the minimum of 20 percent of funds are used for work experience and is the WDA expending the 20 percent minimum on work experience? How does the WDA track work experience? {WIOA 129 (c)(4); TEGL 23-14; TEGL 8-15, TEGL 21-16}

### Grievances, Discrimination Complaints and Worksite Accidents

{WIOA §181(b)(4), §181(c), §184(f)}

Have there been any grievances or discrimination complaints filed?[ ] **Yes** [ ] **No
If yes, please attach copies of each complaint.**

How many accident reports have been filed?
**Please provide Program Liaison with copies of all “First Report of Injury” forms.**

### Participant Orientation and Safety Training

Describe the WDA’s approach to safety training for participants:

### Follow-Up

What procedures and/or methods does the WDA use to ensure that follow-up services are provided for at least 12 months? How does the local program document when a participant cannot be located during follow up? {WIOA §129(c)(2)(I); 20 CFR 681.580 TEGL 21-16}

Is the WDA adhering to the requirement to provide follow-up services to all participants for at least 12 months, unless services are declined? CFR 681.580; TEGL 21-16

### Co-enrollment

To what extent does the WDA use concurrent enrollment for youth participants? If applicable, describe the specific programs in which WIOA youth may be co-enrolled.

### Work Readiness Indicator (MYP, Youth Competitive and TANF Innovation Projects Only)

How does the WDA assure that the Work Readiness Indicator is reported accurately for MYP and TANF youth participants? If the participant’s timesheet or other form tracks “work readiness factors,” please attach a sample copy. How/when is this entered accurately in Workforce One?

Does the WDA have in place a “Worksite Evaluation” measuring performance in the workplace? [ ] **Yes** [ ] **No
If yes, please attach a copy.**

### Performance Measures (WIOA Youth Only)

Describe any problems that the WDA has encountered with the WIOA Youth Performance Measures. {WIOA §116(b)(2)(ii-iii)}

### Customer Satisfaction Survey (MYP)

How is the WDA collecting customer satisfaction information for MYP? {Youth Administrative Manual, Chapter 23} Is the WDA using a previously developed survey or the standard DEED questions shown below/on the following page? Please provide a copy of the customer satisfaction survey used.

|  |
| --- |
| **Standard DEED Customer Satisfaction Questions For MYP Participants**Please rate your overall experience as a participant in the Minnesota Youth Program:[ ] **Excellent**[ ] **Very Good**[ ] **Average**[ ] **Below Average**[ ] **Poor**What was the best part of your experience?What could be improved? |

### Local Level Partnerships

What is the connection between the local youth program and the CareerForce Location? 20 CFR 681.700

How is the WDA partnering with Title II Adult Education programs? Title IV Vocational Rehabilitation programs? TANF/MFIP partnerships? Briefly describe any projects, activities or success stories considered unique or exemplary.

## DOCUMENTATION REVIEW

### Local Monitoring Guide

Describe the monitoring activities performed by the WDA {WIOA §184(a)(4), §188(a)(4)}, including the frequency of local monitoring activities. If applicable, describe any corrective actions on any sub-contractor providing youth services. *Please provide a copy of any written report indicating the WDA requested a corrective action on a subgrantee agency.*

Does the Local Monitoring Guide include reference to policies and procedures covering?[ ] **Yes** [ ] **No**

Adherence to Child Labor Laws {WIOA §181(b)(4)}? [ ] **Yes** [ ] **No**

Adequate worksite supervision and supervisor’s knowledge of worksite agreements {WIOA §181(b)(4)}? [ ] **Yes** [ ] **No**

Timely payment to participants and proper amount {WIOA §181(a)(1)(A)}? [ ] **Yes** [ ] **No**

Are participants aware of how to file a complaint/grievance {WIOA §181(c)(1)}? [ ] **Yes** [ ] **No**

A Worksite Evaluation measuring performance in the workplace [ ] **Yes** [ ] **No**
(Required to assess work readiness for the work readiness indicator).

### Worksite Agreement

{Youth Administrative Manual, Chapter 7}

Does the worksite agreement include provisions for:

Safe working conditions {WIOA §181(b)(4)}? [ ] **Yes** [ ] **No**

Sufficient and meaningful work {WIOA §181(b)(4)}? [ ] **Yes** [ ] **No**

Safety and other equipment when appropriate? {WIOA §181(b)(4)} [ ] **Yes** [ ] **No**

Time and attendance records? [ ] Yes [ ] No

Payment only for time worked? [ ] **Yes** [ ] **No**

Prohibition of political activities? [ ] **Yes** [ ] **No**

Prohibition of sectarian activities? [ ] **Yes** [ ] **No**

### Online Case File Review (To Be Completed by the Monitor)

***The monitor will review a minimum of ten (In-School and Out-of-School) randomly selected participant files via Workforce One. These should include a mix of current participants and former participants who have exited from the program.***

***If possible, identify at least three youth participants who have attained one or more WIOA-recognized credential for online and/or on-site review.***

Using Workforce One, monitors should consider the following:

1) If an electronic ISS (Plan) is used for the participant/exiter, is the plan up-to-date and appear to be tailored for the participant?
2) Describe the overall quality of case notes in Workforce One. How frequently are they updated? Are milestones (such as receiving a credential or job placement) noted?
3) If the person is an exiter and in follow-up, does the follow-up information appear to be up-to-date?
4) Does the online record contain source documentation (transcripts, certificates, diploma, report cards, correspondence, etc.) in Electronic Document Storage (EDS) supporting attainment of one or more WIOA-recognized credentials or used for the Measurable Skill Gain performance measure? If EDS is not used, are there relevant case notes indicating these documents can be found in the participant file?

How does the WDA assure all client records are retained, secured and stored so that they are accessible for audit purposes?

## ADDENDUM – Pandemic-Related Questions For Youth Service Providers

In addition to the questions in the 2020-2021 Youth Monitoring Guide, please answer the questions below to the best of your ability regarding the following issues related to the pandemic:

1. Identify any technology barriers for participants (including internet access) and any solutions/best practices to reduce or resolve this issue.

2. Identify any housing stability concerns in your area and how you are addressing the issue.

3. Summarize any food insecurity issues in your area and steps being taken to help participants and their families improve access to food.

4. Identify any local or regional transportation issues affecting youth participants and their families and any innovative strategies or best practices.

5. Summarize your area’s employment situation with respect to placement of youth participants in either work experience OR youth preparing to exit into unsubsidized employment.

6. Has the WDA implemented any innovations during the pandemic that are working well?

7. Has the WDA had any surprise WINS during these challenging times?