



POLICY MANUAL

DYCD's WIOA YOUTH PROGRAMS

**Learn & Earn In School Youth
Train & Earn Out of School Youth**

Updated April 2023

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Note to Users: Most of the forms and documents references throughout this guide can be found at <https://www.dycdconnect.nyc/Home/Docs> . If you need assistance obtaining forms or other documents reach out to your DYCD program manager.

WIOA YOUTH PROGRAM DESIGN FRAMEWORK

Introduction

WIOA legislation has a number of programmatic requirements that must be implemented by contractors. This policy outlines these requirements. Additional information can be found in the [Training and Employment Guidance Letter 21-16](#).

Policy

Objective Assessment

Each contractor is to provide an objective assessment of the academic levels, skill levels, and service needs of each participant, which assessment shall include a review of basic skills, occupational skills, prior work experience, employability, interests, aptitudes (including interests and aptitudes for nontraditional jobs), supportive service needs, and developmental needs of such participants, for identifying appropriate services and career pathways for participants. This assessment should be clearly outlined in the WIOA Youth application and reflected in the participants PTS profile.

WIOA requires that all contractors provide an individual service strategy for each youth participant that identify career planning and career pathways that include:

- Career interest/employment goals.
- Establish achievement objectives.
- Identify appropriate services.
- Documented supportive services provided.
- Directly link to one or more indicators of performance described in WIOA §116(b)(2)(A)(ii).
- Updates based on changes in the Participant goals or circumstances.
- Signature of the participant.

Case Management and Follow-up Services

WIOA contractors must provide case management for youth participants, including twelve months of follow-up services. Case management should be reflected in the Participants' PTS Interactions. Interactions are added in relation to services, which link back to the WIOA elements. Participant must be enrolled into services to add interactions related to those services.

DYCD requires the following key case notes:

- First case notes in guidance and counseling;

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- Exit note in guidance and counseling.
- Case notes per service monthly summary in guidance and counseling for Train & Earn and Learn & Earn.
- Stipend/incentive distribution notes in supportive services.
- If a participant disclosed a disability, See Confidential File note was entered in supportive services.

Participant Referrals

If youth apply for a program and are not eligible or program cannot serve them, they must refer them to an appropriate program that has the capacity to serve them. Contractors must also provide participants with information about applicable or appropriate services available through other Local contractors, or one-stop partners. Contractors should also refer participants to appropriate training and educational programs that have the capacity to serve them.

WIOA 14 Youth Elements

[The WIOA 14 Youth Elements](#) include the following services:

- 1) Tutoring, study skills training, instruction and evidence-based dropout prevention and recovery strategies that lead to completion of the requirements for a secondary school diploma or its recognized or for a recognized post-secondary credential.
- 2) Alternative secondary school services, or dropout recovery services, as appropriate.
- 3) Paid and unpaid work experiences that have academic and occupational education as a component of the work experience, which may include the following types of work experiences:
 - (i) Summer employment opportunities and other employment opportunities available throughout the school year;
 - (ii) Pre-apprenticeship programs.
 - (iii) Internships and job shadowing; and
 - (iv) On-the-job training opportunities.

- 4) Occupational skill training, which includes priority consideration for training programs that lead to recognized post-secondary credentials that align with in demand industry sectors or occupations in the local area involved.
- 5) Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster.
- 6) Leadership development opportunities, including community service and peer-centered activities encouraging responsibility and other positive social and civic behaviors.
- 7) Supportive services;
- 8) Adult mentoring for a duration of at least 12 months, that may occur both during and after program participation.
- 9) Follow-up services for not less than 12 months after the completion of participation.
- 10) Comprehensive guidance and counseling, which may include drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth.
- 11) Financial literacy education.
- 12) Entrepreneurial skills training.
- 13) Services that provide labor market and employment information about in demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and
- 14) Activities that help youth prepare for and transition to post-secondary education and training.

Service Delivery

- Local programs must make all 14 program elements available to youth.
- Local programs determine which elements a youth receives based on the assessment and ISS.
- A program doesn't need to provide every element to each participant. Provision of elements will depend on the ISS.

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- Local programs should partner with entities that can provide program elements at no cost.

WIOA ENROLLMENT REVIEW AND ELIGIBILITY VALIDATION PROCEDURES

Introduction

WIOA requires that participants enrolled in youth programs meet eligibility requirements, submit all required documentation, and have electronic profiles in PTS and DocUP.

Please see the [PTS WIOA Eligibility Guide](#).

Policy

DYCD Central Validation Unit (CVU) staff will validate eligibility for all WIOA participants. CVU staff will conduct electronic validation using PTS and DocUP to review all participant information.

Procedure – Enrollment/Eligibility Documentation Review

Contractors must take the following steps prior to validation:

- The contractor inputs all of the prospective participant's information into the PTS intake screens.
- Contractor uploads all of the required back-up documentation into DocUP
- Contractor submits for CVU Approval
- If there are no errors identified and CVU can confirm participants eligibility, CVU will approve the profile.

If there are needed corrections, CVU will reject the profile. Create a DYCD Review note in the individual profile and set a resubmission date for the provider. Once needed corrections are made, the profile can be placed back into CVU Approval for review.

WIOA CASE FILE ORGANIZATION

Introduction

With the advent of PTS and electronic submission of eligibility and enrollment documents, it is no longer required for eligibility and enrollment documents to be stored in hard copy at contractor sites. However, there are some documents that must be maintained at contractor sites for review as needed.

Policy

Case files are required to be organized in a uniform manner, and must be stored in a secure location, accessible only to authorized contractor staff. Documents used to establish participant eligibility will be submitted to DYCD for review through DocUP and will be stored in DocUP for seven years. Contractors may also wish to keep copies of eligibility documents in secure case files, though it is no longer required.

The following additional enrollment documents should be stored in hard copy files at the contractor site:

- Completed and signed WIOA Youth Program Application.
- Basic skills/High School Equivalency documents, including copies of basic skills pre- and post-tests, progress reports, and other relevant documents such as classwork, lessons, reading/writing exercises, quizzes, and exams.
- Work readiness documents, including worksheets and certificates if applicable.
- Occupational skills training documents.
- Leadership and mentoring activities documents.
- Work Experience and Internship documents.
- ACCES-VR checklist
- EO-WIOA Notice of Rights Acknowledgement Bulletin
- Copies of referrals to other organizations for needed supportive services.

WIOA EO File Requirements

Participant, WIOA contractor staff, and linkage NORAB's should be uploaded into PTS for review by DYCD. These documents should be maintained at the contractor site in hard copy files as well.

In the case of a participant with a disability, any information related to specific medical or other confidential information should be kept in a SEPARATE, secure confidential file, accessible only to contractor staff who have need to review it.

WIOA 5% OVER LOW-INCOME EXCEPTIONS

Introduction

This policy outlines the procedures for review and approval of prospective participants that fall under the WIOA 5% over income exception eligibility rule. Enrollment of such participants will be considered on a case-by-case basis.

Policy

For Learn & Earn - the contractor's 5% income exemption allocation is related to 5% of the total Contractor's service level for any program year for In School Youth program participants only.

For Out-of-School Youth – the 5% income exemption allocation for OSY contractors is based only on the number of OSY participants that would normally be required to meet the low-income criteria.

For any prospective participant whose family gross six-month income total exceeds the Lower Living Income Guidelines, an enrollment justification letter created on Contractor Letterhead, detailing how the participant will benefit from the program must be uploaded into DocUP as the source of income. Providers must select Over Income Exception slot type in PTS in order to enroll the participant as 5% Income exemption category.

NEEDS ADDITIONAL ASSISTANCE BARRIER POLICY

Introduction

One of the barriers to establish eligibility is “needs additional assistance”. This is a professional staff assessment centering around such applicant attributes as never having held a job, or having held many repeat and menial jobs, lack of any discernable career and or educational advancement options. As with the other WIOA youth barriers, this barrier requires documentation. This information should be captured on the WIOA Youth Attestation Form. Needs Additional Assistance is limited to no more than 5% of newly enrolled Learn & Earn (ISY) participants each year. There is no limit on the number of Train & Earn youth who may be enrolled with this barrier each year.

Policy

Low-income youth will be eligible for WIOA services if the objective assessment indicates that one of the following conditions exists.

- Needs additional assistance to complete an educational program:
 - School grade(s) of C or below (or equivalent average).
 - Lack of English language proficiency.
 - At risk of dropping out of school.
 - One or more grade levels behind.
 - Excessive absenteeism from school.
 - Other educational deficiencies cited by the youth’s school, to be specified.
- Needs additional assistance to secure and hold employment:
 - Little labor force attachment (for OSY applicants - has not held a job other than summer or part-time, afterschool work).
 - Poor employment record, including but not limited to short periods of employment and terminations.
 - Occupational skills below labor market expectations.
 - Deficiency in job readiness or job retention skills.
 - Lacks job search skills.
 - Poor work habits including but not limited to punctuality, attendance, communication, attitude, ability to accept supervision, attire.
 - Other work-related deficiencies cited by employer, interviewer or counselor.
- Other conditions that qualify a prospective participant as eligible for services:
 - Victim of abuse.
 - Child of an incarcerated parent.

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- Suffering from substance abuse or medical issues.
- Expectant Father.

Contractors will use the WIOA Youth Attestation Form to capture which of the above conditions apply. This form will be included with other eligibility documentation in the youth's case file.

BASIC SKILLS ASSESSMENT

Introduction

All participants in DYCD WIOA youth programs must have their reading and math skills assessed for the purposes of establishing if basic skills deficiency is a WIOA barrier and determining service needs.

Policy

All WIOA funded youth programs are permitted to use the DYCD Basic Skills Screening Tool to assess basic skills level. Programs are also able to enter TABE test scores, if the test is administered, upon participant enrollment, but this is not required.

Each applicant's assessment must include the Basic Skills Screening tool.

At the point of intake, the Provider is to give the applicant a copy of the WIOA Basic Skills Screening tool to complete.

If the participant cannot complete the assessment on their own, providers will indicate that the participant has a Basic Skills Deficient Barrier.

If a participant answers “No” to any of the questions in the assessment, they should be assigned the Basic Skills Deficient Barrier.

If the participant can complete the Screening tool on their own and answers “Yes” to all the questions in the assessment, they are not Basic Skills Deficient.

SELECTIVE SERVICE REGISTRATION

Introduction

This policy outlines the procedures for Selective Service registration requirements for participants who are enrolled in WIOA-funded programs. This policy has been integrated into the WIOA Youth Programs as a result of the U.S. Department of Labor's Employment and Training Administration Training and Employment Guidance Letter [TEGL] No. 11-11 change 2, issued on May 16, 2012.

https://wdr.doleta.gov/directives/attach/TEGL/TEGL_11-11_change2-Acc.pdf

Policy

All persons born male who are seeking WIOA Funded Service must register for the US Selective service by the age of 18 to be deemed and or remain eligible. Selective Service is the only continuing eligibility criteria for WIOA Programs. Male participants who enter a WIOA program at age 17 or younger, and attain age 18 while participating in the program, must be registered for Selective Service by the 30th day after their 18th birthday to remain eligible for WIOA services, in accordance with the requirements as set forth in the above-referenced TEGL.

There is no need to re-determine eligibility when a participant, who enters the WIOA program at age 17 or younger, attains age 18. The Selective Service fields in PTS must be updated to reflect Selective Service registration.

If a male participant who has attained age 18 fails to register for Selective Service, then all WIOA services must be closed no later than 30 days after his 18th birthday. If services are not closed after the 30-day grace period, DYCD's PTS system will automatically close all services for that participant, starting the clock for the participant to be exited in 90 days. NOTE: If Selective Service registration documentation is obtained before the PTS automated exit occurs 90 days from the last service, then services to that youth participant may resume, in accordance with the requirements as set forth in the above-referenced TEGL.

Funds expended on male participants who are not registered for Selective Service by the 30th day after their 18th birthday are at risk for disallowed costs.

Individuals who are born female and changed their gender to male are not required to register. U.S. citizens or immigrants who are born male and changed their gender to female are still required to register.

<https://www.sss.gov/Registration-Info/Who-Registration>

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LOCAL LAW 29 VOTER REGISTRATION ACT

Introduction

Under New York City Local Law 29, “The Voter Registration Act,” (LL 29), contractors that enter into an agreement with the DYCD to provide employment, training and/or educational services are required to distribute voter registration forms to participants who are 18 years of age or older. Voter registration forms should be distributed to all WIOA Youth participants in the contractor’s program on the participant’s date of registration in their program.

Policy

Contractors are responsible for implementing LL 29 in the following ways:

1) Having participants complete the Voter Registration Participant Questionnaire Form

- Providing each participant 18 years or older registered in a DYCD-sponsored program with information on voter registration and having them complete a “Voter Registration Participant Questionnaire Form”.
- Each participant must receive a copy of the questionnaire once they have completed it.
- A copy of the signed questionnaire must be maintained in the participant’s folder to ensure compliance with LL 29.
- For information about who is eligible to register to vote, call 311.
- Participation in your program is not conditional on the participants being registered to vote.

2) Designating a Voter Registration Liaison

- Each contractor must designate a staff member to be the DYCD Voter Registration Liaison for any issues pertaining to LL 29’s requirements.
- LL 29 documents sent to contractors must be signed for and distributed by the contractor’s LL 29 Liaison.
- The contractor’s LL 29 Liaison shall be responsible for the following:
 - Providing Voter Registration information directly to participants.
 - Distributing the postage-paid Board of Elections Voter Registration forms required by LL 29.
 - Training other contractor staff about LL 29’s requirements so that they are able to discuss them with participants in the contractor’s program.
 - Ensuring Voter Registration posters are prominently displayed on-site.

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- Assisting participants in completing the Voter Registration form either in hard copy or online.
- Maintaining an adequate supply of Voter Registration forms.

To request forms, please call the Board of Elections Registration Department at (212) 487-5400. You can also visit the NYC Board of Elections website at <https://vote.nyc/page/contact-us>

Contractors are encouraged to make the material available to any individual who expresses interest in Voter Registration, whether or not they are participants. Contractors should also provide this information to youth in their programs who turn 18 after registration.

WIOA YOUTH PROGRAM DESIGN

Introduction

The Contractor's Program Design is used to capture key program information in the work scope section of PTS. The Program Design section will be completed by contractors each year of their contract. The key areas currently include the following, and are subject to change:

- Annual enrollment goal.
- Milestone goals.
- Program location(s).
- Organization and contractor staff contact information;
- If applicable, subcontractors, consultants, and vendors and their roles in the program.
- Program components, including occupational training, work readiness/career planning activities, basic skills/HSE preparation, case management, postsecondary/advanced training, employer partners, support services resources.
- Program performance projection schedule. The projection schedule is used to assist contractors in projecting appropriate levels of achievements needed throughout the year to support program performance goals. It also helps DYCD staff measure contractor progress toward those goals. The DYCD program managers use them to evaluate performance. These performance projections serve as the basis for performance evaluation.

Prior to the start of each program year, contractor staff will complete and submit their responses to the Program Design questions in PTS to their DYCD program manager for review and approval. Program Work Plans may be returned to contractors for revisions if needed.

WIOA PARTICIPATION DATE

Introduction

The purpose of this policy is to provide WIOA contractors with guidance and information regarding the definition of participation date in WIOA youth programs and also to provide guidance on the WIOA registration process and activities in PTS.

Policy

Pre-Participation Activities

There is an array of activities that must occur before the enrollment into a WIOA youth program. These pre-registration/participation activities include recruitment, intake, initial assessment including an initial determination of barriers and suitability for the program, provision of referrals, and the determination of WIOA youth program eligibility. None of these activities alone should be considered services that require a participant to be enrolled into a local youth program. These pre-registration activities may result in the decision as to whether a participant for services in WIOA youth program.

Participation/Program Entry Date

The participation/program entry date represents the first day, following a determination of eligibility that the participant begins receiving a service funded by the program. For all DYCD WIOA participants, "Comprehensive Objective Assessment" is always the first WIOA funded service in PTS. The participation date will always be the start date of the service in PTS. Once a registration/participation date has been established in PTS for a participant, that participant is included in the WIOA performance goals and milestone measures that the contractor is responsible for meeting.

PTS and Case File Requirements

The WIOA Universal Youth Application certifies that eligibility has been established.

The application must be printed and signed by the participant and a contractor representative before or on the same day as the youth's registration/participation date. In addition, contractors must enter an interaction in PTS stating exactly what every participant's registration/participation date is. This note should always be the first interaction in PTS.

USE OF STIPENDS AND INCENTIVES IN WIOA YOUTH PROGRAMS

Introduction

The Workforce Innovation and Opportunity Act (WIOA) allows for stipends and incentives to be issued to participants in WIOA Youth programs as a tool for aiding program retention.

Definitions

Stipend - A stipend is a fixed, regular, needs-related payment made to a WIOA youth participant during program enrollment in order to encourage a participant to remain engaged in program activities and services. Needs-related payments provide financial assistance to participants for the purpose of enabling them to participate in training and are a supportive service authorized by WIOA sec. 134(d)(3). Unlike other supportive services, in order to qualify for needs-related payments a participant must be enrolled in training.

Attendance in the activity must be documented as a basis of issuing a stipend payment and must include an attendance sheet signed by the participant and appropriate WIOA program staff member. All attendance records that verify distributed stipends must be available for any audit.

Incentive - An incentive is a cash-value payment to an enrolled WIOA youth participant for successful participation in program activities and the achievement of program outcomes. An incentive must be linked to a specific achievement, a measurable goal, and be related to a training and/or education activity that specifically addresses at least one of the required WIOA 14 Youth Program Elements.

Policy

DYCD WIOA youth contractors who have budgeted for stipends and/or incentives as part of their WIOA Youth program must submit detailed narrative plans describing how stipends and/or incentives will be distributed as part of the annual budget review and approval process. Each stipend and incentive plan must be generated in the form of an agreement between the contractor and the participant. Both stipend and incentive plans must be submitted on the contractor's organizational letterhead and include these items:

- A detailed description of your organization's plan for using and distributing stipends and/or incentives to participants. For each stipend and incentive plan, include specific reasons for issuing a stipend or incentive such as bringing in complete eligibility documents or graduating from the program.

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- The amounts or cash values (of items such as MetroCard's) of stipends and incentives that will be distributed, frequency of distribution, and the name and contact information of the organization's staff member responsible for the oversight of the distribution and record-keeping process.

Contractors must be consistent in their distribution of stipends and/or incentives to participants. For example, if a payment is made when a participant completes work readiness training, all participants who achieve this outcome must receive the payment. WIOA Contractors should always be mindful of the WIOA Equal Opportunity regulations when developing WIOA Stipend and Incentive plans. Please note that stipends do not require withholding for tax purposes.

WIOA incentives must follow the requirements in 2 CFR Part 200. For example, federal funds may not be spent on entertainment costs. Therefore, incentives may not include entertainment, such as movie or sporting event tickets or gift cards to movie theaters or other venues whose sole purpose is entertainment. Additionally, there are requirements related to internal controls to safeguard cash, which also apply to safeguarding of gift cards, which are essentially cash.

Once each stipend and incentive plan is approved by DYCD, it will be reviewed and signed by the contractor and the participant during the program's orientation. An original of each plan, if applicable, is placed in the participant's program file and a copy is given to the participant for retention.

Contractors are required to keep accurate and detailed records, in the form of a chronological log, with regards to the distribution of any stipends and incentives to participants. The log must include the following items:

- names of participants receiving stipends and/or incentives
- what they are receiving including the cash value and dates of distribution
- signatures of both the contractor staff and each participant who receives a stipend and/or incentive.
- identifier number on the log(s) for any checks and MetroCard's that are distributed.

The distribution of stipends and incentives should be handled by authorized agency personnel. These records must be available for review by DYCD program managers or other reviewers at all times. Stipends may only be issued in the form of checks. Gift cards can only be purchased and distributed to participants after the participant has

achieved the outcome for which the gift card will be distributed. Contractors are not allowed to issue stipends and incentives in the form of cash or money orders.

WIOA YOUTH PROGRAM SUPPORTIVE SERVICES

Introduction

WIOA mandates that supportive services be offered to youth participants. 20 CFR § 681.570 describes supportive services for youth as defined in WIOA Sec. 3(59), are services that enable an individual to participate in WIOA activities. The Objective Assessment of each youth provides the first opportunity for the contractor to identify supportive service needs of each participant, though supportive service needs may be identified at any time during which a participant is receiving career or training services. . These services include, but are not limited to, the following:

- linkages to community services.
- assistance with transportation.
- assistance with childcare and dependent care.
- assistance with housing.
- needs-related payments.
- assistance with educational testing.
- reasonable accommodations for youth with disabilities.
- legal aid services.
- referrals to health care.
- assistance with uniforms or other appropriate work attire and work-related tools, including such items as eyeglasses and protective eye gear.
- assistance with books, fees, school supplies, and other necessary items for students enrolled in postsecondary education classes.
- payments and fees for employment and training-related applications, tests, and certifications.

Policy

Contractors should provide the supportive services identified as necessary through WIOA funding or other programs they may operate. In the event that a needed service is not provided by the contractor, the youth should be referred to an appropriate provider of the service. Supportive services should be provided for as long as WIOA staff determine they are necessary. Provision of the services described above should be documented in the supportive services interactions in PTS per the PTS Interactions Desk Guide-

WIOA YOUTH PROGRAM FOLLOW UP SERVICES

Introduction

Within the WIOA regulation 20 CFR § 681.580, follow up services are described as “critical services provided following a youth’s exit from the program to help ensure the youth is successful in employment and/or postsecondary education and training.” Follow-up services are designed to facilitate: 1) sustained employment and educational achievement; 2) maintenance of a job and advancement along a job and/or educational ladder; and 3) continued personal development.

Additionally, 20 CFR § 681.580 states that all youth participants must be offered an opportunity to receive follow-up services that align with their individual service strategies. Furthermore, follow-up services must be provided to all participants for a minimum of 12 months unless the participant declines to receive follow-up services, or the participant cannot be located or contacted. The types of services provided, and the duration of services must be determined based on the needs of the individual and therefore, the type and intensity of follow-up services may differ for each participant. Follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome. Follow up services best practices include activities such as alumni and peer events, ongoing counseling, and assistance with additional job opportunities or applying to postsecondary education or training programs and assisting youth with applying for benefits for which they may be entitled and which may help them sustain employment or education participation.

The final rule also states that follow-up services for youth also may include the following program elements: (1) supportive services; (2) adult mentoring; (3) financial literacy education; (4) services that provide labor market and employment information about in demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and (5) activities that help youth prepare for and transition to postsecondary education and training. Provision of these program elements must occur after the exit date in order to count as follow-up services.

USDOL recognizes the concerns that some youth may not be responsive to attempted contacts for follow-up, and other youth may be difficult to locate making it impossible to provide follow-up services for such individuals.

Policy

At the time of enrollment, youth must be informed that follow-up services will be provided for 12 months following exit. If at any point in time during the program or

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during the 12 months following exit the youth requests to opt out of follow-up services, they may do so. In this case, the request to opt out or discontinue follow-up services made by the youth must be documented in PTS follow up interactions.

The types and duration of services must be based on the needs of the individual and their ISS. At the point of Exit all participant must complete the PTS Exit Interview. Contractors should note that a youth's needs may change at any time during the follow-up period and should be prepared to provide any services or activities that are indicated. Regardless of what services the participant is receiving, contractor staff must fully document the details of services in PTS follow up case notes. This would include documenting any questions staff asked during any event, counseling session, peer or alumni event or meeting, or other interaction that leads the staff to conclude that the youth is not in need of services or assistance (such as those pertaining to whether or not a youth is in need of transportation, child care, appropriate work attire, support or mentoring to retain employment or remain in education, health and/or mental health services, etc.) at that time.

WIOA TRAIN & EARN MONTHLY PROGRAM REPORTING

Introduction

WIOA Train & Earn program contractors are required to submit program reports on a regular basis.

Policy

Program Reporting

Contractors are required to submit a monthly program report to their program managers five business days after the previous month's end. The reporting template is attached to this document. The areas to be covered will include these items:

- the number of registered youth participants
- the number of youth participants in the pre-registration assessment phase
- a description of the program's activities during the reporting month
- significant accomplishments and updates on linkage/partner activities
- specific programmatic, administrative, and fiscal challenges
- projected activities planned for the next month.
- requests, if needed, for capacity-building and technical assistance
- notification of staff changes, if applicable

OPENING AND CLOSING WIOA SERVICES AND PARTICIPANT INTERACTIONS

Introduction

WIOA youth services are tied to the 14 WIOA Youth program elements. Evidence of provision of the program elements is captured in PTS through the enrolling and closing of services and in interactions, which may be reviewers' only tool for verifying participant activities and outcomes. As such, it is critical that interactions tell the story of each participant's journey through the program and accurately reflect the services provided. All WIOA participant profiles must contain complete and timely interactions with respect to each participant's progress, support services offered and utilized by participants, and tracking of referrals to other organizations for instruction, training, placement and other assistance as needed.

Policy

Opening Services in PTS

Upon enrollment, participants should be enrolled into Guidance and Counseling Services. This service's start date should be equal to the date of enrollment. A corresponding Interaction note under Individual Guidance and Support category should be added to the participant profile.

All other services should be added and or close to a participant's PTS Profile as they occur and end throughout the WIOA program. All services require attendance to be taken within 14 days from enrollment.

Train & Earn - Interactions entered in PTS must be categorized by interaction type and reflect the services that are provided for each participant in connection with their Individual Service Strategy (ISS). Services must be opened as they are provided and closed as they are completed and documented in case notes.

All programs are required to offer and provide enrolled participants with Guidance and Counseling, Work Readiness, Financial Literacy, Labor Market, Occupational Skills Training at an absolute minimum. Basic Skills Instruction must be provided for those who need it. Other WIOA services are opened as those services are provided, including:

- College Readiness/Postsecondary
- Entrepreneurial Skills Training
- Adult Mentoring
- Paid and Unpaid Work Experiences (internships)

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- Supportive Services
- Leadership and Citizenship Activities, etc.

Learn & Earn - Services are opened in PTS as they are provided, based on the participant's individual service strategy (ISS). It is unlikely that all services a youth receives will be opened at enrollment; services should be opened and closed as they are provided and completed, respectively.

When opening a service, the interaction should identify the staff interacting with the participant using the staff person's full name. Initials can be used in subsequent notes unless the staff person changes. Open the service with a comprehensive interaction note stating what occurred during the service.

Stipends and/or incentives received by participants must be noted under guidance and counseling interactions.

If a participant is not in attendance for 90 days, Learn & Earn services are closed. Guidance and Counseling remains open and notes documenting outreach to re-engage the participant are kept separately on an Excel/Word document. If the participant does not return to the program within 90 days of the last service, the participant is exited and the notes set aside as follow-up as of the last date they attended the program.

First Interaction

The first interaction for each participant must reflect their enrollment date, HSE/HSD status, TABE pre-test scores, short-term/long term career goals, and the WIOA services to be provided to each participant based on the initial assessment that is documented in each participant's Individual Service Strategy (ISS). The interaction must provide a summary of each participant's ISS and action plan.

As part of intake and enrollment, every youth must be provided with the ACCES-VR User Friendly Guide to Transition Services (attached). For enrolled participants, the first case note must also include the following language: "The ACCES-VR User Friendly guide was issued on [date]".

ACCES-VR Interaction

For every person classified as "disabled", a referral to ACCES-VR must be offered. The DYCD/ACCES-VR Checklist needs to be completed, scanned and emailed to ACCES-VR if the participant accepts the referral, and scanned and emailed to EO-WIOA at eo-wiamail@dycd.nyc.gov whether the referral is accepted or declined. Once the referral is

offered, an interaction must be entered in the Guidance and Support service in PTS as follows:

Declined Referral - "Individual identified/disclosed disability and declined ACCES-VR services on (date). DYCD/ACCES-VR Checklist completed".

Accepted Referral - "Individual identifies/disclosed disability and accepts ACCES-VR services on (date). DYCD/ACCES-VR Checklist completed. The participant was furnished with the required forms (Application for VR Services, ACCES-VR Services, ACCES-VR High School Applicant Supplemental Data, and Authorization to Release/Obtain Information Forms)".

In the case of an accepted referral, additional interactions should be added as per the following:

When the provider is notified of the participant's ACCES-VR initial appointment date, an interaction must be added under Supportive Services in PTS that reads as follows: "ACCES-VR appointment scheduled for (date). Appointment information provided to participants on (date). Required ACCES-VR forms reviewed for completeness".

Once the participant begins receiving services from ACCES-VR, an interaction must be added under "Supportive Services" in PTS that reads as follows: "Participant is receiving services from ACCESS-VR". Additional interactions should be added as needed on services being provided and progress in ACCES-VR, entered under Supportive Services.

Ongoing Interactions

Train & Earn - Pre-exit, an interaction must be entered **for each open service** a minimum of once every two weeks. Enter interactions in the appropriate service. Notes should be relevant and explicit to the service being provided.

Learn & Earn - Interactions are to be entered by the 10th of the month for the previous month. For example, all of September are to be entered into PTS by October 10th. The monthly interaction must be individualized and note all open services in PTS. For example, if a participant has mentoring services open, the interaction should headline the open service and how the participant received that service. If the participant did not receive an open service, the interaction must indicate that the participant did not receive the service that month and why.

For both programs, all back up documentation must be kept in the participants' folder to correspond with the interactions. This can include activity worksheets, sample resume

and cover letters, education exercise, etc. The program's work plan, attendance sheets, and all other relevant documentation must be available to support participants' activities. Participants need to write their name and date on their exercises, handouts, etc.

Exit Interaction

The participant's exit date must also be noted in the interactions when exit occurs. Similar to the first interaction, the exit interaction should summarize the services the participant received, progress made, outcomes achieved, and the placement.

Follow Up Interactions

Post-exit, a must be entered for each participant, at a minimum of once per month, with additional interactions to be entered as often as needed. These guidelines assume a best-case scenario; it is likely that for most young people in WIOA programs, will need to be updated more frequently.

WIOA YOUTH PROGRAM EXITS

Introduction

The purpose of this policy is to provide WIOA youth program contractors with the definition of the terms Exit and Exit Date. Exit dates are critical to managing performance as they begin the timeframe for performance outcomes that occur after exit.

Definitions

Exit – Exit is defined as a participant not receiving a service funded by the program or a partner program for 90 consecutive calendar days, and also not scheduled for future services.

Exit Date – Exit Date is defined as the last date on which a participant received a service funded by the program or a partner program. When a participant has not received any WIOA-funded services program for 90 consecutive calendar days and is not scheduled for future services, the date of exit is applied retroactively to the last day on which the individual received a WIOA funded service.

Exit Quarter – The Exit Quarter is the calendar quarter in which the date of exit is recorded for a participant.

Service – A service is a WIOA-approved activity directly related to one of the fourteen youth program elements required to be available to all program participants. Service does not include:

- A determination of the eligibility of an applicant to participate in the WIOA program.
- Self-directed job search that does not result in a referral to a job.
- Services and activities specifically provided as follow-up services or regular contact with the participant or employer to only obtain information regarding his or her employment status, educational progress, or need for additional services.

When should a participant be exited from the program?

A participant should no longer receive WIOA-funded services from a WIOA youth program or program partner when any one of the following conditions is met:

- Program objectives and goals outlined in the Individual Service Strategy/ Individual Educational Program (ISS/IEP) have been achieved.

- Circumstances preclude completion of established goals and the program director and/or participant determines there is no further need for WIOA services, other than mandatory follow-up.
- The participant is not actively participating in a WIOA program or service for 90 days.
- The participant has voluntarily withdrawn or dropped out of the WIOA program.
- The participant's planned last service end date occurs.

Exit Exclusions from Performance Measures

Occasionally, circumstances arise that are beyond the control of both the participant and the program and are expected to last for more than a 90-day period. A participant who falls into any of the following categories, either at the time of exit or during the four-quarter measurement period following the exit quarter, may be excluded from performance measures:

- Institutionalized - The participant is residing in an institution or facility that provides 24-hour comprehensive support and is expected to remain in that institution for at least 90 days. Institutions include but are not limited to correctional facilities and hospitals.
- Death - The participant dies during the four-quarter measurement period.
- Foster Care - The participant is in the foster care system as defined in 45 CFR 1355.20(a) and exits the program because the participant has moved from the local workforce area as part of such a program or system.
- Reservist called to active duty - The participant exits the program because the participant is a member of the National Guard or other reserve military unit of the armed forces and is called to active duty for at least 90 days.
- Health/Medical – Health/medical conditions that make it untenable for the participant to continue in the program and preclude entry into unsubsidized employment:
 - Terminal illness.
 - Chronic conditions that render a participant unable to work or continue participation in the program.
 - Conditions requiring periods of hospitalization or residence in a long-term care facility greater than 90 days.
 - Temporary or chronic disability a period of 90 days or longer for rehabilitation and/or treatment.
 - High risk pregnancy with documented complications that requires extensive bed rest, medical observation, or activity moderation; and

- Illnesses or conditions that result from a period of confinement (voluntary or mandatory) lasting 90 days or more in a licensed institution or a long term care facility.

Medical conditions NOT covered by the exclusion include:

- Normal pregnancy (i.e., no complications);
- Illness or condition of less than 90 days, from which the participant is expected to fully recover; and
- Chronic illness or condition that does not affect a participant's ability to continue program participation and/or entering either employment, post-secondary education or advanced occupational training.

Program exits for health/medical reasons must be accompanied by appropriate documentation. Acceptable documentation includes letters from a physician, hospital, or medical records office.

YOUTH WORK EXPERIENCES

Introduction

Under WIOA, paid and unpaid work experience is an allowable activity and one of the required WIOA Youth program elements. WIOA section 129(c)(4) prioritizes work experiences with the requirement that local areas must spend a minimum of twenty percent of non-administrative local area funds on work experience.

The primary intent of work experience is to help participants understand proper workplace behavior and begin to attain the knowledge and skills necessary to attain and retain employment. Work experience should serve as a career entry point to unsubsidized employment and should expose youth to realistic working conditions and tasks as much as possible.

Under WIOA, paid and unpaid work experiences that have as a component academic and occupational education may include the following four categories:

1. Summer employment opportunities and other employment opportunities available throughout the school year.
2. Pre-apprenticeship programs.
3. Internships and job shadowing.
4. On-the-job training opportunities.

As indicated in U.S. Department of Labor Training and Employment Guidance Letter (TEGL) No. 23-14, https://wdr.doleta.gov/directives/attach/TEGL/TEGL_23-14.pdf program expenditures on the work experience program element include participant wages as well as staffing costs for the development and management of work experiences.

In this regard, program expenditures on the work experience program element can be more than just wages paid to youth in work experience. Allowable expenditures beyond wages can include staff time spent identifying potential work experience opportunities, staff time working with employers to develop the work experience, staff time spent working with employers to ensure a successful work experience, staff time spent evaluating the work experience, participant work experience orientation sessions, classroom training or the required academic education component directly related to the work experience, and orientations for employers as set forth in TEGL 08-15, Item #7: https://wdr.doleta.gov/directives/attach/TEGL/TEGL_08-15_Acc.pdf

Definitions

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Internship - a system of gaining on-the-job experience by placement in a work environment for a period with the goal to build technical and job awareness skills. Internships may be paid or unpaid.

Job shadowing - job shadowing is a work experience option where youth learn about a job by walking through the workday as a shadow to a competent worker. The job shadowing work experience is a temporary, unpaid exposure to the workplace in an occupational area of interest to the participant. Youth witness firsthand the work environment, employability and occupational skills in practice, the value of professional training, and potential career options. A job-shadowing experience can be anywhere from a few hours to a day, to a week or more.

Job shadowing is designed to increase career awareness, help model youth behavior through examples, and reinforce in the youth and young adult the link between academic classroom learning and occupational work requirements. It provides an opportunity for youth to conduct short interviews with people in their prospective professions to learn more about those fields. Job shadowing can be thought of as an expanded informational interview.

On-the-job training (OJT) - training by an employer that is provided to a paid participant while engaged in productive work in a job that:

- Provides knowledge or skills essential to the full and adequate performance of the job.
- Is made available through a program that provides reimbursement to the employer of a percentage of the wage rate of the participant; and
- Is limited in duration as appropriate to the occupation for which the participant is being trained, considering the content of the training, prior work experience of the participant, and the service strategy for the participant.

Pre-apprenticeship programs - programs or set of strategies designed to prepare individuals to enter and succeed in Registered Apprenticeship programs. Pre-apprenticeship programs includes the following elements: (a) training and curriculum that aligns with the skill needs of employers in the economy of the State or region involved; (b) access to educational and career counseling and other supportive services, directly or indirectly; (c) hands-on, meaningful learning activities that are connected to education and training activities, such as exploring career options, and understanding how the skills acquired through coursework can be applied toward a future career; (d) opportunities to attain at least one industry-recognized credential; and (e) a partnership with one or more registered apprenticeship programs that assists in

placing individuals who complete the pre-apprenticeship program in a registered apprenticeship program.

Summer employment opportunities - an activity conducted mainly during the summer months which involves work experience as the primary strategy and must provide direct linkages to academic and occupational learning.

Policy

Work experience placements developed by DYCD-funded WIOA youth programs must be in line with the identified needs of the individual youth, based on their objective assessment and documented in their individual service strategy (ISS). Work experience may be conducted in the private for-profit, private nonprofit or public sectors. Although a business, public agency or non-profit (hereafter collectively referred to as "work experience contractor") may also receive some benefit from work experience in the form of work being done or recruiting a potential new employee, the primary goal of work experience is to benefit the participant.

There are two forms of compensation for work experience - paid and unpaid.

Paid work experience is an activity exposing participants to the working environment, and an individual is being paid wages for tasks performed. An employer and employee relationship must exist. The minimum wage, tax and FICA requirements must be in place for this type of work experience.

Unpaid work experience is an activity exposing participants to the working environment, and an individual does not expect payment in wages for tasks performed. An employer and employee relationship must not exist. The use of unpaid work experience should be limited to WIOA youth programs.

For unpaid work experiences, WIOA funds may be used for incentives and/or a stipend for youth in lieu of a wage to support participant needs and encourage successful completion of the experience. The incentives or stipends are determined by the contractor. Stipends should be reasonable and allowable and issued through a uniform payment system, per the DYCD stipend and incentive policy, contained in this manual (p. 19). Such incentives or stipends are not considered income for WIOA eligibility purposes, are not required to meet minimum wage requirements, are not to be dispersed as payroll, and income tax is not to be withheld.

It is recommended that the youth program contractor consult with other public assistance case managers where applicable to ensure that the receipt of incentives or stipends does not negatively impact the youth participant's receipt of public assistance.

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Spending Requirements

All DYCD WIOA youth contractors are required to spend at least 15% of their allocated funding on work experience. Examples of what would count towards the spending priority on work experience services include (but are not limited to):

- Youth wages including Federal Insurance Contributions Act (FICA) tax.
- Staffing and travel costs for developing and providing Work Readiness training for youth participants
- Staffing and travel costs to meet and work with employers to develop work experiences for youth participants.
- Staffing and travel costs for on-site monitoring and job coaching at the youth participants' work site.
- Staffing and travel cost for case management activities directly related to work experience services.
- Stipends and incentives directly related to work experience services.
- Pre-apprenticeship program cost
- Classroom training or the required academic education component directly related to the work experience.
- Supportive services that enable WIOA participants to participate in work experience services.

WIOA YOUTH PROGRAM MILESTONE CLAIMS AND VALIDATION PROCEDURE

Introduction

This policy outlines the procedure for making milestone claims to DYCD's Central Validation Unit (CVU) for validation of outcomes based on the WIOA performance measures. For more information on definitions and background on the WIOA youth program performance measures, please consult the following resources:

[NYSDOL WIOA Youth Performance Brief](#)

[USDOL WIOA Performance Indicators and Measures](#)

Policy

DYCD requires that all of the following performance accountability indicators be submitted for validation:

- placement in the 2nd quarter after exit in employment/education/training.
- placement in the 4th quarter after exit in employment/education/training.
- attainment of a postsecondary credential or secondary school diploma within a year from exit.
- achievement of a measurable skills within the program year; and

Claiming for the measurable skills gain and attainment of a postsecondary credential or secondary school diploma indicators for both Train & Earn and Learn & Earn may be submitted prior to a participant's exit. For the 2nd quarter and 4th exit quarter placement indicators and the employer retention indicator, participants MUST be exited from the PTS system before the validation of claims can be performed.

All Learn and Earn Attainment Goals (High School Diploma) must be submitted post Exit and attached to a after exit placement (Quarter 1-4).

Procedure

For all claims: Participants claimed for these milestones must have the relevant information properly recorded in PTS. This includes up to date interaction notes, and back-up documentation of the Goal in question.

Documents supporting the outcomes submitted by providers will be uploaded directly into PTS.

2nd and 4th Quarter Employment Placement Claims Supported by Paystub (Train & Earn and Learn & Earn)

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- DYCD strongly prefers that contractors upload paystubs to the CVU to validate employment and employment retention goals.
- Paystubs must provide the weekly or bi-weekly wage amount; the name of the employer; the name and social security number of the participant, and they must indicate the date on which the employment started or the quarter for which retention and/or earnings are claimed.
- Contractors must enter the employment, retention, and/or earnings data reflected on the paystub into the PTS system under the employment history record of the Goals Tab.
- If paystubs provide the required information and data is entered correctly in PTS, no further information will be required to validate the employment, retention, and/or earnings milestones.

2nd and 4th Quarter Employment Placement Claims Not Supported by Paystubs (Train & Earn and Learn & Earn)

For employment, retention, and/or earnings milestone claims for which paystubs are not provided, the following is the process by which CVU will seek to obtain, from employers and participants, the information that is necessary to verify whether the claims in a sample are valid:

- **PTS Verification:** The CVU will first confirm that the employment, retention, and/or earnings data has been entered into PTS. CVU staff will then contact each employer by email, telephone, fax or mail.
- **Email/Fax:** If either e-mail or fax is preferred, CVU will email or fax a request for confirmation of employment to the employer at the email address or fax number provided. CVU will wait five (5) business days for an email/fax confirmation reply from the employer. If the employer does not respond, CVU will send a second email/fax. If the employer does not respond to the second email/fax within five (5) business days, CVU will discontinue attempts to contact the employer and the claim will be rejected.
- **Telephone Call:** If a telephone call is preferred, CVU will call the employer and request validation. CVU will make three attempts to reach the employer by telephone over a minimum period of five (5) business days. If the employer does not respond to the third call within five (5) business days, CVU will discontinue attempts to contact the employer and the claim will be rejected.
- **Participant Contact:** If CVU is unable to verify the employment, retention, and/or earnings through the preferred method of contact with the employer, CVU will call (and, if email address is available, will email) the participant. CVU will make two attempts to reach the participant via telephone (and, if email address is available

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will email) over a minimum period of one (1) calendar day. If the participant does not respond to the attempt, CVU will discontinue attempts to contact the participant and the claim will be rejected.

2nd and 4th Quarter Placement in the Military, Registered Apprenticeship, Post-Secondary Education, Return to Secondary Education or Advanced Occupational Training Leading to a WIOA-acceptable Certificate (Train & Earn and Learn & Earn)

The contractor must submit one of the following for each non-employment placement claim:

- **Military:** Submit an enlistment letter, letter from the military recruiter, along with Authorization for Release of Information form signed by participant for the dates relevant to the claim.
- **Registered Apprenticeship:** Submit an enrollment verification letter from the program stating that the participant is enrolled, applicable date of enrollment/retention, and that the program is not WIOA funded.
- **Post-Secondary Education:** Submit an enrollment letter from the registrar or other school official stating that the participant is enrolled, applicable date of enrollment/retention, or submit a bursar's receipt with a balance of \$0.00.
- **Advanced Occupational Training leading to a WIOA-acceptable post-secondary credential:** To count as a placement for WIOA performance outcomes, advanced training constitutes an organized program of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels. Such training should: (1) be outcome-oriented and focused on a long-term goal as specified in the Individual Service Strategy; (2) be long-term in nature and commence upon program exit rather than being short-term training that is part of services received while enrolled in USDOL/ETA-funded youth programs; and (3) result in attainment of a post-secondary credential.

One or more of the following allowable Advanced Occupational Training milestone verification sources should be submitted:

- Official Program transcript with grades awarded or training courses completed
- Enrollment Letter verifying Occupational Training enrollment date also (the letter should include the following: name of the training, credential that will be awarded and the entity that endorses the credential).

- Official or unofficial transcript with grades/outcome for the corresponding training term
- Student Account Grade Report
- [Please Note: Acceptance letter, letters of intent, or letters indicating withdraw/ discharge/separation cannot be used to verify outcome.]
- Return to Secondary Education: Someone who has not graduated (not attained a High School Diploma or its Equivalent) and is attending Secondary School in the 2nd or 4th quarter after exit - submit correspondence or documentation that shows enrollment or attendance in secondary school, such as a report card, program card, or other school records.

Attainment of a Postsecondary Credential or Secondary School Diploma

- The contractor must submit one of the following degree or credential verification sources with the corresponding claim:
 - official transcript signed and dated by a school official and containing the school seal.
 - certificate or credential related to occupational training and pre-approved by DYCD.
 - diploma - high school diplomas should contain the proper state and local education department seals, along with the school's name and principal or equivalent's signature.
 - license granted by the City, State or other applicable entity related to occupational training and pre-approved by DYCD.
 - letter or other documentation from the educational system on official letterhead stating the participant has passed a training or education program and has received the applicable certificate, credential or license.

Validation Worksheet (attached) should be submitted with all credentials.

Measurable Skills Gains

The contractor must submit one of the following measurable skills gain verification sources:

- Documented attainment of a secondary school diploma or its recognized equivalent;
- An enrollment letter from the registrar or other school official stating that the participant is enrolled in a postsecondary program, including the applicable date of enrollment/retention, or submit a bursar's receipt with a balance of \$0.00.
- Advanced Occupational Training leading to a WIOA-acceptable post-secondary

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- Secondary or postsecondary transcript or report card for a sufficient number of credit hours for one semester that shows a participant is meeting the State unit's academic standards
- Proof of 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
- Proof of attainment of a postsecondary credential as outlined in the section above.

WIOA INCIDENT REPORTING

Introduction

Consistent with the requirements of NY State Department of Labor (NYSDOL) Technical Advisory 12-15 (linked) and US Department of Labor (USDOL) Employment and Training Administration (ETA) Training and Employment Guidance Letter 2-12 (linked), and made a part of the NYC DYCD's policies and procedures for WIOA-funded program incident reporting, DYCD will utilize the attached NYS DOL Reporting Form for reporting allegations of fraud, program abuse and criminal conduct involving US DOL/ETA and/or NYS DOL grantees or other entities or subrecipients receiving funds directly or indirectly from US DOL/ETA and or NYS DOL for the DYCD funded WIOA programs in addition to any other incident reporting requirements that DYCD has or may establish.

Policy

[Per DYCD policy](#), incident reports should be submitted via DYCDConnect. Upon review by DYCD staff, if the incident report includes allegations of fraud, program abuse or criminal conduct, DYCD will follow the policies of the NYSDOL and USDOL.

WIOA YOUTH PROGRAM OUT OF TOWN TRAVEL

Introduction

Occasionally contractors may need to take appropriate, program-aligned trips with participants to support the services they provide. To ensure the safety of participants and contractor staff, the following policy must be followed.

Policy

All trips outside the five boroughs of New York City that will be charged as a contract expense must be for WIOA educational and/or employment-related purposes. Trips must be approved in advance by DYCD and must reflect a DYCD-approved OTPS budget line for trips and transportation. If a contractor does not have an approved budget line for trips and transportation, it should submit a request for a budget modification well in advance of the travel, as authorization for travel will not be granted if the expenses are not included in the contractor's approved budget.

Only WIOA participants who are registered in PTS may travel. The contractor is responsible for obtaining permission from participants' parents or legal guardians for participants under the age of 18. All out of town travel must be approved in advance in writing by the Senior Director of the applicable program. **Under no circumstances** should travel begin until the contractor has received such approval from DYCD. A contractor who fails to obtain prior approval will not be reimbursed for travel expenses and may face other sanctions.

Travel requests should be submitted in writing to the program manager and should include the following information:

- Purpose of the travel and place to be visited;
- Names and PTS Intake ID numbers of the WIOA participants who plan to attend;
- Names of staff who plan to attend, the staff-to-participant ratio, and the supervisory chain of command;
- A full trip itinerary, including
 - A description of each of the activities that participants will be engaged in during the trip;
 - A description of accommodations and how participants will be supervised overnight, if applicable;
- The trip budget, including an itemized list of staff and participant expenses for which the contractor will request reimbursement;

- Documentation and forms that will be provided to participants, including, but not limited to, parental permission slips;
- A description of the transportation services that will be provided, including vehicles, if applicable, and an explanation of transportation safety measures;
- The Contractor's copy of their certificate of liability insurance coverage for the staff and participants who will be traveling.

DYCD may request further information before approving requests. Once the trip is completed, contractors must submit copies of the approved request and the list of the participants to their program manager, as well as a written summary of the trip's activities, along with the participants' attendance.

MONITORING AND EVALUATION OF WIOA YOUTH PROGRAM CONTRACTS

Introduction

WIOA youth programs are monitored to ensure that contractors receiving WIOA funds are complying with the provisions of their contracts, evaluate program performance, identify areas of strengths and well as issues and challenges, provide qualitative observations and performance data, and provide information on the impact of WIOA services for participants. As a reference to this policy, please review NY State Department of Labor Workforce Development System Technical Advisories [21-04](#) and [21-05](#).

WIOA youth contracts are monitored through the Evaluation and Monitoring System (EMS), which is part of DYCD Connect. The EMS system captures and documents all program evaluations, follow up, action plans and incident reports for all DYCD programs, including WIOA youth programs.

EMS evaluations have four sections: Administration, Program Practice, Service Quality, and Outcomes. These four sections have equal weight in the Performance section. Within each section are both universal indicators, used across all DYCD programs and contracts, and program specific indicators that related directly to the program's rubric. The rubrics for Train & Earn and Learn & Earn are attached.

Policy

At this time, each WIOA contract is evaluated by the Train & Earn or Learn & Earn staff, WIOA Internships staff, Central Validation Unit, EO-WIOA staff, and DYCD fiscal staff. Each contract is monitored against a combination of universal and program-specific indicators. Universal indicators are used across all DYCD contracts; program-specific indicators are used in accordance with rubrics (attached) that are developed specifically for each program and designed to ensure consistency of evaluations across contracts in any specific program. EMS evaluation ratings are automatically generated based upon a formula approved by DYCD Executive Staff and tied to the program's specific rubric. Each indicator response has a specific numerical value, and scores are aggregated to provide section and overall ratings.

For WIOA Youth Programs, the following areas are evaluated at least once during each program year:

- Administrative requirements, including adherence to EO-WIOA provisions.
- Safety and facility, including compliance with the Americans with Disabilities Act (ADA).

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- Progress toward meeting WIOA outcomes and milestones.
- Staffing, staff development, and personnel practices.
- Recruitment, intake, enrollments, and orientation.
- Assessment, Individual Service Strategy (ISS) development, and case management.
- Workforce program design and integration of youth and workforce development principles.
- Workforce program content.
- Classroom observation.

Monitoring Activities

To determine whether the provisions of the contract are being met, -WIOA staff may do the following:

- Conduct site visits and examine program operations, including visits to the contractors' sub-contractor/strategic partner, if applicable.
- Review performance outcomes and quality of services being provided.
- Review participants' case files for documentation of delivery of services.
- Completion of occupational training and work readiness activities (Train & Earn only).
- Ensure that Equal Opportunity requirements and grievance procedures are documented.

Additionally, staff from DYCD's Central Validation Unit (CVU) may perform the following:

- Full eligibility reviews of participant documents used to enroll in Train & Earn and Learn & Earn through PTS.
- Full review of participant case notes entered in PTS for Train & Earn and Learn & Earn participants.
- Review for the attainment of contractual performance goals.
- Conduct an environmental assessment at WIOA contractor sites to determine whether staff are maintaining a secure PII/PPSI environment (physically and electronic/digital).

Strategic Action Plans (SAPs) and Corrective Action Plans (CAPs)

EMS will generate a SAP for indicators on which a provider is not meeting standards and is in need of improvement. DYCD staff will then initiate a process for tracking follow-up actions and eventual close out of rectified issues. Any indicator rated "No," "Below Standard" or "Far Below Standard", will be identified as a SAP (unless it has

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been designated to automatically trigger a CAP). It is up to the unit/program leadership to determine which SAPs will require follow up response from the CBO provider. If there is no follow up response required, the evaluator will select “no” in EMS; however, the comments section can still be utilized to communicate expectations. SAPs are not punitive.

A CAP will be generated on unit-identified indicators that are marked and NOT meeting standards, or for chronic issues or serious issues arising in an incident report. CAPs are punitive and will have an impact on PASSPort scores. Each unit identified individual evaluation indicators that automatically trigger a CAP. All CAP related indicators should be reviewed and communicated with staff during training. It is up to programs to decide to what extent that they will be transparent with providers re: indicators. In addition to unit specific indicators, CAPs can be triggered in response to an incident report as well as an escalated SAP that has been open for 6 months or more.

NYC PROCUREMENT AND SOURCING SOLUTIONS PORTAL (PASSPort) – CONTRACT PERFORMANCE EVALUATIONS

Introduction

Performance Evaluations are conducted each year to assess the performance on City contracts, and the results are communicated to the Mayor's Office of Contract Services (MOCS) for its City-wide system called the Procurement and Sourcing Solutions Portal (PASSPort), formerly known as VENDEX. Each contract generates one Performance Evaluation (PE) each year, so contracts with multiple work scopes will be combined into one PE.

For Human Services contracts, MOCS has designated categories of "Timeliness of Performance", "Fiscal Administration and Accountability", and "Performance and Overall Quality". For brevity, these sections in DYCD are referred to as "Timeliness", "Fiscal", and "Performance". These three sections compose the overall Performance Evaluation rating based on evaluations that are conducted by program managers throughout the year as well as progress toward meeting performance goals.

Policy

You will receive an email notification indicating that a new PE has been issued for you to review. When reviewing PEs, the overall PE score and rating, each of the category scores, and the answers and comments for the entire evaluation will be visible to you. You have 15 calendar days to submit an appeal for a PE and the PE will auto-finalize if an appeal is not submitted.

Depending on your review of the PE, click the "Dispute" or the "Accept" button. If you click the "Dispute" button, you will be prompted to enter in comments that indicate why you are disputing a PE. DYCD staff will review your comments and either re-open the PE or will decide to finalize the PE. You will receive email notifications regarding any updates to your PE. If you click the "Accept" button, the PE will be finalized and will be added to your vendor record in PASSPort.

For a full overview of the PASSPort system, visit the following link:

<https://www1.nyc.gov/site/mocs/systems/about-go-to-passport.page>

PTS ACCESS AND TRAINING

Introduction

The purpose of this policy is to provide the required access and confidentiality agreements for the WIOA contractors and their PTS and One-Stop Operating System (OSOS) users and to establish procedures for the use of these agreements.

The PTS system is an automated approach designed to help DYCD WIOA contractors meet the challenges of WIOA case management and data reporting using web-based technologies. The OSOS is also an automated approach designed to help Workforce Development boards (WDB) meet the requirements of WIOA through on-line technology.

The PTS and OSOS systems collect substantial information regarding WIOA participants, employers, and training contractors. This data is made available to PTS users on a citywide basis and to OSOS users on a statewide basis. To prevent the misuse of this data, PTS and OSOS Access and Confidentiality Agreements must be signed by WIOA contractor staff that use the PTS system. In addition, individual users must certify that they will share information contained in PTS and OSOS only with authorized persons or organizations and only for the purpose of helping the participants receive training or gain employment.

Policy

Individual users will not be provided with training on the PTS/OSOS system unless they have agreed, in writing, to maintain the confidentiality of PTS/OSOS information. Moreover, each contractor must appoint an Administrative User for additions/deletions of PTS User IDs and Passwords that will occur due to staff turnover. If an Administrative User is not appointed, the Program Director will be responsible to perform these tasks.

In order to gain access to the system for contractor staff, take the following steps:

1. Each proposed individual user must fill out and sign a PTS Access and Confidentiality Agreement.
2. The proposed user must include their email address, telephone number and supervisor or manager's name, email and telephone number on the agreement.
3. Forward the signed form to the contractor's Administrative User or Program Director.
4. The Administrative User or Program Director will complete PTS User Request Form containing entries for each of the individuals that will access PTS. A

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completed copy of the form is to be emailed to Robyn Berlin at rberlin@dycd.nyc.gov.

5. Once the PTS User Request Form has been submitted, the contractor's Administrative User/Program Director must direct their staff to register for DYCD Connect accounts in order to gain access to the PTS Workscope. Once all the completed documentation is submitted, the proposed user's name will be placed on the list for training and will be notified when a training date is set.

6. Before attending PTS training, each contractor staff member must view the following video and follow the instructions on the policy on the following link.

<https://labor.ny.gov/workforcenypartners/osos/video/cornerstones.shtm>

At the end of the video a certificate will be granted, which must be printed and presented to CVU staff prior to any contractor staff member receiving training and a PTS password. Each individual staff member must have their own certificate.

PTS WORKSCOPE UNLOCKING REQUESTS

Introduction

After an organization's workscope is approved in DYCD Connect, certain sections of the workscope will be locked to prevent unintended changes. However, if a contractor needs to revise those sections of the workscope, they may submit an unlocking request to temporarily enable edits. Unlock requests provide DYCD with documentation of the changes you intend to make to your workscope. There are three types of unlock requests in the Participant Tracking System (PTS):

- Schedule Unlock
- Attendance Unlock
- Benchmark/Outcome Unlock
- Staffing Plan

Procedure

Once an unlocking has been submitted by the contractor for approval in PTS, the program manager reviews it and either accepts or rejects the request. The request is then routed to the Director or Deputy Director who grants final approval.

PTS PARTICIPANT DATA CHANGES

Introduction

This policy outlines the procedure for preparing and submitting a WIOA participant data change request to the Department of Youth and Community Development's (DYCD) Central Validation Unit (CVU).

Definition

Data Change Request- the process of editing WIOA participant data that has been previously entered into the PTS system, or adding additional data to PTS system fields that are un-editable by the end-users.

Policy

DYCD requires that all WIOA data change requests be submitted to CVU using the designated form and submitted via e-mail. Each request must be very specific in nature and accompanied by backup documentation.

CVU reserves the right to request and review the eligibility documentation of any participant that is included in a WIOA data change request. Where applicable, a data change request will be assigned reference identification number. Contractors should keep a record of all requests submitted to CVU.

Procedure

To request unlocking, complete the form with the following information:

1. Enter Contractor Name, Contract Number, Contractor staff name, phone number and email address.
2. Select Program Type, Participant's name and Intake ID
3. Please provide a full explanation of what data error(s) or issues need to be corrected. Include the error message if applicable in the email.
4. Attach the documents when applicable EXCEPT for social security cards.
5. Requests will be submitted to the contractor's designated CVU validation specialist and their DYCD program manager.
6. The WIOA program director and DYCD program manager must be copied on each email request submitted.

HANDLING AND PROTECTION OF WIOA PARTICIPANT PERSONALLY IDENTIFIABLE INFORMATION (PII)

Introduction

This policy is related to the security and protection of Personally Identifiable Information (PII), and Personal, Private and Sensitive Information (PPSI) by DYCD WIOA youth program contractors and DYCD staff.

Definitions

Digital Media is digitized content (text, graphics, audio, and video) that can be transmitted over the internet or computer networks.

Environmental Assessments are reviews of physical and electronic/digital space where PII/PPSI is used and/or stored during normal business activities to determine if such information is properly protected/secured.

PII is information that can be used to distinguish or trace an individual's identity, either alone or when combined with other personal or identifying information that is linked or linkable to a specific individual.

PPSI is any unclassified information whose loss, use, misuse, or unauthorized access to or modification of could adversely affect the interest or the conduct of State or Federal programs, or privacy to which individuals are entitled under the Privacy Act of 1974 or constitute an unwarranted invasion of personal privacy under the New York State Freedom of Information Law.

Policy

Contractor and DYCD staff must take measures to address the following topics to reduce the risks associated with the collection, storage and dissemination of DYCD WIOA customers' PII/PPSI, including:

1. Proper Accessing and Sharing of PII/PPSI;
2. Following Security Protocols related to DYCDConnect PTS and OSOS – WIOA contractor staff must complete Cornerstones of Confidentiality web training on an annual basis and sign the PII/PPSI Acknowledgement Form upon their hire at a WIOA youth program;
3. Maintaining a Secure Work Environment; and
4. Reporting Breaches of Confidentiality.

Accessing and Sharing PII/PPSI

1. Access to any PII/PPSI related to programs funded by DYCD, NYSDOL or USDOL monies must be restricted to only those employees of the grant/contract recipient who need PII/PPSI in their official capacity to perform duties in connection with the scope of work in the grant/contract agreement.
2. DYCD staff and WIOA contractors must not extract information from data supplied by their WIOA funding source for any purpose not stated in the grant or contract agreement.
3. PII/PPSI data obtained by DYCD staff or WIOA contractors as a result of a USDOL or NYSDOL request must not be disclosed to anyone but the requesting agency. Exceptions to this may be made only as permitted by the requesting agency (either USDOL or NYSDOL).

Security Protocols related to /PTS and OSOS

1. **Security Coordinators:** DYCD has assigned Security Coordinators to enforce data security requirements related to the use of, PTS and OSOS for DYCD staff and WIOA contractors who have been provided access to PTS and OSOS for WIOA Youth programs. Their contact information must be readily available at DYCD WIOA contractor locations:

Jasmine Young jayoung@dycd.nyc.gov , **Yenny Nunez** ynunez@dycd.nyc.gov , **Brita Rivers** brivers@dycd.nyc.gov , **Robyn Berlin** rberlin@dycd.nyc.gov , and **Damaris Vega** dvequilla@dycd.nyc.gov
2. Prior to gaining access to the PTS and OSOS, DYCD staff and WIOA contractors must comply with the DYCD WIOA Access and Training Policy, and OSOS Access Confidentiality Agreements must be completed in order to gain access to these systems, as well as completion of the Cornerstones of Confidentiality video and signing of the PII/PPSI Acknowledgement Form.
3. **Annual staff confidentiality training:** DYCD staff and WIOA contractor and other personnel who will have access to sensitive, confidential, proprietary, and/or private data must be advised of the confidential nature of the information, the safeguards required to protect the information, and the fact that there are sanctions for noncompliance with such safeguards contained in Federal and State laws. To meet this requirement, all DYCD staff and WIOA contractors **and other authorized personnel** with access to, PTS and OSOS data will take the online training, **Cornerstones of Confidentiality, annually**. This training is accessible via <https://labor.ny.gov/workforcenypartners/osos/video/cornerstones.shtm>

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Maintaining a Secure Environment

All DYCD staff and WIOA contractors must ensure a secure physical and electronic/digital environment which will protect participant's PII and PPSI. This applies to the collection, storage and/or disposal of PII/PPSI in any format (hard copy or electronic) including, but not limited to, computer-based information systems such as the enrollment and case management system and DYCD Participant Tracking System, hard copy documents, and digital media.

1. To ensure that such PII/PPSI is not transmitted to unauthorized users, all PII/PPSI transmitted via e-mail or stored on CD-ROM's, thumb drives, etc., must be encrypted using Federal Information Processing Standards.
2. DYCD staff and WIOA contractors must not e-mail unencrypted sensitive PII/PPSI to any entity.
3. All PII/PPSI data obtained through grants/contracts funded by DYCD shall be stored in an area that is always physically safe from access by unauthorized persons
4. **Accessing, processing, and storing of PII/PPSI data on personally owned equipment, including but not limited to laptops, tablets, portable devices and personal computers, at off-site locations and non-grantee managed Information Technology services, (e.g., Yahoo mail), is strictly prohibited.**
5. All PII/PPSI data must be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal or any other means. **Data may be downloaded to, or maintained on, authorized mobile or portable devices only if the data are encrypted.**
6. WIOA contractors must ensure that any PII/PPSI used during the performance of their grant/contract has been obtained in conformity with applicable Federal and State laws governing the confidentiality of information.
7. Whenever possible, the ID number must be used for participant tracking instead of Social Security Numbers (SSN). If SSNs are to be used for tracking purposes, they must be stored or displayed in a way that is not attributable to an individual, (e.g., using a truncated SSN). In addition, full SSNs should never be transmitted, even via encryption methods.
8. Records containing PII/PPSI, whether hard copy or electronic, must not be left open and unattended.

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9. Hard copy documents containing PII/PPSI must be maintained in locked file cabinets when not in use.

10. DYCD staff and WIOA contractors must retain data received from USDOL funded grants only for the period required to use it for assessment and other purposes, or to satisfy applicable local/ state/federal records retention requirements, if any. Thereafter, all data must be thoroughly and irretrievably destroyed.

11. Appropriate methods must be used for destroying sensitive PII/PPSI in paper files (e.g., shredding) and securely deleting sensitive electronic PII/PPSI. PII/PPSI must be thoroughly and irretrievably destroyed.

12. DYCD WIOA contractors will permit DYCD, NYSDOL and/or USDOL to make onsite inspections during regular business hours in order to conduct audits and/or other investigations to ensure compliance with confidentiality requirements, provided reasonable notice is given. DYCD WIOA contractors will also make records available to DYCD, NYSDOL and/or USDOL and/or their authorized designees for the purpose of inspection, review and/or audit.

Breach of Confidentiality

A breach of confidentiality is an event that compromises or potentially compromises the confidentiality of an individual's or group of individuals' PII/PPSI. A breach may include the loss of control, unauthorized disclosure, unauthorized acquisition, unauthorized access, misuse or unauthorized modification of PII/PPSI or similar situations, whether physical or electronic. Some examples include but are not limited to:

- A. Computers, laptops, CDs, or disks containing a customer's PII/PPSI are missing or stolen;
- B. An individual's PII/PPSI is revealed to a third party without a valid consent to do so on file;
- C. A customer receives another customer's mail that lists the customer's name, address, and SSN;
- D. Department records containing an individual's PII/PPSI are downloaded or copied;
- E. An electronic device is infected or potentially infected with a virus or worm; or
- F. Discussion of PII/PPSI is overheard by an unauthorized individual.

A breach or suspected breach of confidentiality must be reported to the DYCD WIOA Security Coordinators immediately. Contractors must also report any breaches of confidentiality through the EMS incident reporting system.

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PII/PPSI Environmental Assessments:

Twice each program year, one of the DYCD Security Coordinators or other designee will conduct an environmental assessment at WIOA contractor sites to determine whether staff are maintaining a secure PII/PPSI environment (physically and electronic/digital). Please see the Confidentiality – Environmental Assessment attachment below.

Please have all staff complete the Cornerstones of Confidentiality training located at this web address:

<https://labor.ny.gov/workforcenypartners/osos/video/cornerstones.shtm>

Upon completion each staff must complete and sign a Cornerstones of Confidentiality Attestation of Completion Form.

Contractor staff must acknowledge their understanding of the safeguards necessary in their handling of PII/PPSI by completing the (PII) and (PPSI) Acknowledgment Form.

Prior to receiving training, any staff member's initial Cornerstones of Confidentiality Attestation of Completion Form must be completed and submitted to DYCD CVU staff. DYCD Security Coordinators will collect the subsequent annual Cornerstones of Confidentiality Attestation of Completion Forms and (PII)/(PPSI) Acknowledgment Forms during their Environmental Assessment visit.