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NOTICE TO AEPP PROGRAMS

OCTAE REPORT FINDINGS – AEPP Monitoring Visit Report Issued: 08-03-2023

Finding 1: NYSED’s Management Information System (MIS) has insufficient procedures in place to collect and report participant barriers to education and employment.

Explanation of Findings:

- AEPP did not capture Low Levels of Literacy and English Language Learners in the AEPP MIS, ASISTS,
- The Individual Student Record Form (ISRF) did not contain Low Levels of Literacy and English Language Learners as Barriers to Education and Employment

Resolution:

- The ISRF was updated to indicate the Low Levels of Literacy as a Barrier to Employment
- The corresponding screens in ASISTS were updated to now include the new barriers
- A MEMO called [Individual Student Record Form \(ISRF\) and Barriers to Employment Script – FY24](#) was issued to the field on June 27, 2023 along with a script to help capture all student Barriers to Employment

Finding 2: NYSED does not meet NRS requirements regarding consolidation of participants.

Explanation of Findings:

- The AEPP MIS, ASISTS, did not consolidate participant data, which may result in duplicate entries and duplicate learner outcomes.

Resolution:

- The AEPP MIS, ASISTS, will be using unique modifiers such as date of birth in order to distinguish participants and assure that students and resulting achievements are counted only once.

Finding 3: NYSED’s MIS does not meet NRS requirements for reporting certain indicators of performance.

Explanation of Findings:

- OCTAE addressed that it is optional to report additional metrics, such as work based learning opportunities, as identified at one of the field visits.

Resolution:

- The ASISTS team will be submitting the NRS NYS data as planned for PY 2022.

Finding 4: NYSED is not managing its policy on program income adequately.

Explanation of Findings:

- As AEPP seeks to remove barriers to employment, charging students fees presents a barrier, and that is not permitted. All programs charging tuition, registration, incidental, food or any other kinds of fees must discontinue this practice.

Resolution:

- AEPP has created a policy on student fees and will submit it to OCTAE for approval.

Supportive Services: Participants travel is an approvable expense.

Finding 5: NYSED did not correctly apply the local administration cost limits provision.

Explanation of Findings:

- According to OCTAE laws and regulations, the administrative costs should not exceed 5%, but programs may negotiate over the 5% if they deem it as too restrictive.

Resolution:

- AEPP is working on policies and procedure for dissemination to programs. Any new policies will be implemented beginning with budgets for FY25; budgets for FY24 are already in the pipeline for approval and will not be impacted by these changes.

Finding 6: NYSED did not follow federal definitions and requirements for indirect cost rates and agreements when awarding grants to local providers.

Explanation of Findings:

- AEPP needs to provide programs additional guidance on indirect cost rates and the methodologies applied to programs.

Resolution:

- AEPP is working on policies and procedure for dissemination to programs. Again, any new policy or procedure will be implemented in FY25; budgets for FY24 are already in the pipeline for approval and will not be impacted by these changes.

Finding 7: NYS has not executed Memoranda of Understanding (MOUs), including Infrastructure Funding Agreements (IFAs), with each of the local workforce development boards (LWDBs) and one-stop partners.

Explanation of Findings:

- AEPP did not execute all LWDB MOU's.

Resolution:

- AEPP will continue to work with WIOA partners to execute all LWDBs MOU's.