



## Self-Audit Toolkit for WIOA Program Monitoring

We offer this Self-Audit Toolkit as a resource to Local Workforce Development Boards to reflect on (1) specific practices related to USDOL and NJDOL WIOA policy, as well as (2) practices related to AOSOS data entry.

This toolkit offers sets of questions for assessing specific WIOA elements within individual participant records and files. The initial focus of this self-audit toolkit is on the common elements elevated in NJDOL PY18 WIOA Monitoring reports and includes seven unique tools for self-auditing files and records related to:

- Individual Employment Plans (pages 2-3)
- Individual Service Strategies (page 4-5)
- Work Experience (pages 6-7)
- Youth Follow-up (pages 8-9)
- Exit (pages 10-11)
- Credential Attainment (page 12-13)
- Measurable Skill Gain (pages 14-15)

The tool places a particular emphasis on documentation within AOSOS, offering specific details of screens in which details and information related to particular participant information can be found and should be recorded. Local areas can review a single file with all seven tools or pick and choose specific areas of focus within this toolkit.

The tools included in this document are modeled on the specific questions that guided NJDOL's PY18 monitoring in these areas. We hope that this both offers greater transparency about our review, as well as an opportunity for strengthening local area reviews of these elements.

We look forward to working together in using these tools to:

1. Further reinforce expectations related to policy and AOSOS data entry
2. Document current practice in these areas
3. Identify and elevate opportunities for ongoing practice development

Each tool in the toolkit includes a specific set of questions to answer based on review of a single AOSOS record and paper file (one NJ ID number). A set of reflection questions at the end of each self-audit tools supports reflection on information collected from these sources and the identification of opportunities for changing programmatic and/or data entry practices.

**Please reach out to us with any questions about these tools and/or policies referenced in these tools at [WIOApolicy@dol.nj.gov](mailto:WIOApolicy@dol.nj.gov).**

### Tool 1: IEP Self-Audit

An Individual Employment Plan (IEP) serves as a critical case management tool, offering opportunities for engaging Adult and Dislocated Worker participants in assessment activities, identification of short-term and long-term goals, and aligned service plans for meeting goals and addressing personal barriers. Ideally, a participant should have the opportunity to develop and revisit their employment plan across their engagement with various Wagner Peyser and WIOA programs and staff.

#### Period of Participation

| What is the participant’s enrollment period? |                                  |  | AOSOS Notes  |
|--|----------------------------------|--|--|
|  | Wagner Peyser                    | Title I: <input type="checkbox"/> Adult <input type="checkbox"/> DW <input type="checkbox"/> Youth |  |
| Enrollment Date                              | Click or tap here to enter text. | Click or tap here to enter text.   | Exit and Enrollment dates are captured in the Pgms/PA tab found in Customer Detail in AOSOS. |
| Exit Date                                    | Click or tap here to enter text. | Click or tap here to enter text.   |  |

#### Individual Employment Plans – Adult and DW (NJ DOL Policy: WDP-PY19-7)

Note: Only include IEPs that are dated within the enrollment period defined above.

| What evidence exists of IEP entry during the participant’s enrollment period? |                                  | AOSOS Notes  |
|---|----------------------------------|--|
|   | In AOSOS                         |  |
| How many IEP activities were entered in this enrollment period?               | Click or tap here to enter text. |  |
| What were the dates of IEP activities entered? (Please list all dates.)       | Click or tap here to enter text. | IEP Activities are captured in the Activities tab found in Customer Detail   |
| With what types of support did these IEPs align (RESEA, Title I, etc)?        | Click or tap here to enter text. | Reasons for IEP creation are captured in the “Employment Plan” tab or in Comments in Customer Detail; and/or may be determined by proximity of dates to specific activities in customer record |
| Is there an IEP activity that aligns with Title I enrollment? (Y/N)           | Click or tap here to enter text. |  |

| What evidence exists of the development of a high quality IEP process as part of Title I services? (Please reflect on IEPs associated with Title I engagement.) |   |                                  |                                   | AOSOS Notes  |
|---|---|----------------------------------|-----------------------------------|--|
|   |   | In AOSOS                         | In Paper File/Uploaded Attachment |  |
| Was the IEP documented in the “Employment Plan” tab? (Y/N)  |   | Click or tap here to enter text. |                                   | “Employment Plan” tab is in Customer Detail  |
| Was the IEP uploaded to AOSOS? (Y/N)  |   | Click or tap here to enter text. |                                   | IEP upload selection is in Attachments tab in Comp Assess  |
| Was the IEP documented in the paper file?   |   |                                  | Click or tap here to enter text.  |  |
| To what extent did the IEP include and document the following elements?   | • Assessment Results                    | Click or tap here to enter text. | Click or tap here to enter text.  | IEP details should be captured in the:<br>1. The “Employment Plan” tab<br>2. Comp Assess tabs<br>3. Achievement Objectives tabs in Services<br>4. In uploaded IEP documents in Comp Assess |
|   | • Short-term and long-term goals        | Click or tap here to enter text. | Click or tap here to enter text.  |  |
|   | • Service Plans (including training)    | Click or tap here to enter text. | Click or tap here to enter text.  |  |
|   | • Barriers and Supportive Service Needs | Click or tap here to enter text. | Click or tap here to enter text.  |  |

**IEP Reflection Questions:** The following questions offer an opportunity to reflect on the information gathered about IEPs on the previous page.

1. Where are the strengths in data entry around the IEP?

Click or tap here to enter text.

2. Where are there gaps in entry? What practice changes would support stronger AOSOS data entry?

Click or tap here to enter text.

3. What opportunities might exist for strengthening IEP development and use?

Click or tap here to enter text.

## Tool 2: ISS Self-Audit

An Individual Service Strategy (ISS) serves as a critical case management tool and process, offering opportunities for engaging Youth participants in assessment activities, identification of career pathways and education and employment goals, development of a service strategy that includes the 14 program elements, and record of actual engagement in those activities. Additionally, a participant should have opportunities to regularly revisit their ISS every 6 months, as well as at the point of significant life events.

### Period of Participation

| What is the participant’s enrollment period? |                                  |  | AOSOS Notes  |
|--|----------------------------------|--|--|
|  | Wagner Peyser                    | Title I: <input type="checkbox"/> Adult <input type="checkbox"/> DW <input type="checkbox"/> Youth |  |
| <b>Enrollment Date</b>                       | Click or tap here to enter text. | Click or tap here to enter text.   | Exit and Enrollment dates are captured in the Pgms/PA tab found in Customer Detail in AOSOS. |
| <b>Exit Date</b>                             | Click or tap here to enter text. | Click or tap here to enter text.   |  |

### Individual Service Strategy – Youth (NJ DOL Policy: WDP-PY19-7)

| What evidence exists of development and ongoing use of an Individual Service Strategy?                            |   |                                   | AOSOS Notes   |
|---|---|-----------------------------------|---|
|   | In AOSOS  | In Paper File/Uploaded Attachment |   |
| <b>When was an IEP activity entered documenting <u>creation</u> of the ISS?</b>                                   | Click or tap here to enter text.  |                                   | IEP Activities are captured in the Activities tab found in Customer Detail  |
| <b>When were IEP activities entered documenting <u>updates</u> to the ISS?</b>                                    | Click or tap here to enter text.  |                                   |   |
| <b>What initial assessments were conducted and recorded?</b>  | Click or tap here to enter text.  | Click or tap here to enter text.  | Various assessment activities are captured in the Activities tab found in Customer Detail<br><br>TABE/CASAS assessments are captured in the Test tab in Customer Detail |
| <b>What additional assessments were conducted and recorded during the course of the participant’s experience?</b> | Click or tap here to enter text.  | Click or tap here to enter text.  | Documentation of other assessments conducted are captured in the Comments tab in Comp Assess  |
| <b>What were the key results of these assessments and how were these documented?</b>                              | Click or tap here to enter text.  | Click or tap here to enter text.  | Academic, occupational, and service need assessment results are captured in the various Comp Assess tabs  |
| <b>To what extent did the ISS include and document the following elements?</b>                                    | <ul style="list-style-type: none"> <li>• Included education and employment goals</li> <li>• Identified a career pathway</li> <li>• Aligned with an indicator of performance</li> <li>• Supportive service needs</li> <li>• An individualized service strategy w/ multiple program elements</li> </ul> | Click or tap here to enter text.  | These ISS elements should be reflected in the Achievement Objectives tab in Services, in the tabs in Comp Assess, and/or in the Comments tab in Comp Assess             |
| <b>Do the funded services align with program elements identified in the ISS?</b>                                  | Click or tap here to enter text.  | Click or tap here to enter text.  | Details about program elements offered should be captured in Comments tab in Services<br><br>Funded services are captured in the Services tab in Services               |

**ISS Reflection Questions:** The following questions offer an opportunity to reflect on the information gathered about the ISS on the previous page.

1. To what extent, does the ISS offer a comprehensive picture of a youth's skills, interests, and needs?

Click or tap here to enter text.

2. What gaps exist in the ISS? What are the strengths of the ISS? What opportunities exist for strengthening development and use of the ISS?

Click or tap here to enter text.

3. Where are there gaps in what is documented in the paper ISS versus what is documented in AOSOS? What practices would support stronger AOSOS data entry?

Click or tap here to enter text.

### Tool 3: Work Experience Self-Audit

Paid and unpaid work experience is one of the 14 program elements for the WIOA youth program. Work experience is a planned, structured learning experience that takes place in a workplace and provides youth with opportunities for career exploration and skill development. A work experience may take place in the private for-profit sector, the non-profit sector, or the public sector. WIOA identifies four types of work experience for youth: summer employment and other employment opportunities available throughout the school year, pre-apprenticeship programs, internships and job shadowing, and on-the-job training. (from [DOLETA Workforce GPS website](#))

#### Period of Participation

| What is the participant’s enrollment period? |                                  |  | AOSOS Notes  |
|--|----------------------------------|--|--|
|  | Wagner Peyser                    | Title I: <input type="checkbox"/> Adult <input type="checkbox"/> DW <input type="checkbox"/> Youth |  |
| Enrollment Date                              | Click or tap here to enter text. | Click or tap here to enter text.   | Exit and Enrollment dates are captured in the Pgms/PA tab found in Customer Detail in AOSOS. |
| Exit Date                                    | Click or tap here to enter text. | Click or tap here to enter text.   |  |

#### Work Experience – Youth (NJ DOL Policy: [NJWIN 1-17](#))

| What evidence exists of youth engagement in work experience opportunities?  |                                  |                                   | AOSOS Notes   |
|---|----------------------------------|-----------------------------------|---|
|   | In AOSOS                         | In Paper File/Uploaded Attachment |   |
| Was a funded work experience service entered? (Please include work experience type entered.)                                | Click or tap here to enter text. |                                   | Funded services are captured in the Services tab in Services  |
| What details about the work experience were recorded/documented?  | Click or tap here to enter text. | Click or tap here to enter text.  | Details offering specifics about a work experience and its connection to academic components are captured in the Comments tab |
| How were connections between academic pursuits and the work experience recorded/documented?                                 | Click or tap here to enter text. | Click or tap here to enter text.  |   |
| Was the following documentation included?   | Timesheets                       | Click or tap here to enter text.  | Click or tap here to enter text.  |
|   | Worksite agreements              | Click or tap here to enter text.  | Click or tap here to enter text.  |
|   | Other documents                  | Click or tap here to enter text.  | Click or tap here to enter text.  |
| Was the participant employed (outside of WIOA activities) during active participation? (Please include type of employment.) | Click or tap here to enter text. | Click or tap here to enter text.  | Employment information is captured in the Work History tab in Customer Detail   |
| If the participant did not engage in work experience, how were efforts offering work experience documented?                 | Click or tap here to enter text. | Click or tap here to enter text.  | Documentation that work experience was offered is captured in Comments tab  |
| What was the participant’s identified career pathway (in ISS or IEP)?   | Click or tap here to enter text. | Click or tap here to enter text.  |   |

**Work Experience Reflection Questions:** The following questions offer an opportunity to reflect on the information gathered about Work Experience on the previous page.

1. To what extent, did the participant have the opportunity to access and/or engage in a specific work experience that aligned with career pathway interests and connected to other programmatic opportunities (specifically academic preparation)? What opportunities exist for strengthening youth connection to work experiences?

Click or tap here to enter text.

2. Where are there gaps in documentation? What elements are documented in the paper file that aren't captured in AOSOS? What elements are not documented at all? What practices would support stronger AOSOS data entry?

Click or tap here to enter text.

### Tool 4: Follow-Up Services (Youth)

Follow-up services, one of the 14 program elements for the WIOA youth program, are critical services provided following a youth’s exit from the program. The goal of follow-up services is to help ensure that youth are successful in employment and/or postsecondary education and training. Follow-up services may include regular contact with a youth participant’s employer, including assistance in addressing work-related problems that arise. (from [DOLETA Workforce GPS website](#))

#### Period of Participation

| What is the participant’s enrollment period? |                                  |  | AOSOS Notes  |
|--|----------------------------------|--|--|
|  | Wagner Peyser                    | Title I: <input type="checkbox"/> Adult <input type="checkbox"/> DW <input type="checkbox"/> Youth |  |
| Enrollment Date                              | Click or tap here to enter text. | Click or tap here to enter text.   | Exit and Enrollment dates are captured in the Pgms/PA tab found in Customer Detail in AOSOS. |
| Exit Date                                    | Click or tap here to enter text. | Click or tap here to enter text.   |  |

#### Follow-Up Services – Youth (NJDOL Policy: WDP-PY19-1)

|   |
|---|
| Does your local area have a specific follow-up policy for youth? What are the specifics of this follow-up policy? |
|   |

| What evidence exists of youth engagement in follow-up services and support?  |                                  |                                   | AOSOS Notes  |
|--|----------------------------------|-----------------------------------|--|
|  | In AOSOS                         | In Paper File/Uploaded Attachment |  |
| Were funded follow-up services provided? (Please include dates of service.)  | Click or tap here to enter text. |                                   | Funded services should be entered as a one-day service and captured in the Services tab in Services                          |
| What, if any, specific allowable program element services were funded? (supportive services, adult mentoring, financial literacy, LMI, postsecondary transition) | Click or tap here to enter text. |                                   |  |
| To what extent is there evidence in comments of individualized follow-up support/services and/or attempts?   | Click or tap here to enter text. | Click or tap here to enter text.  | Details about follow-up services are captured in the Comments tab  |
| How many instances of follow-up are documented in the record/file?   | Click or tap here to enter text. | Click or tap here to enter text.  |  |
| How many instances of unsuccessful follow-up attempts documented in the record/file?   | Click or tap here to enter text. | Click or tap here to enter text.  |  |
| What is the last date of follow-up service or attempt documented in the record/file?   | Click or tap here to enter text. | Click or tap here to enter text.  | Last date of follow-up service determined through Service end date in Services tab and/or last date of follow-up in Comments |
| If the participant did not engage in follow-up or ended follow-up prior to the 12-month period, how was the decision to end follow-up justified and documented?  | Click or tap here to enter text. | Click or tap here to enter text.  | Details about follow-up services are captured in the Comments tab  |
| Was there documentation that the participant was notified of a follow-up policy at the time of enrollment?   | Click or tap here to enter text. | Click or tap here to enter text.  |  |

**Follow-up Reflection Questions:** The following questions offer an opportunity to reflect on the information gathered about Follow-up on the previous page.

1. To what extent, did the participant have the opportunity to access and/or engage in specific follow-up opportunities? Is there evidence of an individualized follow-up support/service strategy? What opportunities existed for strengthening the connection of this youth to support/service during the follow-up period?

Click or tap here to enter text.

2. Where are there gaps in documentation? Is there evidence of follow-up support or services were provided that could have been entered as a funded service? What additional information needed to be entered in AOSOS? What practices would support stronger AOSOS data entry?

Click or tap here to enter text.

### Tool 5: Exit Self-Audit Tool

Exit from WIOA Title I programs occurs once an individual is no longer engaged in individualized employment and training services. Exit dates are based on the last day of service once a 90-day period has passed. While an individual may still engage in self-service, information-only services and activities, and/or follow-up services, these services and activities do not influence exit dates.

#### Period of Participation

| What is the participant's enrollment period? |                                  |  | AOSOS Notes  |
|--|----------------------------------|--|--|
|  | Wagner Peyser                    | Title I: <input type="checkbox"/> Adult <input type="checkbox"/> DW <input type="checkbox"/> Youth |  |
| Enrollment Date                              | Click or tap here to enter text. | Click or tap here to enter text.   | Exit and Enrollment dates are captured in the Pgms/PA tab found in Customer Detail in AOSOS. |
| Exit Date                                    | Click or tap here to enter text. | Click or tap here to enter text.   |  |

#### Exit – Adult, DW, Youth (NJDOL Policy: [NJWIN 7-15](#))

| What evidence exists that an individual's exit date aligned with the end of active service?       |   | In AOSOS   | AOSOS Notes  |
|---|---|--|--|
| What is the date of exit in AOSOS?  |   |  |  |
| What is the last date of service entered in AOSOS?  |   | Click or tap here to enter text.   | Services and service dates are captured in the Services tab in Services        |
| What type of service is the last service entered?   |   | Click or tap here to enter text.   |  |
| If training service:  | Does the training end date in AOSOS align with the expected training end date based on length of training in the <a href="#">ETPL</a> ? | Click or tap here to enter text.   |  |
| If not training service:  | Is this service appropriate as a multi-day service per <a href="#">NJWIN 7-15</a> ?   | Click or tap here to enter text.   |  |
|   | Is the participant's ongoing engagement in this service documented?   | Click or tap here to enter text.   | Details about services are captured in the Comment tab in Services             |
| Were any specific activities entered in AOSOS between the last date of service and the exit date? |   | Click or tap here to enter text.   | Activities are captured in the Activities tab in Customer Detail               |
| If activities entered between last service date and exit date:                                    | What specific activities were entered on what dates?  | Click or tap here to enter text.   |  |
|   |   | Are comments entered highlighting individualized support of the participant? | Click or tap here to enter text.   |
| Was the individual employed or in postsecondary education at the time of exit?                    |   | Click or tap here to enter text.   | Employment information can be found in the Employment Outcomes tab in Services |
| Was the individual employed or enrolled in postsecondary education at the end of Q2?              |   | Click or tap here to enter text.   |  |

**Exit Reflection Questions:** The following questions offer an opportunity to reflect on the information gathered about Exit on the previous page.

1. Is there evidence that the participant was receiving individualized service through their exit date? Are there additional supports or services that might have benefited this individual before exit?

Click or tap here to enter text.

2. Where are there gaps in information or details related to specific services or activities? What additional information needed to be entered in AOSOS? What practices would support stronger AOSOS data entry?

Click or tap here to enter text.

### Tool 6: Credential Attainment Self-Audit Tool

Credential Attainment is defined as attaining an industry-recognized postsecondary credential or a secondary diploma or its recognized equivalent (plus successful employment or postsecondary enrollment). Credential attainment must occur during or within one year after exit from for those participants enrolled in education or training programs. On-the-job training and customized training participants may attain credentials but are not included in performance measures. (From [DOLETA Workforce GPS website](#))

#### Period of Participation

| What is the participant’s enrollment period? |                                  |  | AOSOS Notes  |
|--|----------------------------------|--|--|
|  | Wagner Peyser                    | Title I: <input type="checkbox"/> Adult <input type="checkbox"/> DW <input type="checkbox"/> Youth |  |
| Enrollment Date                              | Click or tap here to enter text. | Click or tap here to enter text.   | Exit and Enrollment dates are captured in the Pgms/PA tab found in Customer Detail in AOSOS. |
| Exit Date                                    | Click or tap here to enter text. | Click or tap here to enter text.   |  |

#### Credential Attainment – Adult, DW, Youth (NJ DOL Policy: [NJWIN 8-17](#))

| What evidence exists that a participant completed a full credential pathway aligned with their career goals and interests?  |                                  |                                   | AOSOS Notes  |
|---|----------------------------------|-----------------------------------|--|
|   | In AOSOS                         | In Paper File/Uploaded Attachment |  |
| In what training, did the individual participate?   | Click or tap here to enter text. | Click or tap here to enter text.  | Training participation and outcomes are captured in Training Outcomes tab in Services              |
| What was the attainment status of the participant?  | Click or tap here to enter text. |                                   |  |
| If the credential was attained, is there documentation of any required exam passage and/or licensure indicating that full credential pathway was completed?                     | Click or tap here to enter text. | Click or tap here to enter text.  | Documents can be uploaded in Training Outcome Details within the Training Outcomes tab in Services |
| Does this credential meet the definition of a recognized postsecondary credential or secondary credential outlined in <a href="#">NJWIN 8-17</a> ?                              | Click or tap here to enter text. | Click or tap here to enter text.  |  |
| If participant achieved a secondary credential, was the participant employed or enrolled in and education or training program leading to a recognized postsecondary credential? | Click or tap here to enter text. | Click or tap here to enter text.  |  |
| What was the participants identified career pathway (in ISS or IEP)?  | Click or tap here to enter text. | Click or tap here to enter text.  |  |

**Credential Attainment Reflection Questions:** The following questions offer an opportunity to reflect on the information gathered about Credential Attainment on the previous page.

1. Is there evidence that the participant completed the full credential pathway of a credential aligned with their intended career pathway? Are there additional supports or services that would have supported this individual in attaining a credential in their intended career pathway?

Click or tap here to enter text.

2. Where are there gaps in information or details related to credential attainment? What additional information needed to be entered in AOSOS? What practices would support stronger AOSOS data entry?

Click or tap here to enter text.

### Tool 7: Measurable Skill Gain Self-Audit Tool

Measurable Skill gains measure the interim progress of participants enrolled in education or training services for a specific Program Year. It is intended to capture important progressions for a diverse set of individuals who receive a wide range of services tailored to their individual needs and goals. MSGs measure improvement in knowledge and abilities while a participant is still taking part in a program as well as when they have exited a program. (From [DOLETA Workforce GPS website](#))

#### Period of Participation

| What is the participant's enrollment period? |                                  |  | AOSOS Notes  |
|--|----------------------------------|--|--|
|  | Wagner Peyser                    | Title I: <input type="checkbox"/> Adult <input type="checkbox"/> DW <input type="checkbox"/> Youth |  |
| Enrollment Date                              | Click or tap here to enter text. | Click or tap here to enter text.   | Exit and Enrollment dates are captured in the Pgms/PA tab found in Customer Detail in AOSOS. |
| Exit Date                                    | Click or tap here to enter text. | Click or tap here to enter text.   |  |

#### Measurable Skill Gain (MSG) – Adult, DW, Youth (NJDOL Policy: [NJWIN 8-17](#))

| What evidence exists that a participant achieved Measurable Skill Gains within each program year of enrollment? |                                  |                                  | AOSOS Notes   |
|---|----------------------------------|----------------------------------|---|
|   | In AOSOS                         | Paper File/Uploaded Attachments  |   |
| In what training, did the individual participate?   | Click or tap here to enter text. | Click or tap here to enter text. | Training participation and outcomes are captured in Training Outcomes tab in Services                           |
| What was the attainment status of the individual?   | Click or tap here to enter text. | Click or tap here to enter text. |   |
| If training completed, what was the end date of training?   | Click or tap here to enter text. | Click or tap here to enter text. |   |
| What types of Measurable Skill Gains (MSGs) were recorded and when were these MSGs attained?                    | Click or tap here to enter text. | Click or tap here to enter text. | MSGs are captured in Training Outcomes Details in the Training Outcomes tab in Services                         |
| What documentation of these Measurable Skill Gains was provided?  | Click or tap here to enter text. | Click or tap here to enter text. | Details about MSGs may be recorded in the Notes section of Training Outcomes Details or in Comments in Services |
| Which of the five enumerated categories do these MSGs fall into per <a href="#">NJWIN 8-17</a> (page 6)?        | Click or tap here to enter text. | Click or tap here to enter text. |   |
| What specific program years did the participant's enrollment period cross over?                                 | Click or tap here to enter text. | Click or tap here to enter text. |   |

**Measurable Skill Gain Reflection Questions:** The following questions offer an opportunity to reflect on the information gathered about Exit on the previous page.

1. Is there evidence that the participant achieved specific Measurable Skill Gains in each program year that they were enrolled?

Click or tap here to enter text.

2. Where are there gaps in information or details related to MSG? What additional information needed to be entered in AOSOS? What practices would support stronger AOSOS data entry?

Click or tap here to enter text.