**Workforce Development Board Name:**

**Submitted by:**       **Date Submitted:** Click or tap to enter a date.

The purpose of this survey is to ensure we have the most current information about your agency in advance of monitoring. This desk review will be used to review existing information prior to conducting the on-site monitoring review. Please provide the most current in-use information and documents; do not provide documents that are in draft format or pending Board approval.

**Please complete the entire Desk Review Survey and upload it to your** [**WDA's folder on SharePoint**](https://dwd-sps.wisconsin.gov/wijcb/WDA%20Documents/Forms/AllItems.aspx) **at least twenty (20) business days prior to the scheduled monitoring visit:**

**Submit any questions to:**

* **To: Program Lead-** The Local Program Liaison (LPL) assigned to your WDA
* **CC: Fiscal Lead-** [Babucarr.kebbeh@dwd.wisconsin.gov](mailto:Babucarr.kebbeh@dwd.wisconsin.gov)
* **CC: CR/EO Lead-** [susana.vazquezgarcia@dwd.wisconsin.gov](mailto:susana.vazquezgarcia@dwd.wisconsin.gov)

**NOTE: Failure to submit a completed Desk Review Survey at least twenty (20) business days prior to the scheduled monitoring may result in a Finding.**

1. **Please respond to each question and bullet.**
2. **Ensure every uploaded file has been checked in in SharePoint in its appropriate sub-folder.**
3. **Include the file name(s) under every question and bullet that requires document evidence.**

## PART I: Program and Governance

**Objective 1-A: Planning & Program Design**

1. Identify the current Chief Elected Official for the WDB and the effective date of their appointment to that role.
2. Attach current copies of the following:

CEO Consortium Agreement – [20 CFR 683.710 (b) (2) Who is responsible for funds provided under title I of the Workforce Innovation and Opportunity Act and the Wagner-Peyser Act?](https://www.law.cornell.edu/cfr/text/20/683.710)

CEO Board agreement – [20 CFR 679.370(i) What are the functions of the Local Workforce Development Board](https://www.law.cornell.edu/cfr/text/20/679.370)?

Bylaws – [20 CFR 679.310 (g) What is the Local Workforce Development Board?](https://www.law.cornell.edu/cfr/text/20/679.310) include effective date if not on the document.

Multiple Roles Agreement (if applicable as required by [679.430 How do entities performing multiple functions in a local area demonstrate internal controls and prevent conflict of interest?](https://www.law.cornell.edu/cfr/text/20/679.430)) - include effective date if not on the document

Fiscal Agent Agreement (or include reference to document where it is included) – [20 CFR 679.420 What are the functions of the local fiscal agent?](https://www.law.cornell.edu/cfr/text/20/679.420) - include effective date if not on the document.

Any other local governance documents not listed above.

Describe the process used to educate a new CEO of WDB activities.

1. Provide a status update on various PY20 goals and objectives in identified in the local plan for question 7.
   1. Sector Partnerships Participation: Explain how the local area will utilize the relationships built by the Business Services Team to enhance or expand participation in Sector Partnerships and expand business services efforts.
   2. Sector Partnerships - Status and Objectives: Identify what sector partnerships the local area is currently engaged in or plans to engage in during PY2020? Indicate the current status of those partnerships, (active, emerging, or exploring).
   3. Career Pathways - Explain how the local area will utilize information gathered through its Business Services Team to provide a baseline for consideration of new or enhanced Sector Partnerships, and how this information will be used to inform changes to or development of Career Pathways in the local area.
2. Submit all active local policies related to provision of services, including but not limited to:
   1. Frequency of IEP/ISS Reviews
   2. Frequency of Participant Contact
   3. Provision of Follow-Up Services, including contact requirements.
   4. Youth Incentives
   5. Supportive Services, including:
      1. funding limits
      2. any exception policy and/or procedure, including:
         1. Who must sign any request.
         2. What documentation must be retained in the file.
   6. Training Services, including:
      1. funding limits
      2. any exception policy and/or procedure, including:
         1. Who must sign any request.
         2. What documentation must be retained in the file.
   7. Priority of Service
3. Submit versions of any of the above policies that were active between July 1, 2018, and when the current policies went into effect. Clearly indicate the months/years that the prior policies were in effect. (These are requested so that the monitors review the participant files using the correct policies.) \*\*NOTE: The polices in question 6 above are requested for reference to be used during file review. It is not part of this year's monitoring to review them specifically for compliance, but if compliance issues are found they will be addressed in the monitoring report.
4. Please describe how the WDB is making the 14 Youth Program elements available.
5. [Tutoring, study skills training, instruction, and evidence-based dropout prevention and recovery strategies](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#1);
   * 1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. [Alternative secondary school services or high school dropout recovery services](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#2);
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. Paid and unpaid [work experience](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#3);
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
    2. Indicate where the youth work experience template is uploaded on SharePoint as requested in the EO: Element 3 – Assurances section.
  1. [Occupational skills training](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#4);
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. [Education offered concurrently with and in the same context as workforce preparation and training](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#5);
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. [Leadership development opportunities](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#6);
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. [Supportive services](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#7);
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. [Adult mentoring](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#8);
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. [Comprehensive guidance and counseling](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#9);
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. [Financial literacy education](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#10);
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. [Entrepreneurial skills training](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#11);
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. [Career Awareness, Career Exploration, and Career Counseling](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#12);
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. [Postsecondary preparation and transition activities](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#13); and
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)
  1. [Follow-up services](https://dwd.wisconsin.gov/wioa/policy/10/10.5.3.htm#14).
     1. Provided by organization(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
     2. Combined, can the organization(s) listed above ensure that this element is available to all Youth participants in the WDA?

yes  no

* + 1. Describe how this element is being made available to **all** Youth participants in the WDA. (For example, identify geographic coverage, organizations' eligibility requirements that may limit access for some Youth participants, etc.)

If you have executed a [Youth MOU](https://www.dwd.wisconsin.gov/wioa/policy/10/10.5.2.htm) for provision of any of the above 14 Youth Program elements with a partner provider, upload the MOU to SharePoint and check it in.

NOTE: Any MOU that was submitted for PY20-21 monitoring that is still active does not need to be submitted with this Desk Review Survey. Please list any MOUs that were submitted in PY20-21, and are still active, below.

**Objective 1-B: Implementation**

1. Identify all the WDB's current WIOA-funded subrecipient(s) (Adult, Dislocated Worker, Youth, One-Stop Operator(s), Business Solutions, etc.):

|  |  |
| --- | --- |
| **Agency** | **Program(s)/Activities** |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

1. Complete the table *Partner Contact Information* (Attachment A) to identify current One-Stop partners, including contact person(s) and their contact information.
2. Indicate whether the WDB intends to issue a Request for Proposals for service provision within this program year, and if so, which program(s)/activities are intended to be re-procured.

If there will be and RFP, who will do the RFP and procurement?

1. Attach a list of all WIOA-funded staff within the WDA (both WDB and subrecipient staff) including name, job title, program(s) served, email address, and % FTE funded by WIOA.   
   Attach position descriptions or include a brief description of each individual's job duties.
2. Provide the agency, name, contact information, and service area(s) of individual(s) performing OSO functions.
   1. Attach copies of the OSO contract(s) if they changed since or were not submitted during last year's monitoring.
   2. Attach a copy of each One-Stop Operator's budget.
   3. Attach the local policy regarding oversight and monitoring of the OSO ([Chapter 2.7.5](https://dwd.wisconsin.gov/wioa/policy/02/02.7.5.htm))

**Objective 1-C: Products & Deliverables**

1. Where does the WDB publicize/post items required under the Sunshine Provision, Open Meetings Law, and [Chapter 1.4.7](https://dwd.wisconsin.gov/wioa/policy/01/01.4.7.htm).
   * information regarding the local plan, or modification of the local plan, prior to submission of the plan;
   * list and affiliation of local WDB members;
   * selection of one-stop operators;
   * award of grants or contracts to eligible training providers of workforce investment activities, including providers of youth workforce investment activities;
   * minutes of formal meetings of the local WDB;
   * local WDB by-laws; and
   * notice of meetings.
2. How does the WDB ensure that they are posted timely? Include any local level requirements for posting documents publicly.

**Objective 1-D: Business Services & Employer Engagement**

* + - 1. Describe how business services are provided within the WDA.   
         a. Include a list of required and optional partners that provide business services.

1. What types of business services are provided by each partner?
2. How are these business services coordinated among the WDB and the partners?
3. How does the business service team engage with service provider(s) to share information regarding business needs and work-based learning activities?
4. Describe any training provided to staff members related to serving businesses.
5. Please describe what, if any, incumbent worker training is occurring with the local area. Please provide specific examples and describe outcomes.

**Objective 1-E: Participant Services**

1. Describe the process by which career planners in your local area request funding (training and/or supportive services) on behalf of a participant.
   1. Identify and attach any related forms or documents that should be retained in the participant file (i.e. training vouchers, requests to exceed ITA funding limits, etc.).
   2. Identify the individual(s) who must approve the requests prior to funding (if applicable).
   3. For any documents for this question that are not retained in the file, where are they housed.
      1. When the PIN selection is sent, these documents may be requested for review either as a document upload or on site.

**Objective 1-F: Contract Administration**

* + - 1. Provide the location in SharePoint of any contracts that have been newly issued since last year's monitoring and/or where the Statement of Work and/or expected outcomes have been changed since they were submitted with last year's Desk Review Survey.

1. For **each** contract submitted, complete the following checklist of required items:

Statement of Work, please specify page/location for each contract below.

Negotiated performance levels/metrics please specify page/location for each

contract below.

Methods for monitoring performanceplease specify page/location for each contract below.

**Objective 1-G: Performance Management**

1. Describe any training that has been provided in the past year to WDB and/or service provider staff on the primary indicators of performance and related reporting requirements.
2. Identify any outstanding technical assistance or training needs of the WDB and/or its service providers related to performance.
3. Does WDB staff regularly use the following systems to monitor performance data?
   1. JCS-RED Warehouse (aka BI Launchpad, WEBI)
   2. ASSET System Reports

Provide any information/comments about the use of these tools, including who uses them and in what ways they are utilized.

**Objective 1-H: Subrecipient Management & Oversight**

1. Describe the process used to conduct programmatic monitoring of contracted service providers. Include in the description information regarding:
2. Timeline and frequency of monitoring;
3. Items reviewed;
4. Methodology (on-site, file review, ASSET, etc.);
5. Name(s) and employer(s) of the individual(s) responsible for monitoring the service providers/program operators, as well as one-stop operators/one-stop delivery system;
6. Process used to notify the monitored entity of any issues identified;
7. Any corrective action(s) or training(s) implemented as a result of this monitoring.
8. Any other documents/communications.
9. Attach documentation from the most recent local monitoring, including monitoring reports, closeout reports, corrective action plans, etc.
   1. Attach any policy/policies the WDB has related to monitoring its subrecipients.
   2. If this was submitted in item H.1.c above please state that here. There is no need to duplicate.
10. Describe any training/technical assistance provided to career planners since DWD-DET's last monitoring visit. Include the date, format, and scope/subject of each training.

**INNOVATION: The "I" in WIOA**

1. Identify any **innovative** practices the WDB has implemented in the past year.   
   Include the challenge(s) being addressed, how the practice came to be, the process used to develop and implement the innovation, and any resulting data or success stories.
2. Attach any other materials that you would like us to review or consider prior to our arrival on-site.
3. Identify any other requests for training or technical assistance from DWD-DET.

**Attachment A: Partner Contact Information**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **WIOA Required Partners** | **Agency** | **Supervisor & email**  **(submit 1 per agency)** | **Frontline Staff & email**  **(submit 1 per agency)** | **Co-located in a Job Center? Y/N** | **In which Job Center is this located?** |
| WIOA Title I Adult |  |  |  |  |  |
| WIOA Title I Dislocated Worker |  |  |  |  |  |
| WIOA Title I Youth |  |  |  |  |  |
| WIOA Title I Job Corps |  |  |  |  |  |
| WIOA Title I YouthBuild |  |  |  |  |  |
| WIOA Title I Native American programs |  |  |  |  |  |
| WIOA Title I National Farmworker Jobs Program (NFJP) |  |  |  |  |  |
| WIOA Title III Wagner-Peyser Act Employment Services |  |  |  |  |  |
| Title V Senior Community Service Employment Program (SCSEP) |  |  |  |  |  |
| Trade Adjustment Assistance (TAA) |  |  |  |  |  |
| Unemployment Compensation programs |  |  |  |  |  |
| **WIOA Required Partners** | **Agency** | **Supervisor & email** | **Career Planner & email** | **Co-located in a Job Center? Y/N** | **In which Job Center is this located?** |
| Jobs for Veterans State Grants (JVSG) |  |  |  |  |  |
| Reentry Employment Opportunities (REO) programs |  |  |  |  |  |
| WIOA Title II Adult Education and Family Literacy Act (AEFLA) |  |  |  |  |  |
| Carl D. Perkins Career and Technical Education Act programs |  |  |  |  |  |
| WIOA Title IV State Vocational Rehabilitation (VR) Services programs |  |  |  |  |  |
| Department of Housing and Urban Development (HUD) employment and training programs |  |  |  |  |  |
| Community Services Block Grant (CSBG) employment and training programs |  |  |  |  |  |
| Temporary Assistance for Needy Families (TANF) programs |  |  |  |  |  |

## PART II: Fiscal

**FISCAL DESK REVIEW SURVEY**

1. **Budget**
2. Is your accounting system able to compare budgets to actuals within the system?
3. Are budgets being entered into the accounting system and updated regularly?
4. Describe what steps are taken during the budgeting process to ensure the WDB achieve the:
   * 35% training goal for Adult/Dislocated Worker program funds;
   * 20% work experience expenditure requirement for Youth program funds, and;
   * Describe any challenges faced with these benchmarks during the COVID Pandemic and how the Board worked to overcome them.
5. How often are the budget to actuals presented to the Board of Directors?
6. What triggers a budget modification?
7. How are modifications communicated to the Board of Directors?
8. Was the budget approved by the Chief Local Elected Official (CLEO)?
9. **Property Management**
10. Since the last review, has any real property been acquired by the WDA?
11. Were any equipment ($5000 or more) purchased with WIOA funds?  
    If yes, answer the following:

* Was prior approval received?
* Did you determine the best option (Lease vs Purchase)?
* Was a cost and/or price analysis performed to determine the best option?

1. What system is in place for the acquisition, management, and disposition of equipment purchased with WIOA funds?
2. Is equipment inventory conducted and updated at least every two years?
3. What methodology does the WDA use to depreciate equipment?
4. Was any equipment, purchased with WIOA funds, disposed of since the last review?
5. Has the WDA acquired and/or developed any intangible property with WIOA funds?
6. **Procurement and Contract Administration**
   1. Please identify the WDA's fiscal agent if applicable?

* 1. Who prepares a Request for Proposal (RFP)?
  2. When was the last OSO procurement conducted?
  + Was there a minimum amount of $3,500 attached?
  + How long is the contract term (provide dates for the OSO contract)?
  1. Provide a list of sub awards. For each, indicate whether they were chosen by:
* RFP process this year;
* noncompetitive (sole source) procurement;
* contract(s) renewal.

|  |  |  |
| --- | --- | --- |
| **Subcontractor** | **Selection Process** | **Contract Renewal Date** |
|  | RFP  Sole Source  Contract Renewal |  |
|  | RFP  Sole Source  Contract Renewal |  |
|  | RFP  Sole Source  Contract Renewal |  |
|  | RFP  Sole Source  Contract Renewal |  |
|  | RFP  Sole Source  Contract Renewal |  |

* Attach any contracts that have been newly issued since last year's monitoring and/or where the Statement of Work and/or expected outcomes have been changed since they were submitted with last year's Desk Review Survey.
* If any contracts expired June 30, 2021, provide letter of intent to show that there was no gap of service between June 30, 2021, and the time the contract was signed. Describe the process that was conducted to determine that the sub-recipient fulfilled its contractual obligations adequately to support the contract's extension. Include any contract review or contract monitoring that occurred during this process.

1. **Subrecipient Management and Oversight**
2. Did any subrecipients expending $750,000 or more in Federal awards have a single or program-specific audit performed?
3. Was there a risk assessment carried out for all the subrecipients prior to subrecipient monitoring?
   * How often are the risk assessment's updated?
4. **Records Management**
5. Who oversees record-retention?
6. Is custody of records transferred to the WDA after a sub-contract has ended or is the sub-contractor responsible for record retention?
7. How are record retention requirements communicated to the subrecipients?
8. **Personnel**
9. Is vacation, sick leave, and/or paid time off accrued?
10. What is incentive compensation to employees based on?
    * Cost reduction ;
    * Efficient performance;
    * Suggestion awards;
    * Safety awards;
    * Other- then explain.
11. How often are wages increased? Are they based on:
    * Cost of living adjustment?
    * Performance review?
12. Has there been a change in any key personnel positions associated with the WIOA program in the past year?
13. Do board members get reimbursement for any type of expenses? (mileage, meeting per diem, etc.)?
14. **Internal Controls**
15. Is there proper segregation of duties between individual(s) that complete the financial report and supervisor(s) that review the data entered (e.g., separate PINs and passwords)?
16. What safeguards are in place to protect the following assets?

* Bus tokens:
* Checks:
* Credit cards:

1. Please explain who has access to the above and where they are stored.
2. Describe any training provided to/attended by fiscal staff in the past year?

1. **Written policies and procedures**
2. Have any of the WDA policies been updated since the last review?
3. What processes are in place for policy updates?

1. **Accounting System & Cash Management**
2. What accounting system is the WDA using?
3. Does the WDA have policies and procedures in place to identify and recapture improper payments? (ex. Duplicate payments, payments to an eligible party, payment for an ineligible goods/service or payment for a good or service not received).
   * If not, what processes are in place to identify and recapture improper payments?
4. With regards to cash drawdowns:
   * What is the mechanism/tool used by the WDA to determine the amount of cash to withdraw?
   * How often are they performed?
   * Who prepares them?
   * Who reviews them?
   * Who approves them?
5. Is there a reconciliation performed between the cash drawdowns and the expenditures?

* How frequently is it performed?
* How frequently is it reviewed?

1. Since the last review has there been any late payment penalties charged to WIOA?
2. **Financial Reporting**
3. Do bank cash balances exceed the FDIC-insured amount of $250,000?

* If so, is there a collateral agreement or another arrangement with the bank to cover the excess?

1. Does the WDA have a line of credit?

If yes, please answer the following:

* + For how much?
  + Has this been accessed in the past year?

1. Were the PY20 MOU Budgets Reconciled?
   * How often throughout the program year were they reconciled?
   * If budgets were not reconciled, please provide a reasoning.

1. **Allowable Costs and Cost Classification**
2. Were gift cards purchased (gas cards, bus passes, etc.)?

If yes, please answer the following:

* What funds were used?
* How are they being tracked and controlled?

1. Do the corporate credit cards accumulate any points?

If yes, please answer the following:

* how often are the points redeemed?
* what are the points used for?

1. Has there been any out-of-state travel in the past fiscal year for any staff or board members which was paid in whole or in part by WIOA funds?
2. **Cost Allocation/Indirect Cost Plan**
3. Has the WDA ever received a negotiated indirect cost rate?

1. Are all funds used in the cost allocation active?
2. What is the basis used for the cost allocation?
3. If a cost pool is used, is it reduced to zero monthly?
4. Are all the funds used in the cost allocation?
5. Are costs allocated to the grant only to the extent that a benefit was received?
6. **Audits and Audit Resolutions**
7. How long has the WDA employed the existing audit firm for audit work?
8. Was the audit completed no later than nine months after the end of the WDA’s fiscal year?

**Requested Fiscal Documents**

Attach the following documents to the Desk Review Survey. Please note that each document should be a **separate file** (Please do not scan all documents into one big PDF).

***Note:*** *Please use the following naming convention when you upload the requested fiscal documents. Add the number and letter identifier prior to the title, i.e. 1a. Current Program Year Budget, 2a. Inventory/Equipment list, etc.*

1. **Budget**
2. The current Program Year Budget.
3. Board of Director minutes documenting the approval of the budget and minutes documenting any modifications.
4. Documentation showing Chief Local Elected Official (CLEO) approval of the budget.
5. The Financial report comparing budget to actual expenditures that was most recently presented and approved by the Board of Directors, please provide minutes also.
6. **Property Management**
7. Inventory/Equipment list.
8. A copy of the Director's and employee's liability insurance coverage.
9. A copy of the WDA's equipment insurance coverage.
10. **Procurement and Contract Administration**
11. Procurement policy and/or procedures—indicate most recent updates. Include Board minutes where the update(s) were approved.
12. Conflict of Interest forms for all staff.
13. A copy of a most recent sub-contract that you have with a sub-recipient (prefer WIOA DLW or Youth).
14. If any contracts expired June 30, 2021, provide letter of intent.
15. **Subrecipient Management and Oversight**
16. Current sub-award fiscal monitoring reports and guides.
17. Current subrecipient risk assessment.
18. **Records Management**

*No document required for prior submission in this section.*

1. **Personnel**
2. Personnel policies and/or procedures—indicate most recent updates. Include Board minutes where the update(s) were approved.
3. W-2s for the three (3) highest paid employees **redact social security numbers.**
4. Wage authorization/pay rate approval documentation for the 3 highest paid employees.
5. Job descriptions for the 3 highest paid employees.
6. Timecard for the three (3) highest paid employees for January, February, and March 2021.
7. Most recent organizational chart.
8. If applicable, provide the end of year calculation of sick, vacation, and PTO liability calculation.
9. **Internal Controls**

*No document required for prior submission in this section.*

1. **Written policies and procedures**
2. Financial policies and/or procedures—indicate most recent updates. Include Board minutes where the update(s) were approved.
3. **Accounting System & Cash Management**
4. Provide the following for March, April, and May 2021:
   1. Bank Statements;
   2. Bank Reconciliations;
   3. Balance Sheets;
   4. Cash draw request worksheet.
5. Profit and loss statement as of June 30, 2020 & June 30, 2021.
6. Balance sheet for the fiscal year end as of June 30, 2020 & June 30, 2021.
7. **Financial Reporting**

Transaction detail report for any Job Fair accounts, if applicable, from July 1, 2020 to June 30, 2021 [excel file]

1. **Allowable Costs and Cost Classification**
2. The following trial balances for June 30, 2021:
   1. Adult;
   2. DLW;
   3. Youth;
   4. Admin;
   5. Rapid Response- all grants (if applicable);
   6. OPIOID grants (If applicable);
   7. ASE grants (if applicable).
3. The following general ledgers from July 1, 2020 to June 30, 2021 [**excel file**]:
   1. Adult;
   2. DLW;
   3. Youth;
   4. Admin;
   5. Rapid Response- all grants (if applicable);
   6. OPIOID grants (If applicable);
   7. ASE grants (if applicable);
4. Credit card statements for March, April, and May 2021.
5. Current Chart of Accounts
6. **Cost Allocation/Indirect Cost Plan**
7. Cost Allocation Plan.
8. Cost Allocation spreadsheets for March and April 2021.
9. **Audits and Audit Resolutions**
   1. Most recent independent audit report.

**Please have the following documents available for the on-site review:**

* + 1. Procurement history file.
    2. Backup documentation for vouchers- sample.
    3. Backup documentation for credit cards.
    4. Supporting documentation for FSRs.

## PART III: Civil Rights and Equal Opportunity (CR/EO)

1. **Please respond to each question and bullet.**
2. **Ensure every uploaded file has been checked-in in SharePoint.**
3. **Include the filename(s) under every question and bullet that requires document evidence.**

**NOTE**: Where appropriate, responses should include information about services provided both in person and remotely.

Element 1: Designation of EO Officer

Reference: 29 CFR Part 38.28 through 38.33

1. Please provide the following information for the designated Local Equal Opportunity (EO): Officer:

Name:

Title/position:

Address:

Phone (Voice and TDD/TTY):

Email address:

1. To whom does the EO Officer report to?
2. Describe staffing support for the EO Officer, if any.
3. Does the EO officer perform the following job functions:

* Process complaints?
* Conduct reviews to service providers and contractors or review monitoring reports to ensure that the recipient and its contractors are not violating their nondiscrimination obligations?
* Provide EO training to staff and contractors?
* Review written policies to make sure they are nondiscriminatory?
* Develop and publish discrimination complaint procedures?
* Conducting outreach and education about equal opportunity and nondiscrimination requirements and how an individual may file a complaint?
* Undergoing training to maintain competency of the EO Officer and staff?

1. What percentage of the job description reflects the actual time devoted to execute the WDB EO/CR responsibilities?

Please attach:

1. EO Officer's job description Last revision date:
2. Org. chart showing reporting relationships Last revision date:
3. How is the EO Officer's identity made known, to participants and service providers, and how is it listed in internal and external communications? Provide examples and upload evidence.
   * Participants: Last revision date:
   * Service Providers: Last revision date:
   * Internal Communications: Last revision date:
   * External Communications: Last revision date:
4. Please upload EOO's training log, the training log should include the following fields:
5. Course title
6. Institution name or instructor
7. Beginning and ending training dates
8. Number of training hours
9. A brief course description - and how it relates to EO/CR

1. Have WDB staff members been provided EO training since the last EO on-site monitoring visit?  
    Yes  No
   * If no, explain and attach WDB's plan to provide EO training to staff
2. Have the subrecipients received EO training, either from the WDB EO Officer, internally, or from an external source?  Yes  No
   * If no, explain and attach WDB's plan to provide EO training to subrecipients

Element 2: Notice and Communication:

Reference: 29 CFR Part 38.34 through 38.39

**NOTE**: Required postings are the "Equal Opportunity is the Law" poster, the Job Center Complaint Coordinator poster, and the "You Have the Right to an Interpreter" poster. Ensure current versions are posted. Policies and procedures, such as your grievance policies/procedures and LEP policies/procedures, are not required to be physically posted in job centers but need to be available.

1. Regarding these posters please answer the following questions and attach the files for each poster, policy or notice.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Poster, policy, or notice** | **Quantity and location** | **Languages that it is posted in** | **Are printed copies of readily available, if requested by a participant** | **Are they in WDB's Website?** | **Last revision date** | **Does it contain the key specific required wording?** |
| **Equal Opportunity Policy** |  |  |  |  |  |  |
| **Equal Opportunity is the Law (DWD-DET version)**  **Is the English version of the EO is the Law posted in the employee break room?** |  |  |  |  |  |  |
| **Limited English Proficiency Policy** |  |  |  |  |  |  |
| **You Have the Right to an Interpreter "I speak card" (or other notification of assistance)** |  |  |  |  |  |  |
| **Handicap Accessible notice** |  |  |  |  |  |  |
| **Accommodation Availability** |  |  |  |  |  |  |
| **Job Center Complaint Coordinator (Complaint policy)** |  |  |  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |

1. How are individuals notified of their rights to file a complaint?
2. For English language learners, is the notice provided in the individual's preferred language?  Yes  No
3. If no, please explain how this information is communicated.
4. What equal opportunity tagline is included in brochures, pamphlets, flyers, and websites?
   1. Attach examples of brochures, pamphlets, flyers, and materials distributed or communicated in written, oral, or electronic form to applicants, staff and the general public that have appropriate EO, accessibility and language assistance taglines.
   2. If a phone number is available is TTY/TTD or Wisconsin Relay included?
   3. Are required taglines included in all materials used to provide information on programs:
   4. Recruitment materials
   5. Flyers
   6. Advertisement
   7. Broadcast
   8. Public notices
5. Attach examples of public information produced by the WDB in the past Program Year that include photographs and other pictorial displays that include and portray positive images of women, minorities, individuals with disabilities, and persons of varying age groups engaged in a variety of workplace and skilled training capacities. If the WDB produces no public information, check the box here:
6. How are staff made aware of the WDB and subrecipients of the responsibility to comply with federal laws as they relate to the Civil Rights, Equal Opportunity, Age Discrimination and Americans with Disabilities acts or laws?
   1. Explain how this information is communicated.
7. In what vital documents or communications is the Babel notice included (*Vital information* means information, whether written, oral or electronic, that is necessary for an individual to understand how to obtain any aid, benefit, service, and/or training; necessary for an individual to obtain any aid, benefit, service, and/or training; or required by law)?

Upload evidence of each document/communication.

Is the Babel notice included in the WDB's Website?

1. What efforts does the WDB make to ensure that communications with individuals with disabilities are equally as effective as communications with individuals without disabilities? (Beneficiaries, applicants, eligible applicants/enrollees, participants, applicants for employment, employee, and members of the public)?
2. Provide examples of how the WDB has communicated to its subrecipients the requirement not to discriminate on the basis of disability and the obligation to provide reasonable accommodations.

Element 3: Assurances

Reference: 29 CFR Part 38.25 through 38.27

1. Each application for financial assistance, under Title I of WIOA, as defined in § 38.4, agreements and contracts must include the required assurance language of 29 CFR Part 38.25, or a reference to it.
   1. Please upload the following documents for assurance language review or indicate if they are not applicable.
      1. Work Experience Revision date:
      2. On the Job Training Revision date:
      3. Other WIOA service provision contracts that may apply (for example Incumbent Worker Training Contracts, or Pay for Performance)
         1. Contract Name: Revision date:
         2. Contract Name: Revision date:
2. How do you make staff and participants aware of current local EO policies? i.e. nondiscrimination, affirmative action, and sexual harassment policies Please explain:

Please upload the following policies for review. If there are separate policies for participants and/or staff, please label those appropriately.

* 1. WDB's sexual harassment policy.
     1. Are staff and participants given the same policy or is there a separate policy for staff and participants?
     2. When were these policies last revised?
  2. Affirmative action policy
     1. Are staff and participants given the same policy or is there a separate policy for staff and participants?
     2. When were these policies last revised?
  3. Nondiscrimination policy
     1. Are staff and participants given the same policy or is there a separate policy for staff and participants?
     2. When were these policies last revised?

Element 4: Universal Access and Affirmative Outreach

Reference: 29 CFR Part 38.40

1. Describe efforts to conduct an annual demographic analysis of the population to be served and provide examples.
2. How does the WDB plan and conduct affirmative outreach to certain target groups (various racial and ethnic /national origin groups, religions, gender, individuals with disabilities, individuals with limited English proficiency and individuals in differing age groups)?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Outreach Activity | Protected group contacted? | Date | Example Uploaded? |
| Advertising |  |  |  |  |
| Notices to schools and community service groups |  |  |  |  |
| Consultation with minority community service groups |  |  |  |  |
| Disability, homeless, and ex-offender communities |  |  |  |  |

1. How does the WDB consult with appropriate community service groups about ways to improve its outreach and service to various populations?
2. How is information provided to individuals with limited English-speaking proficiency (LEP) in their preferred language? Explain:

Provide examples of bilingual materials:

1. In what languages, other than English, is information routinely provided within the WDA?
   1. How is it determined what information is translated?
2. What steps (signage, language line, etc.) are taken to ensure LEP individuals have universal access to services?
3. Does the WDA have a Language Assistance, LEP Plan?  Yes  No
   1. If yes, upload the plan.
4. If needed, can an American Sign Language interpreter be provided for customers?  Yes  No
   1. Explain
5. Is TDD/TTY, Relay Service, or Video Remote Interpreting (VRI) available for customers who are deaf or hard of hearing?  Yes  No
   1. Date of last staff training about how to use these services:
6. How are the required notifications provided in alternative formats for the visually impaired?
7. How do subrecipients provide programmatic and architectural accessibility for individuals with disabilities?

Element 5: Compliance with Section 504 of the Rehabilitation Act of 1973 & The Americans with Disabilities Act of 1990

Reference: 29 CFR Part 38.7 through 38.9; 29 CFR 38.54(d)(2)(v); 29 CFR Part 32 Subparts B and C

1. Does the local WDA have an ADA Self-Survey on file?  Yes  No

(The [ADA Checklist for Existing Facilities](https://www.adachecklist.org/doc/fullchecklist/ada-checklist.pdf) is the recommended process for meeting the requirements for the physical accessibility review.)

* 1. Date of last ADA survey for each location:
  2. Provide evidence of the self-survey

1. Have ADA assessments been completed for Comprehensive Job Centers and Affiliates?  Yes  No
   1. Date of last ADA survey for each location:
   2. Please provide evidence of the assessment for each center:
2. If structural changes are needed, does the local WDA have transition plans on file? If so, provide a copy. If not, indicate when a plan will be completed:
3. Do the Comprehensive Job Centers and Affiliates meet the following requirements?
   1. Is there at least one entrance to the building that is wheelchair accessible?  Yes  No If yes, does it have the international symbol for accessibility for individuals with disabilities posted?  Yes  No If no, where are these individuals directed to go? Explain:
   2. Do inaccessible entrances have signs indicating the location of the nearest accessible entrance?  Yes  No Explain:
   3. Is there an accessible path from the parking lot to the main entrance?  Yes  No Explain:
   4. Are aisles at least 36 inches wide (including classrooms)?  Yes  No Explain:
   5. Are there accessible restrooms with appropriate signage?  Yes  No Explain:
   6. Water fountains?
   7. Reception/Office areas?
4. Describe the availability of assistive equipment for individuals with disabilities.
5. Section 508 requires that Information and Communication Technology is accessible to people with disabilities. Review the following two websites related to Section 508 requirements: [US Access Board's Section 508 - ICT Guidelines and Standards website](https://www.access-board.gov/guidelines-and-standards/communications-and-it) and [Section508.gov](https://www.section508.gov/). Describe steps taken to ensure Information and Communication Technology is accessible:
6. Please describe the local WDA website in regard to its ADA accessibility. (A [WAVE](https://wave.webaim.org/) assessment, or suitable alternative, may be used to check accessibility). Indicate the most recent date that accessibility was checked.
7. Are the following efforts made to prohibit discrimination on the basis of disability in employment practices by the WDB and its subrecipients?
   1. Provide reasonable accommodations in employment, when appropriate.

Yes  No

* 1. Ensure job qualifications do not use selection criteria that screen out or tend to screen out an individual with a disability on the basis of that disability unless the criteria are job-related for the position in question and consistent with business necessity.

Yes  No

* 1. Prohibit pre-employment inquiries regarding disability, except to ask for the individual to self-identify themselves as a person with a disability on a voluntary basis for reporting purposes and that such information will be maintained confidentially.

Yes  No

1. Do the local WDB's current practices include the following efforts to prohibit discrimination based on disability in providing Title I WIOA services:
   1. Aid or perpetuate discrimination against qualified individuals with disabilities by providing significant assistance to an agency, organization, person or sub-subrecipient that discriminates on the basis of disability in providing any aid, benefit, service, or training to registrants, applicants, or participants

Yes  No Explain:

* 1. Prohibit the denial of services of a qualified individual with a disability the opportunity to participate in or benefit from a Title I WIOA aid, benefits, services, or training?  Yes  No Explain:
  2. In determining the site or location of a facility, selections are not made that have a discriminatory effect?
  3. Eligibility criteria that screen out or tend to screen out an individual with a disability or class of individuals with disabilities are not imposed, unless such criteria can be shown to be necessary for the provision of the aid, benefit, service, training, program or activity being offered?  Yes  No Explain:
  4. An individual with a disability is not required to accept an accommodation, aid, benefit, service, training, or opportunity that the individual chooses not to accept?  Yes  No Explain:
  5. Place a surcharge on a particular individual with a disability, or any group of individuals with disabilities, to cover the costs of measures, such as the provision of auxiliary aids or program accessibility  Yes  No Explain:

1. Are you aware of the obligation to operate programs or activities, so that, when viewed in their entirety, they are readily accessible to qualified individuals with disabilities, through means such as: redesign of equipment, delivery of services at alternative accessible sites, alteration of existing facilities?  Yes  No
2. How is it made known that reasonable accommodations will be provided to?
3. Participants:
4. WDB staff:
5. Have any reasonable accommodations been provided for applicants or participants with disabilities during July 1, 2021 to present?
   1. How?
   2. When?
6. Does the local WDB have a reasonable accommodation policy?  Yes  No
   1. If yes, provide a copy.

Last revision date:

Element 6: Data and Information Collection and Maintenance

Reference: 29 CFR Part 38.38 through 38.45

1. Explain how EO data is collected: race/ethnicity, sex, age, LEP status, and where known, disability status, of every applicant, registrant, participant, exited participant, terminee, applicant for employment, and employee.
   1. Please provide example of demographic data analysis completed.
2. Explain how LEP status and preferred language data is collected for each applicant, registrant, participant, and terminee.
   1. Attach LEP status and preferred language data collected from January 3, 2019 through the present.

Last date collected/analyzed:

1. How is staff made aware that EO data must be collected?
2. How is EO data collected by staff?
3. Explain how EO data is maintained and specifically address how access to this information is restricted to authorized personnel only.
4. Describe how medical and/or disability-related information is maintained separately and securely, apart from any other information about the individual and treated as confidential.
5. Attach any policies that discuss ensuring the confidentiality of EO information, including medical and disability information.

Last revision date:

Element 7: CR/EO Monitoring of Subrecipients

Reference: 29 CFR Part 38.51 and 38.53

**NOTE**: Monitoring of subrecipients for compliance with WIOA's nondiscrimination provisions may include, but is not limited to, on-site visits at Comprehensive Job Centers and Affiliates to review postings and accessibility, file review to verify that EO data is collected and properly maintained, and review of the subrecipient's programs and activities to determine if discrimination is occurring.

1. List dates of each monitoring visit conducted of the subrecipient(s) since the last DWD-DET monitoring visit. If no monitoring visits have occurred, submit a schedule of planned monitoring visits. Add rows as needed.

|  |  |  |
| --- | --- | --- |
| Subrecipient | Date of Monitoring | List EO elements reviewed during subrecipient monitoring |
|  |  |  |
|  |  |  |
|  |  |  |

1. Attach copies of monitoring documentation for each WIOA subrecipient in the last program year. Include correspondence/summary reports (if this is included in the documents for Program, please indicate the location where it has been uploaded)
2. Name and job title of individual responsible for conducting the monitoring:
   1. If the recipient subcontracts monitoring activities to another entity or other individual, provide verification that personnel conducting monitoring activities are qualified and/or training to be qualified to complete the comprehensive reviews.

☐ N/A

Element 8: Complaint Processing Procedures (requested since 2016 – other states)

Reference: 29 CFR Part 38.72 through 38.73

1. Explain how participants, including English language learners/LEP, individuals with disabilities and employees obtain a copy of the discrimination complaint policy and procedures and the discrimination complaint form.

* Are there different Complaints policy and form for participants and staff? If so, please upload both separately, labeled appropriately.
* Please provide the last revision date for the complaints policy and forms.

1. How are complainants made aware that retaliation for filing a discrimination complaint is prohibited?
2. Were any discrimination complaints filed in the past program year?  Yes  No (If no discrimination complaints were filed, skip a-c).
   1. Was the complainant provided with a written Notice of Final Action within 90 days of the date the complaint was filed? ☐ Yes ☐ No ☐ N/A
   2. How is the identity of the Complainant or any individual who furnishes information relating to, or assisting in, an investigation kept confidential to the extent possible?
   3. Attach copies of any discrimination complaints filed and all related documents (correspondence, notes, decision, and Notice of Final Action) during the last fiscal year.
   4. How are discrimination compliant records maintained?
   5. For how long?
3. Name of the WDA's Job Center Complaint Coordinator:
4. How are staff and the public made aware of the Job Center Complaint Coordinator's identity.
5. Attach the Job Center Complaint Coordinator complaint log for July 1, 2021 to present. The log must include: The name and address of the complainant; the basis of the complaint; a description of the complaint; the date the complaint was filed; the disposition and date of disposition of the complaint; and other pertinent information.

Element 9: Corrective Actions/Sanctions

Reference: 29 CFR Part 38.52

1. Describe WDB procedures if EO violations are found, either when a complaint is filed, or if violations are discovered when monitoring a subrecipient.
2. Describe any corrective actions/sanctions taken against subrecipients since the last monitoring review.
3. Attach Reports of monitoring reviews and reports of follow-up actions taken under those reviews where violations have been found, including, where appropriate, sanctions.

Technical Assistance

Please list areas in which you would like to receive technical assistance.