**Workforce Development Board Name:** Choose an item.

**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. 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 entireDesk 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.

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 SharePoint in its appropriate sub-folder.
3. Include the file name(s) and location in SharePoint under every question and bullet that requires document evidence.

Submit any questions 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) and [linda.thompson@dwd.wisconsin.gov](mailto:linda.thompson@dwd.wisconsin.gov)
  + CC: CR/EO Lead- [susana.vazquezgarcia@dwd.wisconsin.gov](mailto:susana.vazquezgarcia@dwd.wisconsin.gov)

## PART I: Program and Governance

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

1. Identify the following:
   1. Current Chief Elected Official (CEO):
      1. Appointment Date:
   2. Current Board Chair for the WDB:
      1. Appointment Date:
2. Submit versions of any of the policies below that were revised/updated since the WDB's last monitoring. Clearly indicate the months/years that the prior policies were in effect, 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.
      3. process for electronic devices and broadband services
   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
         3. Timeline
   7. Priority of Service
   8. Case Notes
   9. Oversight and monitoring of the One-Stop Operator (OSO)

Note: If including expansive documents, please indicate in which document the policy is located and the corresponding page number. If these were submitted last year, please specify where they are in SharePoint.

1. Describe the process the WDB utilizes to update and track revisions to local policy. Describe how the WDB ensures career planners are informed of updates to Federal, State, and local policy.
2. Describe the process the WDB utilizes to ensure participants' ideas, opinions, and advice are incorporated into the planning and implementation of WIOA service delivery.
3. Describe the referral, coordination, and co-enrollment process for all one-stop center partners and other grant programs (e.g., Title II, Title III, Title IV, TAA, FoodShare, STC, COW, WAI, etc.).
   1. Describe any challenges and how those challenges are being addressed.
   2. Attach any referral and/or co-enrollment forms the WDB, OSO, and/or service provider(s) have developed to facilitate coordination among programs/funding sources.

**Objective 1-B: Implementation**

1. Identify the WDB's current WIOA-funded subrecipient(s) (Adult, Dislocated Worker, Youth, and OSO).

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| --- | --- |
| Agency | Program |
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1. Provide the name, contact information, and service area(s) of the individual(s) performing OSO functions.
2. Provide the name, contact information, agency, and service area(s) of the individual(s) performing Business Services functions.
3. Describe how the WDB evaluates the effectiveness of customer service in its one-stop centers.
   1. Generally, describe the results of that evaluation, including when the last time the WDB evaluated customer service provision.
   2. What specific actions or changes were implemented as a result of this evaluation?

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

* + - 1. Describe the outreach activities the WDB/service provider(s) has conducted to reach potential Adult, Dislocated Worker, and Youth program participants.
      2. Identify assessments used in each WIOA Title 1 program and provide the purpose of the assessments.

1. Examples of "purpose" for Adult/Dislocated Worker program must include:

initial assessment of interests, skill level, education, work history, supportive service needs and potential barriers to employment/trainings; and

comprehensive assessment, which includes in-depth standardized tools

1. Examples of "purpose" for the Youth program must include collecting:
2. academic levels;
3. basic skills levels;
4. occupational skills;
5. prior work experience;
6. employability;
7. interests and aptitudes;
8. areas of strength;
9. developmental needs; and
10. service needs, including supportive services

**Adult/DW**

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| --- | --- |
| Assessment | Purpose |
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**Youth**

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| Assessment | Purpose |
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**Objective 1-D: Business Services & Employer Engagement**

1. How does the business service team engage with service provider(s) to share information regarding business needs and work-based learning activities?
2. Describe any training provided to board staff, Business Services staff, and career planners in the last Program Year related to serving businesses.
3. Describe any challenges the WDB has faced in serving employers and how those challenges are being addressed.
4. Describe the strategy for identifying and creating long-term partnerships with employers offering ["Good Jobs"](https://www.dol.gov/sites/dolgov/files/goodjobs/Good-Jobs-Summit-Principles-Factsheet.pdf) (as described in DOL's Good Jobs Principles); helping other employers to provide "Good Jobs;" and creating strategic, flexible career pathways to good jobs that respond to local labor market needs.
5. Describe the process the WDB utilizes to inform and connect participants and employers to work-based trainings (e.g., On-the Job, Incumbent Worker, and/or Customized trainings).
6. Describe the process the WDB utilizes to obtain feedback from employers who have participated in work-based training services. If applicable, what have employers identified as strengths and/or challenges with WIOA-funded work-based training services?

**Objective 1-E: Participant Services**

1. What challenges do the WDB and/or the service provider(s) face, if any, in making eligibility determinations for WIOA related programs?
2. How does the WDB monitor the career planners' effectiveness in aligning assessments to IEPs/ISSs to service delivery?
   1. Describe any effective practices the WDB and/or service provider(s) has implemented.
   2. If there are any challenges, describe how they are being addressed.
3. Describe the process the career planners use to effectively match participants' preferences, skills, and interests to available trainings.
4. Describe the process the WDB uses to ensure participants' potential barriers to employment and/or training are met through either referral to appropriate agencies or supportive services.
   1. Describe the process the WDB uses to provide career planners current information on the WDA's social service agencies and various programs.
   2. Describe any effective practices the WDB has implemented to provide WIOA-funded supportive services to participants.
   3. If any, describe any challenges in providing WIOA-funded supportive services to participants.
5. Provide a qualitative analysis of how well the WDB and/or service provider(s) conduct follow-up services. If there are any challenges, describe how they are being addressed.
6. Provide a qualitative analysis of how the 14 Youth Program Elements are used to deliver comprehensive services to youth program participants.
7. Describe how the WDB ensures youth have access to paid work experience opportunities, and how such work experiences are in industries and occupations that put youth on a career pathway to high quality jobs.

**Objective 1-F: Contract Administration**

* + - 1. Provide the location in SharePoint of any contracts that have been newly issued since last year's monitoring. If there are no new contracts this program year please indicate that below.

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 indicators, data analysis, and related reporting requirements outside of training provided by DWD (e.g., Performance Friday).
   1. Include the date, format, and scope/subject of each training.
   2. Identify any outstanding technical assistance or training needs of the WDB and/or its service providers related to performance.
2. Describe any challenges the WDB has faced in meeting their negotiated indicators of performance and how the challenges are being addressed.
3. How does the WDB ensure measurable skills gains and credentials are entered correctly and timely?
4. How does the WDB use performance indicators and other metrics to drive decision-making?
5. Share any additional metrics the WDB currently tracks at the local level. Are there additional metrics the WDB would be interested in tracking?
6. Has the WDB conducted any evaluation and/or research projects to better understand targeted outreach, customer-driven service delivery, factors that influence outcomes, or on other research questions to better understand workforce service delivery and outcomes? If yes, please share what has been conducted and the outcomes.

**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 1-H above, please state that here. There is no need to duplicate.

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

As part of DWD-DET's ongoing goal to highlight WDB innovations, we provide this opportunity for the WDB to make us aware of any innovative and outstanding projects, programs, and practices that we may not otherwise be aware of. Please use this opportunity to highlight the great things your WDB is accomplishing so DWD-DET can review, evaluate, and potentially share with other relevant stakeholders.

* 1. Identify any **innovative** practices related to Program/Governance the WDB has implemented in the past year.
     1. 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. Describe efforts the WDB has made to fully incorporate trauma-informed care principles and practices into program planning, staffing, training, and implementation.
     3. Does the WDB and/or service provider(s) currently assess participants' mental health status and what assessment is used?

If not, does the WDB have plans to assess participants' mental health status?

Describe the process the WDB and/or service provider(s) utilizes when referring participants to resources if determined necessary.

1. Attach any other materials that you would like us to review or consider prior to our arrival on-site.
2. Identify any other requests for training or technical assistance from DWD-DET.

**PART II: Fiscal**

**FISCAL DESK REVIEW SURVEY**

1. **Budget**
2. Is your accounting system able to compare budgets to actual expenditures 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.
5. Was the budget approved by the Chief Local Elected Official (CLEO)? If so, please insert the approval date.
6. How often does the staff compare actual costs to budgeted costs to ensure that the program operates within the budget?
7. How often are the budget to actuals presented to the WDA Board?
8. Were there any budget modifications to the PY23 budget?
   * If yes, provide all WDA Board meeting minutes approving the budget modifications.
9. Are bonuses and raises included in the budget planning?
   * If yes, provide documentation showing this.
10. **Property Management**
11. Since the last review, has any real property been acquired by the WDA?
12. Was any equipment ($5,000 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 a physical inventory of all equipment conducted and is it reconciled with the property records at least once every two years?
3. What methodology is used to depreciate equipment?
4. Was any equipment, purchased with WIOA funds, disposed of since the last review?
5. Are rental agreements reviewed periodically to determine if circumstances have changed and other options are available?
6. Were any intangible assets acquired and/or developed with WIOA funds?
7. **Procurement and Contract Administration**
   1. Please identify your fiscal agent if applicable?

* 1. Who prepares a Request for Proposal (RFP)?
  2. Was a Cost price analysis conducted and a minimum dollar amount of $3,500 included in the RFP for OSO duties as required by the DWD-DET? [DWD guidance issued 5-10-18]
  + When was the last OSO procurement conducted?
  + How long is the contract term (provide dates for the OSO contract)?
  1. Are you ensuring that applicants or entities submitting bids and/or proposals are disclosing, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award?
  2. When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, are the following clearly stated?
     + The percentage of the total costs of the program or project which will be financed with Federal money.
     + The dollar amount of Federal funds for the project or program.
     + The percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.
  3. What is the process for procurement activities?
  4. For the purchase of goods and/or services, what procurement methods were used?
  5. Is a cost/price analysis used?
  6. Is profit negotiated as a separate element of the price for each contract?
  7. Please specify which of the following is being used
     + Boilerplate contract
     + Subrecipient format
  8. 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.

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 assessments updated?

* + As a result of the review of risk posed by potential subrecipients, were any specific award conditions imposed as described in 2 CFR 200.208?

1. How are corrective actions plans for issues/findings resolved?
2. **Records Management**
3. How long does the WDA retain records?
   1. Are they maintained onsite or offsite?
4. If the WDA has a designated staff person with custodian of record duties, please provide name and job position.
5. Is custody of records transferred to the WDA after a sub-contract has ended or is the sub-contractor responsible for record retention?
6. **Personnel**
7. How is sensitive and confidential information collected and retained for the purposes of the grant award, including restricted access limited to necessary personnel?
8. Is vacation, sick leave, and/or paid time off accrued?
   * If yes, please identify to which accounts accruals are coded.
9. Does the WDA have incentive compensation?
   * If yes, what is based on?
10. How often are wages increased? Are they based on:
    * Cost of living adjustment?
    * Performance review?
11. Has there been a change in any key personnel positions since the last review?
12. Do board members get reimbursement for any type of expenses?
13. **Internal Controls**
14. Is access to the financial and performance reporting system limited to appropriate personnel?
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. How are physical and intangible assets safeguarded?
    1. Who has access to the blank check stash?
    2. Where is it stored?
    3. Is it always locked?

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

1. **Accounting System & Cash Management**
2. What accounting system is used?
3. Is there a policy and/or procedure in place to minimize cash on hand?
   * If yes, please provide name of policy and/or procedure and the page number.
   * If no, what processes are in place to minimize cash on hand?
4. Is there a policy and/or procedure in place for payment of non-sufficient funds, overdraft fees, and other penalties which cannot be paid using Federal funds?
   * If yes, please provide name of policy and/or procedure and the page number.
   * If no, what processes are in place for these payments?
5. Is there a policy and/or procedure 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 yes, please provide name of policy and/or procedure and the page number.
   * If no, what processes are in place to identify and recapture improper payments?
6. With regards to cash drawdowns:
   * What mechanism/tool is used to determine cash drawdowns?
   * How often are they performed?
   * Who prepares them?
   * Who reviews them?
   * Who approves them?
7. Is there a reconciliation performed between cash drawdowns and expenditures?

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

1. Is there a policy and/or procedure in place to minimize the time elapsing between cash drawdowns and subrecipient payments?
   * If yes, please provide name of policy and/or procedure and the page number.
   * If no, what process is in place?
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. **Allowable Costs and Cost Classification**
2. Were gift cards (gas cards, bus passes, etc.) purchased with WIOA funds?

If yes, please answer the following:

* How are they tracked and controlled?

1. Were any airfare tickets purchased for out-of-state travel 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**
   1. 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 Directors minutes documenting the approval of the budget.
4. Documentation showing Chief Local Elected Official (CLEO) approval of the budget.
5. Documentation showing Board of Directors approval of any budget modifications.
6. The Financial report comparing budget to actual expenditures that was most recently presented and approved by the Board of Directors.
7. **Property Management**
8. Inventory/Equipment list.
9. A copy of the Director's and employee's liability insurance coverage.
10. A copy of the WDA's equipment insurance coverage.
11. A copy of the rental lease.
12. **Procurement and Contract Administration**
13. Conflict of Interest forms for all staff.
14. A copy of a most recent sub-contract that you have with a sub-recipient (prefer WIOA DLW or Youth).
15. If any contracts expired June 30, 2023, provide letter of intent.
16. **Subrecipient Management and Oversight**
17. Current sub-award fiscal monitoring reports and guides.
18. Current subrecipient risk assessment.
19. **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. Job descriptions for the three (3) highest paid employees
5. Wage authorization/pay rate approval documentation for the three (3) highest paid employees.
6. Timecard for the three (3) highest paid employees for May and June 2023. Please ensure the timecards show hours being charged to all applicable fund sources employee worked on.
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 June 2023:
   1. Bank Statements;
   2. Bank Reconciliations;
   3. Balance Sheets;
5. Profit and loss statement for June 30, 2023.
6. Balance sheet for the fiscal year ended June 30, 2023.
7. **Financial Reporting**

Transaction detail report for any Job Fair accounts, if applicable, from July 1, 2022, to June 30, 2023 [excel file]

1. **Allowable Costs and Cost Classification**
2. The following trial balances for June 30, 2023:
   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).
   8. National Dislocated Worker Grants (if applicable)
3. The following general ledgers from July 1, 2022, to June 30, 2023 [**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);
   8. National Dislocated Worker Grants (if applicable)
4. Credit card statements for May and June 2023.Please identify the transactions related to WIOA on these statements.
5. Current Chart of Accounts
6. **Cost Allocation/Indirect Cost Plan**
7. Cost Allocation Plan.
8. Cost Allocation spreadsheets for May and June 2023.
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. 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.**
4. **Most documents/materials change annually; however, if a document/material did not change in the last program year, please indicate, in the response, where the document was uploaded last program year.**
5. **Please ensure the uploaded documents are editable so that DWD-DET can provide feedback on the documents.**

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

Element 1: Designation of EO Officer

Reference: 29 CFR Part [38.28](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-B/subject-group-ECFR0cbec595c8cf88a/section-38.28) through [38.33](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-B/subject-group-ECFR0cbec595c8cf88a/section-38.33)

1. Please provide the following information for the designated Local Equal Opportunity Officer (EOO):
2. Name:
3. Title/position:
4. Address:
5. Phone (Voice and TDD/TTY):
6. Email address:
7. To whom the EO Officer reports:
8. Please upload the EOO's training log. The training log must include the following fields:

* Course title
* Institution name or instructor
* Beginning and ending training dates
* Number of training hours
* A brief course description - including how it relates to EO/CR

1. Since the last EO monitoring, have WDB staff members been provided EO training?  
    Yes  No

* If yes, provide date(s) and topic(s)/agenda(s) of the training
* If no training has been provided since the last EO monitoring, explain, and upload the WDB's plan to provide EO training to staff.

1. Since the last EO Monitoring, have the service provider(s) received EO training from either the WDB EO Officer, or from an external source?

Yes  No

* If yes, provide date(s) and topic(s)/agenda(s) of the training
* If no training has been provided since the last EO monitoring, explain, and upload the WDB's plan to provide EO training to service provider(s).

Element 2: Notice and Communication:

Reference: 29 CFR Part [38.34](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-B/subject-group-ECFR2351868784f5294/section-38.34) through [38.39](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-B/subject-group-ECFR2351868784f5294/section-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 the WDB's grievance policies/procedures and Limited English Proficiency (LEP) policies/procedures, are not required to be physically posted in job centers but must be available if requested by a WIOA participant.

1. Please complete the table below and upload each notice and poster.

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Poster or notice** | **Location** | **Languages that it is posted/available in** | **Are printed copies readily available, if requested by a participant** | | | **Are posted on WDB's Website?** | | **Last revision date posted?** | | **Does it contain the required wording?** | |
| **Equal Opportunity is the Law Poster (DWD-DET version)** |  |  |  | | |  | |  | |  | |
| **You Have the Right to an Interpreter "I speak card" (or other notification of language assistance)** |  |  |  | | |  | |  | |  | |
| **Job Center Complaint Coordinator Poster** |  |  |  | | |  | |  | |  | |
| **Availability of Accommodations** |  |  |  | | |  | |  | |  | |
|  | | | | |  |  | |  | |  | |

1. Upload the following documents in SharePoint that were revised/updated since the last monitoring. Clearly indicate the months/years that the prior documents were in effect:
   1. Notice of Equal Opportunity and Nondiscrimination (EO Notice) Note: The content is the same as that of the EO is the Law poster.
   2. Rights and Responsibility statement.
   3. Complaints/Grievance Procedure

Element 3: Assurances

Reference: 29 CFR Part [38.25](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-B/subject-group-ECFRc266e303d57dec5/section-38.25) through [38.27](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-B/subject-group-ECFRc266e303d57dec5/section-38.27)

1. Submit versions of any of the following documents that were revised/updated since the WDB's last monitoring. Clearly indicate the months/years that the prior documents were in effect.
   * 1. Work Experience Site Agreement Revision date:
     2. On the Job Training Revision date:
     3. Other WIOA service provision contracts that may apply (for example, service provider contracts). For each contract submitted, please provide the page number where the EO Assurance is located.
2. Contract Name: Revision date:
3. Contract Name: Revision date:

Element 4: Universal Access and Affirmative Outreach

Reference: [29 CFR Part 38.40](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-B/subject-group-ECFR2351868784f5294/section-38.40)

1. How does the WDB plan and conduct affirmative outreach to specific target groups (various racial and ethnic /national origin groups, religions, age, gender, individuals with disabilities, individuals with limited English proficiency, and individuals in differing age groups)?
   * + 1. Advertising
2. Outreach activity:
3. Date:
4. Protected group contacted:
5. Example uploaded?
6. What else can be done based on this year's annual demographic analysis?
   * + 1. Notices to schools and community service groups
          1. Outreach activity:
          2. Date:
          3. Protected group contacted:
          4. Example uploaded?
          5. What else can be done based on this year's annual demographic analysis?
       2. Consultation with minority community service groups and business organizations about improving outreach and service to various populations
          1. Outreach activity:
          2. Date:
          3. Protected group contacted:
          4. Example uploaded?
          5. What else can be done based on this year's annual demographic analysis?
7. Please provide the annual LEP Plan analysis, results, and conclusions:
   1. What are the significant LEP language populations in this WDB?
   2. In what languages, other than English, is information within the WDB provided?
   3. How is it determined what information is translated?
   4. What steps (signage, social media, posted flyers, language line, etc.) are taken to ensure LEP individuals have universal access to services?
8. How are vital documents/information provided to persons with disabilities in alternate formats for:
   1. Visually impaired people?
   2. Deaf and hard of hearing people?
9. Describe how the WDB ensures equity in WIOA programs, including equitable access to services and supports, and that participants achieve equitable outcomes.
10. Describe the WDB's efforts to fully incorporate [diversity, equity, inclusion, and accessibility](https://www.dol.gov/sites/dolgov/files/goodjobs/Good-Jobs-Summit-Principles-Factsheet.pdf) principles and practices into program planning, staffing, training, and implementation.

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. What are the dates of the ADA assessments completed for Board Offices and each of the comprehensive and affiliate Job Centers? (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. Upload the most recent ADA checklist for Board Offices and each of the comprehensive and affiliate Job Centers.
   2. If structural changes are needed, upload a copy of the transition plan(s). If no transition plan(s) have been developed, indicate when they will be developed.
2. Describe the availability of assistive technology and alternate formats for individuals with disabilities.
3. How are participants made aware that reasonable accommodations will be provided?

Element 6: Data and Information Collection and Maintenance

Reference: 29 CFR Part [38.38](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-B/subject-group-ECFR2351868784f5294/section-38.38) through [38.45](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-B/subject-group-ECFR1473fc64030d6d2/section-38.45)

1. Did the EO Officer conduct an annual statistical analysis of EO data or quantifiable analysis of the applicant, participant, and exited participant's race/ethnicity, sex, age, LEP status, and where known, disability status by the individual program for the most recently completed program year? Yes  No
   1. If so, please upload the WDB annual demographic data analysis, results, and conclusions (broken down by race/ethnicity, sex, age, LEP status, and where known, disability status of every program applicant, participant, and exited participant).

Date of data collection/analysis:

* 1. What actions has the WDB taken as a result of the annual analysis?
  2. What future actions does the WDB plan to take?

1. Submit versions of any policies that ensure EO information confidentiality, including medical and disability information, that were revised/updated since the WDB's last monitoring.  Clearly indicate the months/years that the prior policies were in effect.

Element 7: WDB Monitoring of Subrecipients for CR/EO Compliance

Reference: 29 CFR Part [38.51](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-C/section-38.51) and [38.53](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-C/section-38.53)

1. Upload copies of annual EO/CR monitoring documentation for each WIOA service provider identified in *Objective 1-B: Implementation* Questions *1* and 2 that were revised/updated since the WDB's last monitoring, including correspondence/summary reports. (If this is included in the documents for Program/Governance, please indicate the location where it has been uploaded in SharePoint.)

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

Reference: 29 CFR Part [38.72](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-D/subject-group-ECFR1174db636269e7b/section-38.72) through [38.73](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-D/subject-group-ECFR1174db636269e7b/section-38.73)

1. Explain how participants, including individuals who are English Language Learners/ LEP and people with disabilities, obtain a copy of the discrimination complaint policy and procedures and the discrimination complaint form.
   1. Are there different Complaints policies and forms for participants? If so, please upload both separately, labeled appropriately.
   2. Please upload the complaints procedure and forms that were revised/updated since the WDB's last monitoring. Clearly indicate the months/years that the prior documents were in effect.
2. How are complainants made aware that retaliation for filing a discrimination complaint is prohibited?
3. Upload the Job Center Complaint Coordinator complaint log(s) from July 1, 2022, to present. The log(s) 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.
4. For any discrimination complaints filed in the past program year, upload copies of the complaint(s) and all related documents (correspondence, notes, decision, and Notice of Final Action).

Element 9: Corrective Actions

Reference: [29 CFR Part 38.52](https://www.ecfr.gov/current/title-29/subtitle-A/part-38/subpart-C/section-38.52)

1. Describe any corrective actions assigned to subrecipients since the last monitoring review.
2. Upload Reports of monitoring reviews and reports of follow-up actions taken under those reviews where violations have been found.

INNOVATION: The "I" in WIOA

As part of DWD-DET's ongoing goal to highlight WDB innovations, we provide this opportunity for the WDB to make us aware of any innovative and outstanding projects, programs, and practices that we may not otherwise be aware of. Please use this opportunity to highlight the great things your WDB is accomplishing so DWD-DET can review, evaluate, and potentially share with other relevant stakeholders.

1. Identify any **innovative**practices in the area of EO/CR the WDB has implemented in the past year.
   1. 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 you would like us to review or consider before our arrival on-site.
3. Identify any other requests for training or technical assistance from DWD-DET.