**2025-26 COORDINATED MONITORING GUIDE – DESK REVIEW SURVEY**

Program/Governance, Fiscal, & Equal Opportunity/Civil Rights

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

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

**Purpose:**

* The Desk Review Survey helps ensure that DWD-DET has the most current information about local Workforce Development Boards prior to the start of annual monitoring.

**Instructions:**

* Respond to each question and bullet below.
* Please provide the most current, in-use information and documents; submission of draft documents or those pending board approval is not necessary.
* Ensure every uploaded file has been checked in SharePoint in its appropriate sub-folder.
* Include the file name(s) and location in SharePoint under every question and bullet that requires document submission.
* For documents with tables, please add additional rows as necessary.

**Due date:**

* TheDesk Review Survey must be completed and uploaded to the appropriate [WDA SharePoint folder](https://dwd-sps.wisconsin.gov/wijcb/WDA%20Documents/Forms/AllItems.aspx) at least twenty (20) business days prior to the first day of scheduled monitoring.
* **Note:** Failure to do so may result in a Finding.

**Questions? Email:**

* Program Lead: WIOA Local Program Liaison assigned to your WDA
* Governance Lead: sean.jackett1@dwd.wi.gov
* Fiscal Lead: katherine.dedrick@dwd.wi.gov or linda.thompson@dwd.wi.gov
* EO/CR Lead: susana.vazquezgarcia@dwd.wi.gov

## PART I: Program/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:

[ ] No changes since 2024-25Monitoring

1. Describe the process used to educate a new CEO or Board Member of WDB required functions. If applicable, upload current training materials.

[ ] No changes since 2024-25Monitoring

1. Submit copies of any new or revised policies since the prior monitoring. If not listed within the policy, indicate the date that each policy was or is in effect. If including expansive documents, indicate in which document the policy is located and the corresponding page number(s).

|  |  |  |  |
| --- | --- | --- | --- |
| Policy | Effective Date | SharePoint Link | Page # |
|  |  |  |  |
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[ ] No changes since 2024-25Monitoring

1. Did the WDB implement a waitlist for WIOA Title I services during the program year? If yes, please describe:
	1. The program(s) and population(s) affected (e.g., Youth, Adult, DW) and effective date(s).
	2. The criteria used to initiate the waitlist.
	3. How individuals placed on the waitlist are tracked, updated, and re-engaged over time.
	4. Any challenges experienced or strategies used to maintain equitable access while the waitlist was active.

[ ] No waitlist was in place during the program year

1. How did the WDB develop its strategic approach to accomplish WIOA goals?
	1. What organizations did they consult, or what partners provided input?
	2. What are the key priorities and goals of the WIOA programs in the WDB's area?
2. Describe how the WDB utilizes policies, systems, and service design to reduce duplication, maximize the reach of resources, ensure appropriate customer service across funding streams, and reduce administrative overhead.
3. How does the WDB assure customer access to the full range of services (e.g., policies regarding customer flow, coordination requirements, co-enrollment processes for all one-stop center partners and other grant programs, etc.)?

*Objective 1-B: Implementation*

1. List any notable training provided to board staff, business services staff, career planners, and other service provider staff in the last program year.

|  |  |  |  |
| --- | --- | --- | --- |
| Training Topic | Date | Delivery Format | Staff/Audience |
|  | Click or tap to enter a date. | Choose an item. |  |
|  | Click or tap to enter a date. | Choose an item. |  |
|  | Click or tap to enter a date. | Choose an item. |  |
|  | Click or tap to enter a date. | Choose an item. |  |

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

|  |  |
| --- | --- |
| Agency | Program |
|  |  |
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[ ] No changes since 2024-25Monitoring

1. Provide the name, contact information, and service area(s) of the individual(s) performing OSO functions.

[ ] No changes since 2024-25Monitoring

1. Submit the OSO contract(s).
2. Provide the name, contact information, agency, and service area(s) of the individual(s) performing Business Services functions.

[ ] No changes since 2024-25Monitoring

*Objective 1-C: Products & Deliverables*

1. Describe outreach activities the WDB/service provider(s) conducted to reach potential Adult, Dislocated Worker, and Youth program participants.
	1. Which target barriered populations, e.g., Low-income, Basic Skills Deficient, or English Language Learners, has the WDB/subrecipient focused its recruiting efforts on?
2. Describe WDB/service provider strategies to ensure participants stay active in the program.

[ ] No changes since 2024-25Monitoring

1. Identify assessments used in each WIOA Title I program and describe the assessment's purpose.
2. Examples of "purpose" for Adult and/or Dislocated Worker program must include:

An Initial Assessment (required elements provided within [Ch. 8.4.2](https://dwd.wisconsin.gov/wioa/policy/08/08.4.htm#sectionTwo)); and

A Comprehensive Assessment (required elements provided within [Ch. 8.4.3](https://dwd.wisconsin.gov/wioa/policy/08/08.4.htm#sectionThree)).

1. Examples of "purpose" for the Youth program must include:
	* 1. An Objective Assessment (required elements provided within [Ch. 10.2.3](https://dwd.wisconsin.gov/wioa/policy/10/10.2.htm#sectionThree)).

Adult & Dislocated Worker

|  |  |
| --- | --- |
| Assessment | Purpose |
|  |  |
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|  |  |
|  |  |

[ ]  No changes since 2024-25 Monitoring

Youth

|  |  |
| --- | --- |
| Assessment | Purpose |
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[ ] No changes since 2024-25Monitoring

1. As provided within WIOA sec. 107(e), the Local Board must openly conduct its business by regularly making available to the public, through electronic means and open meetings. State where the WDB publicizes/posts items required under [State Open Meetings Law](https://docs.legis.wisconsin.gov/statutes/statutes/19/V/81) and [Ch. 1.4.7](https://dwd.wisconsin.gov/wioa/policy/01/01.4.htm#sectionSeven).

|  |  |
| --- | --- |
| Local WDB Materials | Description of Posting and/or URL |
| Information & Modification of the Local Plan |  |
| List of Local WDB Members & Affiliations |  |
| Local WDB Meeting Notices |  |
| Local WDB Minutes of Formal Meetings |  |
| Local WDB By-laws |  |

1. Provide any local policies/procedures or describe the process employed by the local WDB to ensure information regarding its activities are posted timely.

*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? What notable or actionable items have come out of these engagements?

[ ] No changes since 2024-25Monitoring

1. 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?

[ ] No changes since 2024-25Monitoring

1. Describe any challenges the WDB has faced in serving employers and how those challenges are being addressed.

[ ] No changes since 2024-25Monitoring

*Objective 1-E: Participant Services*

1. Provide a qualitative analysis of how the following 14 Youth Program Elements are used to deliver comprehensive services to youth program participants. Please highlight any successes or challenges experienced in offering these services.

|  |  |
| --- | --- |
| Youth Program Element | Provision Description & Challenges &/or Difficulties |
| [Tutoring, study skills training, instruction, & evidence-based dropout prevention and recovery strategies](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+1) |  |
| [Alternative secondary school services or high school dropout recovery services](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+2) |  |
| Paid & unpaid [work experience](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+3) |  |
| [Occupational skills training](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+4) |  |
| [Education offered concurrently with and in the same context as workforce preparation and training](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+5) |  |
| [Leadership development opportunities](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+6) |  |
| [Supportive services](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+7) |  |
| [Adult mentoring](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+8) |  |
| [Comprehensive guidance & counseling](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+9) |  |
| [Financial literacy education](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+10) |  |
| [Entrepreneurial skills training](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+11) |  |
| [Career Awareness, Career Exploration, & Career Counseling](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+12); |  |
| [Postsecondary preparation & transition activities](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+13) |  |
| [Follow-up services](https://dwd.wisconsin.gov/wioa/policy/10/10.5.htm#sectionThree+14) |  |

1. 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.
	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.
2. Describe how the WDB and/or service provider(s) ensure participants are aware of the array of supportive services available to them as described in the WDB's local policy.
3. Describe the strategies the WDB/service provider(s) utilizes to improve participant retention and successful completion of their WIOA journey.

*Objective 1-F: Contract Administration*

* + - 1. Identify and submit any contracts revised or newly issued since last year's monitoring.

*Note: If the Board uploaded these documents in the Program/Governance or EO/CR sections, please indicate the filename(s) and file location(s).*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Contract | SharePoint URL | Statement of Work – page # | Performance Metrics – page # | Monitoring Methods – page # |
| *Example: ABC WIOA Youth Contract PY24* | *Example:* [*https://dwd-sps.wisconsin.gov/wijcb/WDA%20Documents*](https://dwd-sps.wisconsin.gov/wijcb/WDA%20Documents) | *p. 5* | *pp. 10-12* | *p. 15* |
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[ ] No changes since 2024-25Monitoring

*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., Data Lifecycle Training Series).
	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. Share any additional metrics the WDB currently tracks at the local level. Are there additional metrics the WDB would be interested in tracking?

*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. In cases where it exists, how does the WDB identify, monitor, and address any missed opportunities for serving referred individuals (e.g., due to lack of funding or coordination gaps)?
10. 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. List below the PINs that were monitored in the most recent WDB monitoring (add additional rows as needed):

|  |  |  |
| --- | --- | --- |
| **Program** | **PIN** | **Date Monitored** |
| Choose an item. |  |  |
| Choose an item. |  |  |
| Choose an item. |  |  |
| Choose an item. |  |  |
| Choose an item. |  |  |
| Choose an item. |  |  |
| Choose an item. |  |  |

*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 that 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.
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.
3. Identify any suggestions or opportunities for improvement for DWD-DET.

## PART II: Fiscal

*Budget*

1. Is your accounting system able to compare budgets to actual expenditures within the system?
2. Are budgets being entered into the accounting system and updated regularly?
3. Describe what steps are taken during the budgeting process to ensure the WDB achieves the:
	* 35% Expenditures Goal (direct-to-participant costs) for Adult/Dislocated Worker program funds
	* 20% work experience expenditure requirement for Youth program funds
4. Was the PY24 budget approved by the WDA Board of Directors for July 1, 2024-June 30, 2025? If yes, please insert the approval date.
5. Was the PY24 budget approved by the Chief Local Elected Official (CLEO)? If yes, 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 of Directors?
8. Were there any budget modifications to the PY24 budget?
	* If yes, provide all WDA Board of Directors meeting minutes approving the budget modifications.
9. Are budget modifications requested and approved prior to expenditure?
10. Are bonuses and raises included in the budget planning?

*Property Management*

1. Since the last review, has any real property been acquired by the WDA?
2. Was any equipment that cost $5,000 or more purchased with WIOA funds?

If yes, please 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 policies/procedures are in place for the acquisition, management, and disposition of equipment purchased with WIOA funds? Please specify where these policies/procedures are located in the financial manual.
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 method is used to depreciate equipment?
4. How is the life expectancy of assets determined?
5. Was any equipment purchased with WIOA funds disposed of since the last review?
6. Are rental agreements reviewed periodically to determine if circumstances have changed and other options are available?
7. Were any intangible assets acquired and/or developed using WIOA funds?

*Procurement and Contract Administration*

* 1. 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. Who prepares a Request for Proposal (RFP)?
2. What process is in place to ensure procurement activities are conducted in a manner that promotes full and open competition and does not restrict competition?
3. What process is in place to ensure 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?
4. Are contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals excluded from competing for such procurements?
5. Does the WDA take affirmative steps to assure that minority businesses, women’s business enterprises, and labor surplus area firms are used when possible?
6. 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.
7. What is the process for procurement activities?
8. Is a cost or price analysis performed for the procurement of goods or services in excess of the simplified acquisition threshold ($250,000)? Is cost or price analysis documented in the policies and/or procedures?
9. Is profit negotiated as a separate element of the price for each contract?
10. Provide a list of subawards. For each, indicate whether they were chosen by:
* RFP process this year
* Noncompetitive (sole source) procurement

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Subcontractor Name**  | **Amount of Funding** | **Purpose of Subcontract** | **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 |  |

* Contract renewal

Please 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. Are there policies and procedures in place regarding noncompliance for subrecipients that include the actions outlined in 2 CFR §200.339(a-f)?
	* 1. If yes, where are these policies/procedures documented in the financial manual?
2. If the WDA decided to terminate the subaward early, were the actions outlined in 2 CFR 200.340 and 200.341 followed?

*Subrecipient Management and Oversight*

1. What written procedures and evaluation factors are used in selecting subrecipients?
2. What procedures are in place to ensure the subrecipient is not debarred or suspended prior to making a subaward?
* Is SAM.gov checked as part of this process?
1. What policies and procedures, tools, and resources are in place for subrecipient monitoring/oversight?
2. Did any subrecipients expending $1,000,000 or more in Federal awards have a single or program-specific audit performed?
	* If yes, were single audits obtained from the subrecipients?
3. Was a risk assessment completed for all 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 action plans for issues/findings resolved?

*Records Management*

1. How long does the WDA retain records?
	* Are records maintained onsite or offsite?
2. If the WDA has a designated staff person with custodian of record duties, please provide the individual's name and title.
3. Is custody of records transferred to the WDA after a subaward has ended or is the subrecipient responsible for record retention?

*Personnel*

1. How is sensitive and confidential information collected and retained for the purposes of the grant award, including restricted access limited to necessary personnel?
2. Is vacation, sick leave, and/or paid time off accrued?
	* If yes, please identify to which accounts accruals are coded.
3. Does the WDA have incentive compensation?
	* If yes, what is incentive compensation based on?
4. How often are wages increased? Are they based on:
	* Cost of living adjustment?
	* Performance review?
5. Have there been any changes in any key personnel positions since the last review?
6. Are WDA Board of Directors members reimbursed for expenses? If yes, please identify reimbursable expenses.
7. Is 100%-time reporting required for all staff?
	* If no, how does the WDA ensure that all employee time is accurately documented and charged to applicable grants?

*Internal Controls*

1. Please identify your fiscal agent, if applicable.
2. Is access to the financial and performance reporting system limited to appropriate personnel?
	1. If yes, how is access limited?
3. Identify the staff responsible for the following:
	1. If function not applicable, please indicate

|  |  |  |
| --- | --- | --- |
| **Function** | **Name** | **Title** |
| Makes/records deposits |  |  |
| Prepares bank reconciliations |  |  |
| Adds new vendors to the accounting system |  |  |
| Approves purchase orders |  |  |
| Approves invoices |  |  |
| Allocates costs |  |  |
| Records disbursements |  |  |
| Holds blank checks |  |  |
| Prepares checks |  |  |
| Signs checks |  |  |
| Distributes payroll checks to staff |  |  |
| Distributes checks to vendors |  |  |
| Maintains petty cash |  |  |
| Maintains inventory/property records |  |  |
| Certifies staff time & attendance records |  |  |
| Authorizes payroll for new hires |  |  |

1. Are accounting duties separated so that no one individual has complete authority over an entire financial transaction?
2. If the staff member responsible for deposits is the same person who reconciles the bank account(s), how is appropriate internal control maintained?
3. If the staff responsible for handling petty cash is the same person who approves cash receipts, how is appropriate internal control maintained?
4. How are physical and intangible assets safeguarded?
5. Who has access to the blank check stock?
	* Where is the blank check stock stored?
	* Are blank checks always stored in a locked location?
	* Who is authorized to sign checks and briefly describe the process?
	* Is a check register or cash disbursement journal printed with or after each check run?
		+ If yes, who reviews and signs off on this?
6. Does the WDA have a signature stamp?
	* If yes, what is the signature stamp used for?
	* Where is the signature stamp stored and who has access to it?
7. Is an inventory of bus tokens, gas cards, debit cards, etc. maintained for participants?
	* If yes, how are these items safeguarded and tracked to prevent unauthorized use?
	* If participant provided assets are maintained, how frequently is an inventory of these items performed?
8. Please provide the names and titles of staff members who have corporate credit cards to which WIOA expenses are charged.

*Written Policies and Procedures*

1. Have any of the WDA policies and/or procedures been updated since the last review?
2. What processes are in place for policy and/or procedure updates?
3. How frequently are fiscal policies and procedures reviewed and updated?
4. Does the WDA have written internal management procedures related to preventing and detecting fraud, waste, abuse, or other criminal activity?
	* If no, please explain how the WDA ensures allegations are recognized, detected, and promptly reported to DOL?

*Accounting System & Cash Management*

1. What accounting system is used?
2. Please describe the current cash management methodology (e.g., reimbursement, forecasting, just-in-time, etc.).
	* If the WDA operates on a cash reimbursement method, please identify the source of funds used in lieu of WIOA funds to initially pay for WIOA costs.
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. Please identify the source documents and the process used to substantiate cash reimbursement requests (e.g., receipts, requisitions, travel expense reports, billing statements, etc.).
5. Is there a policy and/or procedure in place for payment of insufficient 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?
6. 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?
7. Were any improper payments identified and recaptured during the program year?
8. Regarding 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?
9. Is there a reconciliation performed between cash drawdowns and expenditures?
* How frequently is a reconciliation performed and how frequently is the reconciliation 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. Regarding bank reconciliations:
	* Who prepares the bank reconciliation?
	* Who reviews and approves the bank reconciliation?
	* How is review and approval of the bank reconciliation denoted?

*Financial Reporting*

1. Does the WDA earn program income?
	* If yes, what type of program income is earned?
2. Do bank cash balances exceed the FDIC-insured amount of $250,000?
* If yes, is there a collateral agreement or other arrangement with the bank to cover the excess? Please identify the agreement.
1. Does the WDA have a line of credit?

If yes, please answer the following:

* + Please identify the line of credit amount.
	+ Has the line of credit been accessed in the past year?
	+ Are any costs for the line of credit charged to WIOA?
		1. If yes, please identify.

*Allowable Costs and Cost Classification*

1. How does the WDA ensure the grant is not charged unallowable costs based on applicable cost principles and provisions of the grant agreement?
2. Is the WDA fiscal staff aware of which costs are allowable, allowable under certain conditions, or unallowable?
3. How does the WDA ensure that expenditures are being charged to the appropriate funding source?
4. What types of costs make up the accruals charged to federal grants (e.g., salaries, benefits, rent, contract services, etc.)?
5. Were any airfare tickets purchased for out-of-state travel paid in whole or in part by WIOA Funds?

*Cost Allocation/Indirect Cost Plan*

1. Has the WDA ever received a Negotiated Indirect Cost Rate?
2. Does the WDA use a cost allocation plan?
3. Does the WDA use the de minimis rate for allocating costs?
	* If yes, how is the MTDC calculated?

1. Are all funds used in the cost allocation active?
2. What is the basis of allocating salaries and benefits?
3. What is the basis of allocating space use and utilities?
4. What is the basis of allocating supplies and other routine expenses?
5. How often is the cost allocation plan reviewed and updated?
6. If a cost pool is used, is it reduced to zero monthly?
7. Are costs allocated to the grant only to the extent that a benefit was received?

*Audits and Audit Resolutions*

* 1. Does the WDA have procedures in place to comply with the single audit and financial audit requirements?
	2. Please specify the date the last independent audit was issued and the time period for which the audit report was issued?

*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 a single 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. WDA Board of Directors minutes documenting the approval of the PY24 budget.
4. Documentation showing Chief Local Elected Official (CLEO) approval of the PY24 budget.
5. Documentation showing WDA Board of Directors approval of any budget modifications, if applicable.
6. Documentation showing employee raises and bonuses were included in the WDA Board of Directors budget approval, if applicable.
7. The financial report comparing budget to actual expenditures that was most recently presented and approved by the WDA Board of Directors.
8. **Property Management**
9. Inventory/equipment list.
10. A copy of the director's and officer's liability insurance coverage.
11. A copy of the equipment insurance coverage. Please note, equipment is typically covered under a property insurance policy.
12. A copy of the rental lease(s).
13. **Procurement and Contract Administration**
14. Conflict of Interest forms for all staff and board members.
15. A copy of a most recent subcontract that you have with a subrecipient (prefer WIOA DLW or Youth).
16. If any contracts expired June 30, 2025, provide letters of intent.
17. **Subrecipient Management and Oversight**

*Note: If the Board uploaded these documents in the Program/Governance or EO/CR sections, please indicate the filename(s) and file location(s).*

1. Current policies and procedures for monitoring subrecipients.
2. Most recent subaward fiscal monitoring reports and single audits, if applicable.
3. Results of most recently completed subrecipient risk assessment.
4. **Records Management**

 a. Records retention schedule, if available.

1. **Personnel**
2. Personnel policies and/or procedures. Please indicate when/if most recent updates were made to personnel policies/procedures and include WDA Board of Directors minutes where the update(s) were approved.
3. W-2s for the three (3) highest paid employees working on the WIOA grants for calendar year 2025. Please **redact social security numbers.**
4. Job descriptions for the three (3) highest paid employees in letter b above.
5. Wage authorization/pay rate approval documentation for the three (3) highest paid employees in letter b above.
6. Timecard for the three (3) highest paid employees identified in d. above for September 2024 and June 2025. Please ensure the timecards show hours being charged to all applicable fund sources employee worked on.
7. Pay stubs and payroll registers or journal that related to the September 2024 and June 2025 timecards submitted for letter e above.
8. Most recent organizational chart.
9. Year-end calculation of sick, vacation, and PTO liability calculation, if applicable.
10. **Internal Controls**

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

1. **Written policies and procedures**
2. Financial policies and/or procedures. Please indicate when/if most recent updates were made to financial policies/procedures and include WDA Board of Directors minutes where the update(s) were approved.
3. **Accounting System & Cash Management**
4. Provide the following for the fiscal year ended June 30, 2025:
	1. Bank Statement(s)
	2. Bank Reconciliation(s)
	3. Balance Sheet
	4. Statement of Activities (profit & loss statement)
5. **Financial Reporting**

 Transaction detail report for any Job Fair accounts, if applicable, from July 1, 2024, to June 30, 2025 [Excel file]

1. **Allowable Costs and Cost Classification**
2. The following trial balances for June 30, 2025:
	1. Adult
	2. DLW
	3. Youth
	4. Admin
	5. Rapid Response- Annual Allotment
	6. Rapid Response- Additional Assistance (if applicable)
	7. Rapid Response- Dislocation Grant (if applicable)
	8. FORWD grant (if applicable)
	9. QUEST (if applicable)
	10. WAI (if applicable)
3. The following general ledgers from July 1, 2024, to June 30, 2025 [**Excel file**]:
	1. Adult
	2. DLW
	3. Youth
	4. Admin
	5. Rapid Response- Annual Allotment
	6. Rapid Response- Additional Assistance (if applicable)
	7. Rapid Response- Dislocation Grant (if applicable)
	8. FORWD grant (If applicable)
	9. QUEST (If applicable)
	10. WAI (If applicable)
4. Credit card statements for September 2024 and June 2025.Please identify/highlight the transactions related to grants listed in 11a and 11b above on these statements.
5. Current Chart of Accounts
6. **Cost Allocation/Indirect Cost Plan**
7. Cost Allocation Plan.
8. Cost Allocation spreadsheets for September 2024 and June 2025.
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.
		3. Supporting documentation for cash draw downs.

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

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

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

*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, or forms of FCC-approved telecommunications relay systems, including internet-based relay systems):
6. Email address:
7. To whom the EO Officer reports:
8. Please upload the EOO's training log covering the period from July 1, 2024, to the present.

1. Since the last EO/CR monitoring, have WDB staff members received EO/CR training?
[ ]  Yes [ ]  No
2. If yes, provide the date(s) and topic(s)/agenda(s) of the training session(s).
3. If WDB staff have not received training since the last EO/CR monitoring, explain and upload the WDB's plan for future EO/CR training.
4. Since the last EO/CR monitoring, have the service provider(s) received EO/CR training from either the WDB's EO Officer or an external source?

[ ]  Yes [ ]  No

1. If yes, provide the date(s) and topic(s)/agenda(s) of the training.
2. How does the Board ensure that both Board and Job Center staff are fully aware of their non-discrimination and equal opportunity responsibilities?

*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**: The required postings are the "Equal Opportunity is the Law", "Job Center Complaint Coordinator", and the "You Have the Right to an Interpreter" posters. Ensure the most current versions are displayed. While documents like the WDB's complaint procedure and Limited English Proficiency (LEP) plan/procedure do not need to be physically posted in job centers, they must be available upon request.

1. Please complete the table below.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Poster or Notice** | **Location** | **Languages in which it is posted/available** | **Are printed copies readily available upon request.** | **Are they posted on the WDB's Website?** | **What is the date of the currently posted version?****For the "You Have the Right to an Interpreter" poster, verify it was printed on or after 12/12/24 and that the new date fully covers the old one.** | **Does it include the required wording?**  | **Do the posted posters and documents include the names of the current local WDB, DWD-BWT EO Officers, and JCCC Coordinator as required in each document?** |
| **Equal Opportunity is the Law Poster (DWD-DET Edition)** |  |  |  |  |  |  |  |
| **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. Submit versions of any of the following documents that were revised or updated since the WDB's last monitoring. Clearly indicate the effective dates (month/year) of both the previous and revised policies:
2. Notice of Equal Opportunity and Nondiscrimination (EO Notice)
	* Note: The content is the same as that of the "EO is the Law" poster.
3. Rights and Responsibility Statement.
4. Complaints/Grievance Procedure.
5. The following is a non-exhaustive list of examples of documents and information considered vital, and therefore require the inclusion of the Babel Notice. Based on the examples below, please provide a comprehensive list of all vital documents created and deemed vital by the WDB, including but not limited to the following:
6. Applications
7. Consent forms
8. Complaint Procedure and forms
9. Notices of rights and responsibilities and EO Notice
10. Notices advising individuals with LEP about their rights and informing them that free language assistance is available
11. Rulebooks
12. Written tests that check if someone is qualified for a license, job, or skill, when knowing English is not part of what is being tested.
13. Letters or notices that require a response from participants served.

*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)

Submit versions of any of the following documents that were revised or updated since the WDB's last monitoring. Clearly indicate the effective dates (month/year) of both the previous and revised policies.

1. Work Experience Site Agreement Revision date:

1. On the Job Training Revision date:
2. Other relevant WIOA service provision contracts (e.g., service provider contracts). For each contract submitted, specify the page number where the EO Assurance is located. If these contracts were uploaded in response to the Fiscal section (Procurement and Contract Administration), please provide the filename.
3. Contract Name: Revision date:
4. 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. Upload the annual EO/CR statistical or other quantifiable data analysis (by race/ethnicity, sex, limited English proficiency, preferred language, age, and disability status), by participant program for the most recently completed program year. Please include the program year and date the analysis was completed.
	1. If not already included, list the significant language populations in the WDA.
	2. If a separate analysis for individuals with limited English proficiency was conducted, please upload those results.
2. Based on the analysis above, answer the following questions:

1. **Identification of Underserved Populations**
2. How does the Board use the annual demographic analysis to identify underrepresented or disadvantaged groups in the service area?
3. What service disparities or access barriers have been identified, and what steps are being taken to address them?
4. What strategies are in place to expand access to workforce development services for underserved populations?
5. **Targeted Outreach Evaluation and Planning Framework**

For each category below, describe planned outreach activities aimed at specific protected groups (e.g., by race/ethnicity, sex, limited English proficiency, preferred language, age, and disability status):

* + 1. Advertising

1. Outreach activity:
2. Date:
3. Protected group to be contacted:
4. Upload example:
	* 1. Notices to schools and community service groups
			+ 1. Outreach activity:
				2. Date:
				3. Protected group to be contacted:
				4. Upload example:
5. 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 to be contacted:
				4. Upload example:
6. **Evaluation of Outreach Activities Since Last Year's Monitoring**
7. What metrics or methods are being used to measure the impact of those initiatives?
8. What partnerships with community organizations have been most effective in improving engagement with underserved populations and why?
9. How are outreach materials and strategies adapted to meet the needs of individuals with limited English proficiency, disabilities, or other barriers?
10. **Overall Measures**
11. How does the Board evaluate the overall effectiveness of its Equal Opportunity programs and general outreach efforts, particularly in serving minority and protected groups?
12. What benchmarks/goals are used to track progress and measure outcomes related to Equal Opportunity goals, if applicable?

*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. Upload the most recent ADA Assessment for the Board Offices and each comprehensive and affiliate Job Center, along with the dates of the ADA assessments completed for these locations. (The [ADA Checklist for Existing Facilities](https://www.adachecklist.org/doc/fullchecklist/ada-checklist.pdf) is the recommended process for conducting the physical accessibility review).
2. If the building(s) require structural changes or upgrades, upload a copy of the transition plan(s). If no transition plan(s) have been developed, specify when the Board plans to create them.
3. Submit any changes or additions to assistive technology and alternative formats for individuals with disabilities since the WDB's last monitoring.
4. What specific aids or services does the Board provide for individuals who are deaf, hard of hearing, or have speech disabilities (e.g., TTY/TDD, relay service, or alternative aids):
5. For individuals who visit the job center?
6. For individuals who call the job center?
* Are these specific aids and services listed in all materials that inform individuals they can contact the Local Board/Service Provider/ Job Center by telephone?
1. How are individuals visiting job centers informed that accommodations are available for those with disabilities to ensure equal access to programs and services?
2. How does the Board ensure that its website and those of its service providers are accessible?

*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)

Submit versions of policies addressing the confidentiality of participants' medical and disability information that were revised/updated since the WDB's last monitoring. Clearly indicate the effective dates (month/year) of both the previous and revised policies.

*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)

Upload copies of annual EO/CR monitoring documentation (including monitoring survey tools and reports) for each WIOA service provider. If these documents were uploaded in the Program/Governance section (Objective 1-H: Subrecipient Management & Oversight), please specify the filename(s).

*Element 8: Complaint Processing Procedures*

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. How are staff trained to recognize and respond to early signs of dissatisfaction including those that may involve discrimination?
2. What does staff do to address concerns appropriately and prevent potential escalation?
3. Upload complaint procedure and/or complaint forms that were revised/updated since the WDB's last monitoring. Clearly indicate the effective dates (month/year) of both the previous and revised versions.
4. If service providers have their own complaint procedures in addition to those of the WDB, upload those as well.
5. Upload the Job Center Complaint Coordinator complaint log(s) from July 1, 2024, to the present.
6. For any discrimination complaint filed in the past program year, upload copies of the complaints and all related documents (correspondence, investigation 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)

Describe any corrective actions assigned to subrecipients since the last monitoring review that are not included in the monitoring report(s) submitted in Element 7.

*INNOVATION: The "I" in WIOA*

As part of DWD-DET's ongoing effort to highlight WDB innovations in Equal Opportunity, Civil Rights, and Accessibility, we invite you to share any outstanding projects, programs, or practices that the WDB has implemented that we may not be aware of. This is an opportunity to showcase the Board’s efforts to advance equal opportunity and accessibility so DWD-DET can review, evaluate, and potentially share with other relevant stakeholders.

What **innovative** practices or approaches *have* you implemented in the past program year that have had a significant positive impact on equal opportunity and accessibility?

1. Describe the challenge(s) the Board is addressing, how the practice was developed, the process used for implementation, and any data or success stories resulting from it.
2. Attach any additional materials you would like us to review or consider before our on-site visit.
3. Identify any additional training or technical assistance needs the Board may have related to Equal Opportunity or Accessibility.