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

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

This survey aims to ensure we have the most current information about your agency before monitoring begins. Please provide the most current, in-use information and documents; do not provide documents 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** before the scheduled monitoring visit.

NOTE: Failure to submit a completed Desk Review Survey at least twenty (20) business days before 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 WIOA Local Program Liaison (WLPL) assigned to your WDA
  + CC: Fiscal Lead- [katherine.dedrick@dwd.wisconsin.gov](mailto:katherine.dedrick@dwd.wisconsin.gov) or [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
      3. providing electronic devices and broadband services
   6. Training Services, including:
      1. funding limits
   7. any exception policy and/or procedure
   8. Priority of Service
   9. Case Notes
   10. 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 ensure participants' ideas, opinions, and advice are incorporated into the planning and implementation of WIOA service delivery.
2. If there have been changes since the last program year, 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.). If no changes have occurred, please state so below.
   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).

|  |  |
| --- | --- |
| Agency | Program |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |

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.
   1. Which target barriered populations, e.g., low-income, basic skills deficient, or English Language Learners, is the WDB/subrecipient focusing its recruiting efforts?
2. Describe effective strategies the WDB uses to ensure -participants stay actively involved in the program.
3. Describe the process WDB uses to ensure participants are effectively assessed for their barriers to employment and/or training.
   1. Attach any assessments used to determine participant's barriers to employment and/or training.
4. If there have been changes since the last program year, identify assessments used in each WIOA Title 1 program and provide the purpose of the assessments. If no changes have occurred, please state so below.
5. 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**

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

**Youth**

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

1. How does the WDB/subrecipient determine which assessments are administered to each participant?

**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 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. 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.
2. 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.
3. 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.
4. Provide a qualitative analysis of how the 14 Youth Program Elements are used to deliver comprehensive services to youth program participants.
5. 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 state so 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. 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. 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 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.

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 achieves the:
   * 35% training goal for Adult/Dislocated Worker program funds
   * 20% work experience expenditure requirement for Youth program funds
5. Was the PY23 budget approved by the WDA Board of Directors for July 1, 2023-June 30, 2024? If yes, please insert the approval date.
6. Was the PY 23 budget approved by the Chief Local Elected Official (CLEO)? If yes, please insert the approval date.
7. How often does the staff compare actual costs to budgeted costs to ensure that the program operates within the budget?
8. How often are the budget to actuals presented to the WDA Board of Directors?
9. Were there any budget modifications to the PY23 budget?
   * If yes, provide all WDA Board of Directors meeting minutes approving the budget modifications.
10. Are bonuses and raises included in the budget planning?
    * If yes, please provide documentation showing this.
11. **Property Management**
12. Since the last review, has any real property been acquired by the WDA?
13. Was any equipment that cost $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 method 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 using WIOA funds?
7. **Procurement and Contract Administration**
   1. Please identify your fiscal agent, if applicable?

* 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. 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. 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?
  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 or price analysis performed for the procurement of goods or services in excess of the simplified acquisition threshold ($250,000)? Is this documented in the policies and/or procedures?
  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

or

* + - Subrecipient format
  1. 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?
  2. Provide a list of subawards. For each, indicate whether they were chosen by:
* RFP process this year
* noncompetitive (sole source) procurement
* contract 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 |  |

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)?

* If yes, where are these policies/procedures documented?

**Subrecipient Management and Oversight**

1. What written procedures and evaluation factors are used in selecting subrecipients?
2. What policies and procedures, tools, and resources are in place for subrecipient monitoring/oversight?
3. Did any subrecipients expending $750,000 or more in Federal awards have a single or program-specific audit performed?
   * If yes, were single audits obtained from the subrecipients?
4. Was a risk assessment carried out 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 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 subaward has ended or is the subrecipient 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 incentive compensation based on?
10. How often are wages increased? Are they based on:
    * Cost of living adjustment?
    * Performance review?
11. Have there been any changes in any key personnel positions since the last review?
12. Are WDA Board of Directors members reimbursed for expenses? If yes, please identify reimbursable expenses.
13. **Internal Controls**
14. Is access to the financial and performance reporting system limited to appropriate personnel?
    1. If yes, how is access limited?
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., authorization, receipt, disbursement, access, and reconciliation)?
    1. If yes, please identify who performs each of these functions:
       1. Cuts checks?
       2. Performs bank reconciliations?
       3. Adds new vendors to the accounting system?
16. How are physical and intangible assets safeguarded?
17. Who has access to the blank check stash?
    1. Where is the blank check stash stored?
    2. Are blank checks always stored in a locked location?
    3. Who is authorized to sign checks and briefly describe the process?
    4. Is a check register or cash disbursement journal printed with or after each check run?
       1. If yes, who reviews and signs off on this?
18. Does the WDA have a signature stamp?
    1. If yes, what is the signature stamp used for?
    2. Where is the signature stamp stored and who has access to it?
19. Is an inventory of bus tokens, gas cards, debit cards, etc. maintained for participants?
    1. If yes, how are these items safeguarded and tracked to prevent unauthorized use?

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 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?
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. 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?
7. 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. **Financial Reporting**
3. 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.

1. **Allowable Costs and Cost Classification**
2. Were any airfare tickets purchased for out-of-state travel paid in whole or in part by WIOA Funds?
3. **Cost Allocation/Indirect Cost Plan**
4. 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 cost allocations?
3. How often is the cost allocation plan reviewed and updated?
4. If a cost pool is used, is it reduced to zero monthly?
5. Are costs allocated to the grant only to the extent that a benefit was received?
6. **Audits and Audit Resolutions**
   1. 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 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. WDA Board of Directors minutes documenting the approval of the PY23 budget.
4. Documentation showing Chief Local Elected Official (CLEO) approval of the PY23 budget.
5. Documentation showing WDA Board of Directors approval of any budget modifications, if applicable.
6. The financial report comparing budget to actual expenditures that was most recently presented and approved by the WDA 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 equipment insurance coverage. Please note, equipment is typically covered under a property insurance policy.
11. A copy of the rental lease(s).
12. **Procurement and Contract Administration**
13. Conflict of Interest forms for all staff.
14. A copy of a most recent subcontract that you have with a subrecipient (prefer WIOA DLW or Youth).
15. If any contracts expired June 30, 2024, provide letters of intent.
16. **Subrecipient Management and Oversight**
17. Current policies and procedures for monitoring subrecipients.
18. Current subaward fiscal monitoring reports.
19. Current subrecipient risk assessment.
20. **Records Management**

a. Records retention schedule, if available.

1. **Personnel**
2. Personnel policies and/or procedures—indicate most recent updates. Include WDA Board of Directors minutes where the update(s) were approved.
3. W-2s for the three (3) highest paid employees. Please **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 identified in d. above for October 2023 and June 2024. Please ensure the timecards show hours being charged to all applicable fund sources employee worked on.
7. Most recent organizational chart.
8. Year-end calculation of sick, vacation, and PTO liability calculation, if applicable.
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 WDA Board of Directors minutes where the update(s) were approved.
3. **Accounting System & Cash Management**
4. Provide the following for June 2024:
   1. Bank Statement(s)
   2. Bank Reconciliation(s)
   3. Balance Sheet
5. Statement of activities (profit and loss statement) for June 30, 2024.
6. Statement of financial position (balance sheet) for the fiscal year ended June 30, 2024.
7. **Financial Reporting**

Transaction detail report for any Job Fair accounts, if applicable, from July 1, 2023, to June 30, 2024 [Excel file]

1. **Allowable Costs and Cost Classification**
2. The following trial balances for June 30, 2024:
   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. QUEST grant
   9. Winning with Wisconsin's Workforce grant
3. The following general ledgers from July 1, 2023, to June 30, 2024 [**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. QUEST grant
   9. Winning with Wisconsin's Workforce grant
4. Credit card statements for October 2023 and June 2024.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 October 2023 and June 2024.
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 down

**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)

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 local Board uploaded the document the previous program year.**
5. **Please ensure the uploaded documents are editable so DWD-DET can provide feedback.**

NOTE: Where appropriate, responses should include in-person and/or remote services information.

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) if it has changed since last year's monitoring:
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 from July 1, 2023, to the present.

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

* If yes, provide the date(s) and topic(s)/agenda(s) of the training.
* If WDB staff members have not received training 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's EO Officer or an external source?

Yes  No

* If yes, provide the date(s) and topic(s)/agenda(s) of the training.

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 the postings are the most current versions. 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.

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Poster or Notice** | **Location** | **Languages that it is posted/available in** | **Are printed copies readily available if requested by a participant** | | **Are they posted on WDB's Website?** | | **What is the date of the posted version?** | **Does it contain the required wording?** | | **Do the posted posters/documents have the corresponding names of the current local WDB, DWD-BWT EO Officers, and JCCC Coordinator?** | |
| **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 and the effective date of the updated document(s):
   1. Notice of Equal Opportunity and Nondiscrimination (EO Notice)

Note: The content is the same as that of the EO is the Law poster.

* 1. Rights and Responsibility Statement.
* 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)

Submit versions of any of the following documents that were updated since the WDB's last monitoring. Clearly indicate the months/years that the prior documents were in effect and the effective date of the updated document(s).

* + 1. Work Experience Site Agreement Revision date:

* + 1. On the Job Training Revision date:
    2. 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. Please indicate the filename, if the WDB uploaded contracts in response to Program/Governance (Objective 1-F: Contract Administration section).

1. Contract Name: Revision date:
2. 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)

As part of DWD-DET's focus on Affirmative Outreach, DWD-DET will provide technical assistance during the annual on-site monitoring. Please respond to the items below so we can tailor our technical assistance to your needs as best as possible.

1. Upload the annual EO/CR statistical or other quantifiable data analysis (by racial & ethnic/national origin groups, sex, religions, individuals with limited English proficiency, preferred language, individuals with disabilities, and individuals in differing age groups), by participant's program for the most recently completed program year. Please ensure the reports include dates of analysis completion and the program year.
   1. If not included in the analysis above, please list the significant language populations in the WDA.
   2. If the WDB conducted a separate analysis for individuals with limited English proficiency, please upload the results.
2. Based on the analysis above, how did the WDB conduct, or does it plan to conduct additional/different affirmative outreach to specific target groups (racial & ethnic/national origin, religions, age, gender, sex, individuals with limited English proficiency, preferred language, individuals with disabilities, and individuals in differing age groups) in the following categories?
   * + 1. Advertising
3. Outreach activity:
4. Date:
5. Protected group contacted or to be contacted:
6. Upload example
7. 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 or to be contacted:
          4. Upload example
          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 or to be contacted:
          4. Upload example
          5. What else can be done based on this year's annual demographic analysis?

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 the building(s) need structural changes or upgrades, upload a copy of the transition plan(s). If the Board has not developed transition plan(s), indicate when the Board will create them.
2. Submit any changes or additions to the available assistive technology and alternate formats for individuals with disabilities since the WDB's last monitoring.
3. What are the specific names of the aids or services the Board provides for the deaf and hard of hearing or individuals with speech disabilities (e.g., TTY/TDD, relay service, or alternative aids):
4. For those who come to the job center?
5. For those who call the job center?

Are those specific names listed in all materials that indicate that the Local Board/Service Provider/ Job Center may be contacted by telephone?

1. How does the Board ensure accessibility for the local Board's and service provider's websites?

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. Submit versions of any policies that address the requirement to keep participants' medical and disability information confidential, which were updated since the WDB's last monitoring. Clearly indicate the months/years the prior policies were in effect and the revised documents' effective date(s).

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 (monitoring survey tools and monitoring reports) for each WIOA service provider. If the Board uploaded these documents in the Program/Governance (Objective 1-H: Subrecipient Management & Oversight) or Fiscal (Subrecipient Management and Oversight) sections, please indicate 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)

Upload versions of the complaints procedure and forms if they were revised/updated since the WDB's last monitoring. Clearly indicate the months/years that the prior documents were in effect and the updated documents' effective date.

If service providers have complaint procedures in addition to those from the WDB, please upload them.

Upload the Job Center Complaint Coordinator complaint log(s) from July 1, 2023, to the present.

For any discrimination complaints filed in the past program year, upload copies of the complaint(s) 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)

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

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 EO/CR that the WDB has implemented in the past year.

* Include the challenge(s) the Board is addressing, 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 you would like us to review or consider before our arrival on-site.
2. Identify any other requests for training or technical assistance from DWD-DET.