*The ESD Monitoring Unit reviews multiple federally funded programs under the Workforce Innovation and Opportunity Act (WIOA). The on-site monitoring review of LWDBs fulfill ESD’s compliance monitoring requirements under 2 CFR 200, as required by sec. 184(a)(4) of WIOA.*

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| --- | --- | --- | --- |
| 1.1 | Design & Governance of LWDB |

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| [ ]  Copy of Board by-laws *(Only provide if there were changes to the Board by-laws since the last monitoring visit)* [ ]  Copy of any governing coalitions/consortiums agreements *(only if revised since the last monitoring visit)*--------------------------- Annual Review----------------------------[ ]  List of Board members and category represented. [ ]  List of any vacancies by category and how long the vacancy has been unfilled. [ ]  Copy of Board adopted budget & supplemental budget (if applicable)[ ]  Copy of chief local elected official approval/concurrence of budget (examples include emails from CLEO or designee, Board minutes from chief elected official, Board-Consortiums or minutes from Board meeting where the CLEO is present, and budget is approved)  [ ]  Copy of Board minutes where budget is adopted[ ]  Documentation of public notices of LWDB regular meetings and scheduleClick here to enter text. |

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| 1.2 | 1. MOU/IFA/RSA | * Signed MOU – if modified since the last monitoring visit

*Effective Time Period:* Click here to enter text.* Signed Infrastructure Funding Agreement

*Effective Time Period:* Click here to enter text.* Resource Sharing Agreement (if applicable)

*Effective Time Period:* Click here to enter text.* Documentation on IFA reconciliation, including evidence that programs occurring in WDA are being charged based on agreed upon cost allocation methodology (examples include: spreadsheets showing actual charges, invoices to partners, or other forms of documentation)
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| 1.3 | One Stop Operator | Copy of the procurement documentation *if a procurement was performed since the last monitoring review*, if so, documentation includes: * OSO RFP
* List of respondents
* Successful bidder
* Evaluation Criteria used
* List of where and when the OSO RFP was published, include websites, newspapers, etc.
* Documentation showing how the amount of funding was determined to cover the cost of services provided in the RFP
* Copy of Conflict of Interest/Firewall agreement (when applicable)
* Copy of job description of the person assigned as OSO, or if the roles are distributed among multiple staff, copies of their job descriptions with the OSO duties highlighted. Include salaries and approximate hours per week to be spent on OSO duties. (when applicable)
* Copy of LWDB meeting minutes that document the Board’s involvement in the procurement process.
* Documentation of who developed or drafted the specification, requirements, statements of work, or invitations for bids or requests for proposals, or conducted the competition, to ensure one stop operators were not involved in the development of the RFP.
* Any documentation of a legally binding written agreement such as a contract or MOU the LWDB executed with the selected OSO
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| 1.4 | Policies/Procedures  | Program PoliciesPlease provide ESD Monitoring Unit with access to all of your program policies and procedures/technical assistance memos. Administrative & FiscalIf any of the below items have been updated since the last monitoring visit, please provide the monitoring office with the new version. Please attach a copy or provide a link to the new policies.

|  |  |  |  |
| --- | --- | --- | --- |
| New/Updated Since Last Monitoring Visit | Already Submitted Last Year | Policies/Procedures | Date last updated |
| [ ]  | [ ]  | Debt Collection LWDB  |  |
| [ ]  | [ ]  | Equal Opportunity and Nondiscrimination  |  |
| [ ]  | [ ]  | Procurement and Selection of One-Stop Operator & Service Providers |  |
| [ ]  | [ ]  | Conflict of Interest  |  |
| [ ]  | [ ]  | Property Management and Inventory  |  |
| [ ]  | [ ]  | Dispute Resolution and Appeals |  |
| [ ]  | [ ]  | Records Retention & Public Access |  |
| [ ]  | [ ]  | LWDB Cash Management  |  |
| [ ]  | [ ]  | Bank Reconciliation |  |
| [ ]  | [ ]  | Internal Control/Separation of Duties |  |
| [ ]  | [ ]  | Allowable Cost |  |
| [ ]  | [ ]  | Grievance and Complaint |  |
| [ ]  | [ ]  | Staff and Board Travel Reimbursement |  |
| [x]  | [ ]  | Personal Identifiable Information |  |
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| 1.5 | Administrative Controls/ Monitoring (Subrecipients/ Contractors and Pass-Through Entity)  |

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| New/Updated Since Last Monitoring Visit | Copy of Monitoring Tools | Already Submitted Last Year |
|[ ]  Youth |[ ]
|[ ]  Adult |[ ]
|[ ]  Dislocated Worker |[ ]
|[ ]  Increase Employment  |[ ]
|[ ]  One-Stop Operator |[ ]
|[ ]  Economic Security for All (if applicable) |[ ]
|[ ]  OPIOID (if applicable) |[ ]
|[ ]  Disaster Recovery Dislocated Worker |[ ]
|[ ]  Employment Recovery Dislocated Worker | [ ]  |

Copies of most recent organization and/or subrecipient monitoring reports issued since last monitoring visit for the following:[ ]  Youth[ ]  Adult[ ]  Dislocated Worker[ ]  Increase Employment (if applicable) [ ]  One Stop Operator[ ]  Economic Security for All (if applicable)[ ]  OPIOID (if applicable)[ ]  Disaster Recovery Dislocated Worker[ ]  Employment Recovery Dislocated WorkerIf final monitoring reports are not completed by the time of the monitoring visit, please have evidence of monitoring such as completed file checklists, working papers and monitoring letters or the draft report available for the monitors.Copy of organization and/or subrecipient/service provider monitoring schedule [ ]  Youth[ ]  Adult[ ]  Dislocated Worker[ ]  Increase Employment (if applicable) [ ]  One Stop Operator [ ]  Economic Security for All (if applicable)[ ]  OPIOID (if applicable)[ ]  Disaster Recovery Dislocated Worker [ ]  Employment Recovery Dislocated Worker

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| Click here to enter text. |

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| 1.6 | Internal Controls  |

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| New/Updated Since Last Monitoring Visit |  | Already Submitted Last Year |
|[ ]  Copy of Separation of Duties Chart  |[ ]
|[ ]  Copy of System Access Rights |[ ]
|  |

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| 1.7 | Cash & Financial Management | [ ]  Chart of Accounts[ ]  Trail Balance by funding source (month to be identified)[ ]  Detailed General Ledger by funding source (month to be identified)[ ]  Budget vs Actual by funding source (month to be identified)[ ]  Bank statements and reconciliation (month to be identified)[ ]  Petty Cash (if applicable) (month to be identified)[ ]  Purchase card – Statement & backup receipts (month to be identified)[ ]  Backup documentations of selected Draws (draws to be identified)**\*Note:** *once initial documents are received transactions will be randomly selected, in which detailed documentation such as invoices, cash receipts, and supporting documentation will need to be provided.*  |
| 1.8 | Procurement/Contracts | [ ]  List of RFPs since last monitoring visit[ ]  List of Provider Contracts or Professional Service Contracts [ ]  List of Contracts processed through sole source[ ]  Documentation showing cost and price analysis was performed[ ]  Risk Assessment for selected procurements[ ]  Suspension and debarment confirmation (SAM.gov verification)[ ]  If directed by local procurement policy where Board must approve procurements/contracts, a copy of minutes from Board meetings where the procurement/contracts are adoptedClick here to enter text. |
| 1.9 | Cost Allocation Plan or Rate  | *For those LWDBs where ESD is* ***not*** *the cognizant agency an approved cost allocation is still required, please provide the information submitted to the cognizant agency as well as the approval letter.*[ ]  Approved Cost Allocation Plan and Rate[ ]  Cognizant agency approval certification, approving/recognizing allowable rate*All LWDBs* [ ]  Copy of cost policy statement [ ]  Month end close out reconciliation of indirect costs (month to be identified)[ ]  Monthly detailed ledger of indirect costs (month to be identified)[ ]  Capital Asset and other expense allocated documentation (month to be identified)***Cognizant Agency:*** (name): Click here to enter text.***Approval Dates of CAP:*** Click here to enter text.***Rate:*** % or de minimus? Click here to enter text.Click here to enter text. |
| 1.10 | Property/Inventory | [ ]  Property log & inventory of equipment [ ]  List of equipment and capital improvements more than $5,000 since item was last reviewed[ ]  Equipment/technology lease agreements (if applicable) Click here to enter text. |
| 1.11 | Single Audit | [ ]  Copy of the most recent Single Audit Report[ ]  Copy of subrecipient audit schedule to include whether the subrecipient is for-profit or non-profit.  Click here to enter text. |
| 1.12 | Personnel | [ ]  Organizational Chart[ ]  List and title of individuals who charge their time to WIOA funds [ ]  Copy of job descriptions (new hires or if job descriptions were changed)[ ]  Personnel Policy[ ] Staff travel reimbursement**\*Note:** *once initial documents are received payroll transactions will be selected for sampling (employee and time frame will be identified), which include Timesheets and Payroll Records (paystubs, payroll ledger, backup documentation of how salaries paid/allocated)*Click here to enter text. |
| 1.13 | Grievance and Complaint | [ ]  Grievance/Complaint log (Program Complaint Log)Click here to enter text. |
| 1.14 | Support Services & Needs Related Payments | [ ]  Individual participants files will be identified in advance |
| 1.15 | Incumbent Worker Program(If applicable) | [ ]  Executed contracts for Incumbent Worker Agreements, if any[ ]  Supporting documentation on employer match[ ]  Copy of ALL applications from businesses and selection criteria used to determine participation[ ]  Copy of training invoices |