*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.*

**Options for providing documents in advance:**

*Documents may be provided by:*

* Electronic copies to the SFTP site
* Website Links may be provided directly in this document

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| --- | --- | --- |
| 1.1 | Design & Governance of LWDB | As part of the Sunshine Provision, the LWDB shall make available to the public, on a regular basis through electronic means and open meetings, information regarding the activities of the local board. (*Refer to PY21 monitoring tool)* *Please provide website links for the following:* [ ]  Information about the Local Plan, or modification to the Local Plan, before submission of the planWebsite Link: Click here to enter text. [ ]  List and affiliation of Local WDB membersWebsite Link: Click here to enter text. [ ]  Selection of one-stop operatorsWebsite Link: Click here to enter text. [ ]  Award of grants or contracts to eligible training providers of workforce investment activities including providers of youth workforce investment activitiesWebsite Link: Click here to enter text.[ ]  Minutes of formal meetings of the Local WDBWebsite Link: Click here to enter text.[ ]  By-laws, consistent with § 679.310(g)Website Link: Click here to enter text.*The following items may be provided with a website link or electronic copy to the SFTP site*[ ]  Copy of any governing coalitions/consortiums/designation agreements Website Link: Click here to enter text.[ ]  List of any vacancies by category and how long the vacancy has been unfilled.Website Link: Click here to enter text.[ ]  Copy of Board adopted budget & supplemental budget (if applicable)Website Link: Click here to enter text. [ ]  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) Website Link: Click here to enter text. [ ]  Copy of Board minutes where budget is adoptedWebsite Link: Click here to enter text.[ ]  Copy of the signed agreement ensuring no conflicts exits when an entity performs multiple functions, if applicable.Website Link: Click here to enter text. |
|  |  |
| 1.2 | MOU/IFA | *The following items may be provided with a website link or electronic copy to the SFTP site** Signed MOU – if modified since the last monitoring visit

Website Link: Click here to enter text.* Signed Infrastructure Funding Agreement or other funding agreements which address the funding structure

Website Link: 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)
 |
| 1.3 | Policies & Procedures  | Program PoliciesPlease provide ESD Monitoring Unit with access to all program policies and procedures/technical assistance memos. \**Program will be downloading policies from the LWDB website 2 weeks prior to the review entrance date. Please ensure all Program Policies on the website are current. If they are not, please upload the current policy to be used for monitoring, to the SFT site.*  Administrative & Fiscal*The following items may be provided with a website link or electronic copy to the SFT site:* *\*Note: Please provide Monitoring Unit copies of items that are currently in draft status and may not be posted on the website.**Required Policies** Debt Collection LWDB

Website Link: Click here to enter text.* Equal Opportunity and Nondiscrimination

Website Link: Click here to enter text.* Procurement and Selection of One-Stop Operator & Service Providers

Website Link: Click here to enter text.* Conflict of Interest

Website Link: Click here to enter text.* Property Management and Inventory

Website Link: Click here to enter text.* Dispute Resolution and Appeals

Website Link: Click here to enter text.* Personnel Policy/Employee Handbook

Website Link: Click here to enter text. *Procedures** Records Retention & Public Access

Website Link: Click here to enter text.* LWDB Cash Management

Website Link: Click here to enter text.* Bank Reconciliation

Website Link: Click here to enter text.* Internal Control

Website Link: Click here to enter text.* Allowable Cost

Website Link: Click here to enter text.* Grievance and Complaint

Website Link: Click here to enter text.* Staff and Board Travel Reimbursement

Website Link: Click here to enter text.* Personal Identifiable Information

Website Link: Click here to enter text. |
| 1.4 | Administrative Controls/ Monitoring (Subrecipients/ Contractors and Pass-Through Entity)*This element includes Program and Admin-Fiscal monitoring.*  | Copy of Monitoring Tools[ ]  Youth[ ]  Adult[ ]  Dislocated Worker[ ]  Economic Security for All (if applicable)***Rapid Response***[ ]  Increase Employment (if applicable) [ ]  Additional Assistance (if applicable) [ ]  OPIOID (if applicable)[ ]  Disaster Recovery DWG [ ]  Employment Recovery DWG [ ]  One Stop Operator Copies of most recent organization and/or subrecipient monitoring reports issued since last monitoring visit for the following:[ ]  Youth[ ]  Adult[ ]  Dislocated Worker[ ]  Economic Security for All (if applicable)***Rapid Response***[ ]  Increase Employment (if applicable) [ ]  Additional Assistance (if applicable) [ ]  OPIOID (if applicable)[ ]  Disaster Recovery DWG [ ]  Employment Recovery DWG [ ]  One Stop Operator If 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[ ]  Economic Security for All (if applicable)***Rapid Response***[ ]  Increase Employment (if applicable) [ ]  Additional Assistance (if applicable) [ ]  OPIOID (if applicable)[ ]  Disaster Recovery DWG [ ]  Employment Recovery DWG [ ]  One Stop Operator

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| Click here to enter text. |

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| 1.5 | Internal Controls  | [ ]  Separation of Duties Chart [ ]  System Access Rights |
| 1.6 | Cash & Financial Management | [ ]  Chart of Accounts*Monitoring Unit will be requesting the following financial documents,* ***identifying specific draws by program****, prior to the review:*[ ]  Selected Draws (draws to be identified)* Detailed General Ledger
* Reconciliation to draw

*Monitoring Unit will be requesting the following financial documents,* ***identifying specific months****, prior to the review*[ ]  Trail Balance by funding source [ ]  Detailed General Ledger by funding source [ ]  Budget vs Actual by funding source [ ]  Bank statements and reconciliation [ ]  Petty Cash (if applicable) [ ]  Purchase card – Statement & backup receipts **\*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.*  |
| 1.7 | Procurement/Contracts | List of the following: [ ]  RFPs since last monitoring visit[ ]  Provider Contracts or Professional Service Contracts [ ]  Contracts processed through sole sourceLists of RFP’s and contracts should include: * Vendor name
* Funding source
* Project
* Contract begin & end dates
* Total amount of contract
 |
|  |  | \*Note: Once initial documents are received RFP’s and contracts will be selected for sampling, which include* 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 adopted

Click here to enter text. |
|  |  | **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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| 1.8 | Cost Allocation Plan or Rate  | *For those LWDBs where ESD is* ***not*** *the cognizant agency an approved cost allocation plan 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[ ]  Copy of cost policy statement *Monitoring Unit will be requesting the following financial documents, identifying specific months, prior to the review:*[ ]  Monthly detailed ledger of indirect costs[ ]  Capital Asset and other expense allocated documentation***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. |
| 1.9 | 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. |
| 1.10 | 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.  |
| 1.11 | Personnel | [ ]  Organizational Chart[ ]  List and title of individuals who charge their time to WIOA funds *List includes all current and past employees,* ***since last monitoring review***[ ]  Copy of job descriptions (new hires or if job descriptions were changed)**\*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. |
| 1.12 | Grievance and Complaint | [ ]  Grievance/Complaint log (Program Complaint Log)[ ]  All supporting documentation leading up to the resolution of the grievance/complaint that was filedClick here to enter text. |
| 1.13 | Incumbent Worker Program(If applicable) | [ ]  List of executed contracts for Incumbent Worker Program\*Note: O*nce list of executed contracts is received contracts will be selected for sampling, which include:*[ ]  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 |

*Note: Program staff will be requesting Support Services and Needs Related Payment source documentation as part of the Program review.*