**PY21 Pre-Monitoring Questionnaire**

**Workforce Innovation Opportunity Act (WIOA)**

Please read each of the questions carefully, respond appropriately to each of the following categories in the space provided, and return this fully completed questionnaire with the additional documents requested in advance of the onsite monitoring visit.

|  |
| --- |
| **Contact Information** |
| **Local point of contact coordinating the PY21 monitoring visit:**  Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.  **Name of the person who will be the point of contact for the financial and administrative review during the onsite monitoring visit:** Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.  **One-Stop Operator (OSO):**  OSO Company Name or OSO Subrecipient: Click here to enter text.  Operator Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.    **Staff lead for the following program areas: Adult, Dislocated Worker, Youth Programs, and the Various Statewide Discretionary Contracts (as applicable):**  Adult – Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.  Dislocated Worker – Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.  Youth – Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.  Economic Security for All – Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.  Rapid Response:  Increase Employment – Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.  Additional Assistance– Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.  Disaster Recovery DWG – Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.  Employment Recovery DWG – Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.  OPIOID – Name: Click here to enter text. Email: Click here to enter text. Phone: Click here to enter text.  **Name of Organization providing the following services (if applicable):**  Adult Service Provider Name(s): Click here to enter text.  Dislocated Worker Service Provider Name(s): Click here to enter text.  Youth Service Provider Name(s): Click here to enter text.  Economic Security for All – Name: Click here to enter text.  Rapid Response:  Increase Employment – Name: Click here to enter text.  Additional Assistance– Name: Click here to enter text.  Increase Employment – Name: Click here to enter text.  OPIOID – Name: Click here to enter text.  Disaster Recovery Dislocated Worker – Name: Click here to enter text.  Employment Recovery Dislocated Worker – Name: Click here to enter text.  One-Stop-Operator – Name: Click here to enter text. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| INTERNAL CONTROLS | | | | | |
| References   * §200.61   *Internal controls* * 20 CFR 683.220 – What are the internal controls requirements for recipients and subrecipients of WIOA Title I and Wagner-Peyser Act funds? * 2 CFR 200.303 Internal Controls. * 20 CFR 679.430 – How do entities performing multiple functions in a local area demonstrate internal controls and prevent conflict of interest? * §200.333 - Retention requirements for records. | | | | | |
|  | | Yes | No | NA | Explanation |
| 1 | Have there been any changes within the LWDB personnel or fiscal agent that impact internal controls? If yes, please provide an explanation. |  |  |  | Click here to enter text. |
| 2 | Does the LWDB appropriately secure sensitive and confidential information collected and retained for the purpose of the grant award, including restricted access limited to necessary personnel? |  |  |  | Click here to enter text. |
| 3 | Describe the internal control structures and written policies that provide safeguards to protect personally identifiable information, records, contracts, grant funds, equipment, sensitive information, tangible items,and other information that is readily or easily exchanged in the open market. | Click here to enter text. | | | |
| 4 | Have there been any incidents involving fraudulent activities, if so, have those been reported? If so, to whom have these been reported. |  |  |  | Click here to enter text. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| CASH & FINANCIAL MANAGEMENT | | | | | |
|  | | Yes | No | NA | Explanation |
| 1 | Does the LWDB earn any program income from WIOA funds? If yes, please provide the steps the LWDB took to ensure compliance with 20 CFR 683.200(b) |  |  |  | Click here to enter text. |
| 2 | What is the LWDBs basis of accounting?  If cash or modified is selected, please explain the methodology used to convert financials to an accrual basis for reporting purposes. | Accrual  Cash  Modified | | |  |
| **Required WIOA Youth Program Funds:** | | | | | |
| * Sec. 20 CFR 681.410 This section describes the requirement under WIOA that States and local areas **must expend a minimum of 75 percent** of youth funds on OSY. * Local youth programs must expend **not less than 20 percent** of the funds allocated to them to provide in-school youth and out-of-school youth with paid and unpaid work experiences that fall under the categories listed in 681.460(a)(3) and further defined in 681.600. (WIOA sec. 129(c)(4))   Local area administrative costs are not subject to the 20 percent minimum work experience expenditure requirement. | | | | | |
| 4 | Does the LWDB ensure youth funds meet the following required federal regulations: | | | | |
|  | | Yes | No | NA | Explanation |
|  | 1. WIOA Sec. 129(a)(4)(b) and 20 CFR 681.410 – Require LWDBs at a minimum, 75 percent of youth funds are allocated on OSY. Is the LWDB   If no, what is the LWDB doing to meet the requirement? |  |  |  | Click here to enter text. |
|  | 1. 20 CFR 681.590 – Not less than 20 percent of the WIOA funds allocated are provided to ISY and OSY with paid and unpaid work experiences that fall under the categories listed in § 681.460(a)(3) and further defined in § 681.600.   If no, what is the LWDB doing to meet the requirement?  Note: WIN 0105 – Temporary suspension of state enforcement of the minimum 20 percent work experience expenditure requirement for local WIOA Title I-B youth formula grants for PY19. ***WIN 0118 extended this to PY20, expiring June 30, 2022.*** |  |  |  | Click here to enter text. |
| **Optional Allowances of Adult/Dislocated Worker Funds – Pay-for-Performance** | | | | | |
| 5 | Is the LWDB allocating funds for Pay-for-Performance?  If yes, please explain what safeguards are in place to ensure that the 10% maximum allowance is not exceeded, as outlined in WIOA Sec. 134 (d)(1)(A)(iii). |  |  |  | Click here to enter text. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| COST ALLOCATION PLAN OR RATE | | | | | |
| References   * 20 CFR 200.27 - Cost allocation plan. * 20 CFR 200.416 - Cost allocation plans and indirect cost proposals. * 2 CFR 200.9 - Central service cost allocation plan. * 20 CFR 678.700 - What are the one-stop infrastructure costs? * ESD Policy # 5235 – Administrative Cost Pool Grants. * Public Law 113-128 – Workforce Innovation and Opportunity Act * Federal Register Vol. 65, No. 124: Resource Sharing for Workforce Investment Act One-Stop Centers * One-Stop Comprehensive Financial Management Technical Assistance Guide (TAG) – July 2002 * Generally Accepted Accounting Principles (GAAP) | | | | | |
|  | | Yes | No | NA | Explanation |
| 1 | Did the organization’s cognizant agency change from previous year? If yes, please identify the new cognizant agency in the explanation column. |  |  |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| SINGLE AUDIT | | | | | |
| References   * ESD Policy # 5255 – WIOA Audit Requirements, Reports, and Resolutions * WIOA Sec. 159 (b) Management Information * 683.210 Audit Requirements. All recipients of WIOA title I and Wagner-Peyser Act funds that expend more than the minimum amounts specified in 2 CFR part 200, subpart F, in Federal awards during their fiscal year must have a program specific or single audit conducted in accordance with 2 CFR part 200, subpart F.   Single Audit Requirements and Audit Follow-up. Subpart F—Audit Requirements of this part is issued pursuant to the Single Audit Act Amendments of 1996, (31 U.S.C. 7501-7507). It sets forth standards for obtaining consistency and uniformity among Federal agencies for the audit of non-Federal entities expending Federal awards. These provisions also provide the policies and procedures for Federal awarding agencies and pass-through entities when using the results of these audits.   * 2 CFR Part 200.331 – Requirements for Pass-through Entities * 200.501 Audit Requirements   (a) ***Audit required****.* A non-Federal entity that expends $750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of this part.  (b) ***Single audit.*** A non-Federal entity that expends $750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single audit conducted in accordance with §200.514 Scope of audit except when it elects to have a program-specific audit conducted in accordance with paragraph (c) of this section. | | | | | |
|  | | Yes | No | NA | Explanation |
| 1 | Please include organization name audit is issued under. |  |  |  | Click here to enter text. |
| 2 | Were there issues identified in the LWDB’s most recent single audit report?  If yes, please describe the resolution process. |  |  |  | Click here to enter text. |
| 3 | Were there issues identified in the LWDB’s subrecipients’ single audit reports?  If yes, please describe the resolution process. |  |  |  | Click here to enter text. |

|  |  |  |
| --- | --- | --- |
| GRIEVANCE AND COMPLAINT | | |
| References   * WIOA SEC. 181. (c) Grievance Procedures * 20 CFR 683.600 (c) Local area procedures must provide:   (1) A process for dealing with grievances and complaints from participants and other interested parties effected by the local workforce development system, including one-stop partners and service providers;  (2) An opportunity for an informal resolution and a hearing to be completed within 60 days of the filing of the grievance or complaint;  (3) A process which allows an individual alleging a labor standards violation to submit the grievance to a binding arbitration procedure, if a collective bargaining agreement covering the parties to the grievance so provides; and  (4) An opportunity for a local level appeal to a State entity when: (i) No decision is reached within 60 days; or (ii) Either party is dissatisfied with the local hearing decision.   * 20 CFR 679.610 (a) Provisions of WIOA | | |
| 1 | How are Local Board members kept apprised and current with incident reporting of fraud and abuse and grievance/complaint procedures of participants? | Click here to enter text. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| INCUMBENT WORKER PROGRAM | | | | | |
| References   * WIOA Sec. 134 (d)(2)(4) INCUMBENT WORKER TRAINING PROGRAMS.— (A) IN GENERAL.— (i) STANDARD RESERVATION OF FUNDS.— The local board may reserve and use **not more than 20 percent** of the funds allocated to the local area involved under section 133(b) to pay for the Federal share of the cost of providing training through a training program for incumbent workers… | | | | | |
|  | | Yes | No | NA | Explanation |
| 1 | Does the LWDB have an incumbent worker program? |  |  |  | Click here to enter text. |

**Memorandum of Understanding (MOU) and Infrastructure Funding Agreement (IFA) Questionnaire**

WIOA emphasizes full and effective partnerships between LWDBs, chief elected officials, and one-stop partners. LWDBs and partners must enter into good-faith negotiations. LWDBs and one-stop partners must establish, in the MOU, how they will fund the infrastructure costs and additional costs of the one-stop centers. If agreement regarding infrastructure costs is not reached when other sections of the MOU are ready, an interim infrastructure funding agreement (IFA) may be included instead, as described in §361. 715(c). Once agreement on infrastructure funding is reached, the LWDB and one-stop partners must amend the MOU to include the infrastructure funding of the one-stop centers. Infrastructure funding is described in detail in §361.700 through §361.760. §678.510 b.

**Citations:**

20 CFR 678.500; §678.505: §678.755; and §678.760;

20 CFR 678.705; §678.715; §678.720; §678.730; §678.740;

TEGL 16-16; TEGL 17-16; ESD Policy 5612

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| MOU REQUIREMENTS | | | | | |
|  | | Yes | No | NA | Explanation |
| **One – Stop Operating Budget** – The one-stop operating budget may be considered the master budget that contains a set of individual budgets or components that consist of costs that are specifically identified in WIOA statute (Infrastructure and additional costs). Supporting schedules show the cost allocation methodology and basis used to arrive at those amounts. | | | | | |
| 1 | Does the MOU include the one-stop operating budget and supporting schedules? |  |  |  | Click here to enter text. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| INFRASTRUCTURE FUNDING AGREEMENT (IFA) | | | | | |
|  | | Yes | No | NA | Explanation |
| **Infrastructure Funding Agreement (IFA) –** Does the IFA include the following: | | | | | |
| 1 | The period of time in which the IFA is effective? |  |  |  | Click here to enter text. |
| 2 | Are all WIOA required program partners participating in the IFA? |  |  |  | Click here to enter text. |
| 3 | A budget that outlines the infrastructure costs (part of the one-stop operating budget) for the comprehensive center and includes a detailed description of the costs included in each line item? |  |  |  | Click here to enter text. |
| 4 | Description of how the infrastructure cost budget will be periodically reconciled against actual costs incurred and adjusted accordingly? |  |  |  | Click here to enter text. |
| 5 | Description of the cost allocation methodology used to determine program partners’ proportionate shares of infrastructure costs? |  |  |  | Click here to enter text. |
| 6 | Are the infrastructure costs allocated to each program partner based on the agreed-upon cost allocation methodology, each partners’ estimated total contribution amount, and the funding type (cash, in-kind, third party)? |  |  |  | Click here to enter text. |
| 9 | Any noncash or in-kind contributions must include a description of the method by which the value of the contribution was or will be fairly evaluated? |  |  |  | Click here to enter text. |
| 10 | Any of the cash or in-kind contribution are non-personnel? |  |  |  | Click here to enter text. |
| 11 | The process for periodic review and modification? |  |  |  | Click here to enter text. |
| 12 | The signatures of authorized representatives of the Board and the required partners who signed the MOU? This should also include signatures for optional partners who are present in the comprehensive one-stop. |  |  |  | Click here to enter text. |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| One-Stop Operator | | | | | | | | | |
|  | | Yes | | No | | | NA | | Explanation |
| **One – Stop** | | | | | | | | | |
| 1 | Do you have a current One-Stop Operator contract?  If yes, what is the begin and end date of the contract? If this was an extension, please explain. |  | |  | | |  | | Click here to enter text. |
| 2 | Did the LWDB procure for One-Stop Operator since the last monitoring review? |  | |  | | |  | | Click here to enter text. |
| 3 | Does the One-Stop Operator perform multiple functions? |  | |  | | |  | | Click here to enter text. |
| PROCUREMENT/CONTRACTING | | | | | | | | | |
| References: *Federal purchases that require a competitive process must comply with the more restrictive of federal / state requirements and LWDB policy.*   * *ESD Policy # 5250 -* Subrecipient Contracting and Pass-through Entity Determination Requirements * *2 CFR Sec. 200.67, 2 CFR Sec. 200.317-326* * *2 CFR Sec. 200.67, 2 CFR Sec. 200.317-326*   There are specific general procurement standards within the Uniform Requirements under section 200.317- .326. The LWDB assures the following for all its procurements are in place: | | | | | | | | | |
|  | | | Yes | | No | NA | | Explanation | |
| 1 | The LWDB has written policies and procedures over procurement that meet procurement standards. | |  | |  |  | | Click here to enter text. | |
| 2 | All costs incurred are necessary and cost-effective. | |  | |  |  | | Click here to enter text. | |
| 3 | All procurement transactions provide full and open competition. | |  | |  |  | | Click here to enter text. | |
| 4 | The LWDB has written standards of conduct covering conflict of interest. | |  | |  |  | | Click here to enter text. | |
| 5 | The LWDB maintains documentations addressing cost and price analysis, and vendor selection, as applicable for selected method of procurement. | |  | |  |  | | Click here to enter text. | |

|  |  |  |
| --- | --- | --- |
| **NATIONAL DISLOCATED WORKER GRANTS** | | |
| *\*Answer is only needed if this grant was identified in scope on your entrance letter.* | |  |
| Disaster Relief National Dislocated Worker Grant | | |
| \*1 | How does the LWDB assure that the participant is performing the duties as outlined in the Disaster Relief Employment, OJT, or WEX contract? (ie ensuring that job duties that are not allowable are not being performed.) | Explanation Click here to enter text. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Program Questionnaire | | | | | |
|  | | Yes | No | NA | Explanation |
| 1 | Have any of your providers of WIOA Youth, Adult or Dislocated programs changed in the last calendar year?  If yes, please explain the changes. |  |  |  | Click here to enter text. |
| 2 | Have any of your WIOA service providers experienced turnover in leadership positions that are directly responsible for the oversight and implementation of the WIOA programs within the last calendar year?  If yes, please explain the changes. |  |  |  | Click here to enter text. |
| 3 | Describe the internal controls developed locally to ensure data reported in the state MIS system is valid, reliable, and aligns with source documentation in accordance with ESD Policy 1003 (Rev 2). |  |  |  | Click here to enter text. |
| 4 | Describe your local process to provide training to staff on the importance of correct data entry and allowable source documentation on an annual basis, at a minimum. |  |  |  | Click here to enter text. |
| 5 | Describe your local process and/or procedures for regular data element review of program data for errors, missing data, and other anomalies, including missing documentation. |  |  |  | Click here to enter text. |
| 6 | Describe your local process to ensure appropriate staff receive statewide data validation training annually. |  |  |  | Click here to enter text. |