



Department of
**Labor & Workforce
Development**

MONITORING GUIDE

Original Submission Date: September 30, 2016

Revised Post-Submission: December, 2016

A large, 3D-rendered blue cube graphic that is partially cut away, revealing a grey interior. The number '2017' is printed on the right-facing side of the cube.

2017

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STATE OF TENNESSEE
DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT
220 French Landing Drive 4B
Nashville, TN 37243
(615) 741-1031
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Letter

September 30, 2016

Mr. Vaughn Stroud
Central Procurement Office
Department of General Services
3rd Floor, WRS Tennessee Tower
312 Rosa L. Parks Avenue
Nashville, TN 37243

Dear Mr. Stroud

Please find attached the 2017-18 Department of Labor and Workforce Development (TDLWD) Fiscal and Program Monitoring Plan and the following required attachments. We will provide Attachment F when we receive FY 17 Allocations from USDOL.

For additional information, please contact me at or Rubka Tamerat at (615) 741-1031.

Sincerely,

A handwritten signature in blue ink, appearing to read "Ivan Greenfield".

Ivan Greenfield, Grants & Budget Director
Division of Workforce Services

Monitoring Guide

INTRODUCTION

The Workforce Innovation and Opportunity Act (WIOA) emphasizes program performance at State and local areas level. Monitoring at both levels will ensure that proper systems are in place, being followed, and meet legal requirements. To accomplish this, the State has prepared this monitoring guide which includes onsite and desktop monitoring systems, corrective-action procedures, follow-up procedures, and other items.

The reason for emphasizing monitoring is to help reduce possible audit exceptions, sanctions, and unallowable costs (which may need to be reimbursed to the Federal government). Through the use of established monitoring procedures, both State and local areas may minimize such problems through early detection and correction.

The Tennessee Department of Labor and Workforce Services (TDLWD) Division of Workforce Services will continue to rely on the Program Accountability and Review (PAR) team to conduct subrecipient monitoring reviews of WIOA contractors. Local Areas will also have to meet the requirements of monitoring their services and subcontractors. For this reason, TDLWD has issued the local Monitoring guide. PAR will monitor all contractors at least once each year with the exception of National Dislocated Worker Grants which must be reviewed twice each year.

GRANT MONITORING PURPOSE

Monitoring can serve many purposes. Although it is most common to monitor for compliance with Federal and grant requirements, monitoring should be viewed as a multi-faceted management activity directed at achieving program goals and financial requirement standards. Monitoring thus becomes a program-identification linking planning, program design, implementation, technical assistance, and evaluation and financial requirement standards. The purpose of this review guide is to examine compliance with WIOA programs under the TDLWD Workforce Services Division. These programs are provided at American Job Centers statewide in accordance with each program's policy regarding agreements, board membership, appointment procedures, including areas of representation,

responsibilities, and activities.

In accordance with WIOA Section 184 (a)(4) each Governor of a State shall conduct on an annual basis onsite monitoring of each local area within the State to ensure compliance with the uniform administrative requirements. To conduct a thorough review, PAR team monitors will examine both fiscal and programmatic aspects at Administrative Offices and/or American Job Center Comprehensive/Local Workforce Development Areas (LWDAs). This updated guide is to be used by PAR, along with Uniform Administrative Review instruments, to review program delivery, expenditures and invoices connected with contracts and activities.

Prior to the monitoring reviews, PAR should receive a copy of the contracts from the fiscal division. As far as locations of the monitoring reviews, a fiscal review and a programmatic review may be conducted at the Administrative Offices. However, a programmatic review would be incomplete without the monitors observing "first-hand" the delivery of participant services occurring in this process at American Job Centers.

The opportunity, to deliver employment and training services in an American Job Comprehensive Center, depends on the proposed provider's designation or certification as an Eligible Service Provider (WIOA Section 122 and Section 123). Eligible providers are identified not only according to performance but also by means of the State working in collaboration with Local Workforce Development Boards.

GRANT MONITORING PROCESS

Notification Process: The Program Accountability Review team will provide written notice, to each entity being monitored, at least ten days prior to a review being conducted. The written notice will inform the entity of: the dates for the review, which programs will be reviewed, the contact number of contracts that will be examined, and, the estimated time of arrival.

If the date(s) identified in the written notification is not convenient for the entity being monitored, the entity must contact the monitors immediately. The entity and the monitors will determine a mutually-satisfactory date, and the review will be rescheduled. However, State monitors reserve the right to conduct monitoring or unscheduled reviews as appropriate.

Monitoring Process: The Tennessee Department of Labor and Workforce Development (TDLWD) PAR monitors will use this monitoring guide to conduct fiscal system activities and program reviews. The guide will be amended as regulatory changes occur.

- The monitor review may be conducted through desktop evaluation, onsite evaluation, or through a combination of these two processes.
- PAR monitors are authorized to monitor any entity receiving (WIOA) funds at the American Job Comprehensive Centers. Their review may include: examining program records, questioning employees, interviewing participants, and entering any site or premise which receives WIOA funds.
- Random Sampling techniques will be used to perform the review of program records. Monitors will hold an exit conference with appropriate officials for each review conducted.
- After the monitors finish their examination, working papers shall be established during the review and maintained by the TDLWD.

Time Schedules: The PAR team begins to develop their Monitoring schedule.

Monitoring: PAR will issue the monitoring report within fifteen (15) working days of the completion of the monitor working papers.

Corrective Action: The monitored entity will submit a corrective action plan within thirty (30) calendar days PAR publishes the monitoring report requiring a corrective action.

Progress Report: If the corrective action provided to TDLWD for the first time, is not accepted, the entity will submit a progress report each month until the corrective action has been accomplished.

Required Monitoring Plan

Grants, awarded by Workforce Services, consist of, at present, cost-reimbursement contracts awarded in most cases to local government and county administrative

units. As provided in WIOA 2015, LWDAs are permitted to submit optional modifications to their local plans during the period covered by their plan. Additional emphasis is placed on quality and integration of services and continuous improvement in performance outcomes. The aggregate effort of the providers, in the American Job Centers (AJC), determines that area's annual performance, and the combined efforts of all partners will be reflected in the statewide performance.

This outline should be used to gather information concerning the programs that PAR has been asked to monitor during fiscal year 2016-2017. By using the questions in this guide, during staff and management interviews (about each program), PAR should be able to receive consistent information from all grantors about all programs. The grantor can answer these questions and submit the information to PAR. Also, PAR staff may use this document as a guide when conducting information-gathering meetings with grantors.

Program Contact Information

James M Roberson, Assistant Administrator, Compliance and Performance
Phone (615) 253-6938
Nicholas Bishop, Director Policy and Compliance
Phone (615) 741-0286

Fiscal Contact Information

Ivan Greenfield, Director of Grants & Budgets Unit
Julie Mellon, Grants & Budgets Unit
Phone (615) 741-1031

Contract Office

Niveene X. Marcos, Manager, Fiscal
Bill Haynes Acct. Tech II Fiscal
Phone: (615)-532-1338 (Marcos)
(615)-741-5353 (Haynes)

Contact for PAR Staff

Chris Risher, Director
(Internal Audit)

Program Accountability Review Unit
Phone (615) 532-6278
Chris. Risher@tn.gov

MONITORING/CORRECTIVE ACTION PLAN PROCEDURE

- Grants and Budgets Unit (GBU) staff members update the department's monitoring guide based on guidelines and policy 2013-007 requirements which include lists of contracts, a risk assessment chart, and fiscal and program questionnaires for all WIOA programs.
- The Director for GBU forwards the updated monitoring guide with a letter to General Services by October 1 of each year. Negotiations will take place until the Monitoring Guide is formally approved.
- When the monitoring guide has been approved by General Services, a copy is set to the Communications Office of TDLWD to be placed on TDLWD's Web site and a copy is sent to PAR.
- G B U staff receives a notice from PAR 15 days prior to a monitoring visit. GBU staff enters the projected date of the review on a monitoring tracking spreadsheet (that is shared).
- Before issuing the final results of the monitoring report PAR forwards the results to the Grants and Budget Director.
- Grants and Budget Staff will review the results.
- A report will be issued within 15 days of the completion of the review. Copies of the report will be dispensed to the following the Commissioner and Deputy Commissioner of the Department of Labor and Workforce Development, the Local Area Director, the Regional Director of the area, the Administrator of Workforce Services, Assistant Administrator of Workforce Services, the Director of Grants and Budgets, and other appropriate staff.
- PAR will forward the results to the entity monitored.
- If there is no finding, and no corrective action is needed, GBU staff enters the date on which the monitoring report is issued, the date on which the monitoring report is received, and the expression "no findings" reported" on the spreadsheet.

- If there is a finding, the entity monitored will submit the Corrective Action Plan (CAP) within 30 days after the receipt of the monitoring results. If the CAP submitted by the entity is not accepted, GBU will forward a notice, offering technical assistance, to the entity.
- If the CAP does not arrive within 30 days or if the CAP is not accepted by GBU, a notice will be sent to the entity, or technical assistance will be provided by Grants and Budget staff.
- The process of 30 days limit will continue until the entity has corrected the findings.
- Grants and Budget staff will forward the final acceptance letter to the entity with the signature of the Grants and Budget Director.

Monitoring Guide Questionnaires

Refer to Attachment

III

Agency Monitoring Cycle

Monitoring Cycle: October 1, 2016 – September 30, 2017

The Tennessee Department of Labor and Workforce Development will monitor all active contracts issued for that period and the amount of contracts allocated. Doing so fulfills the requirements under Policy 2013-007.

	Amount	Number
Attachment A	\$72,712,479	195
*Attachment B		0
Total	\$72,712,479	195

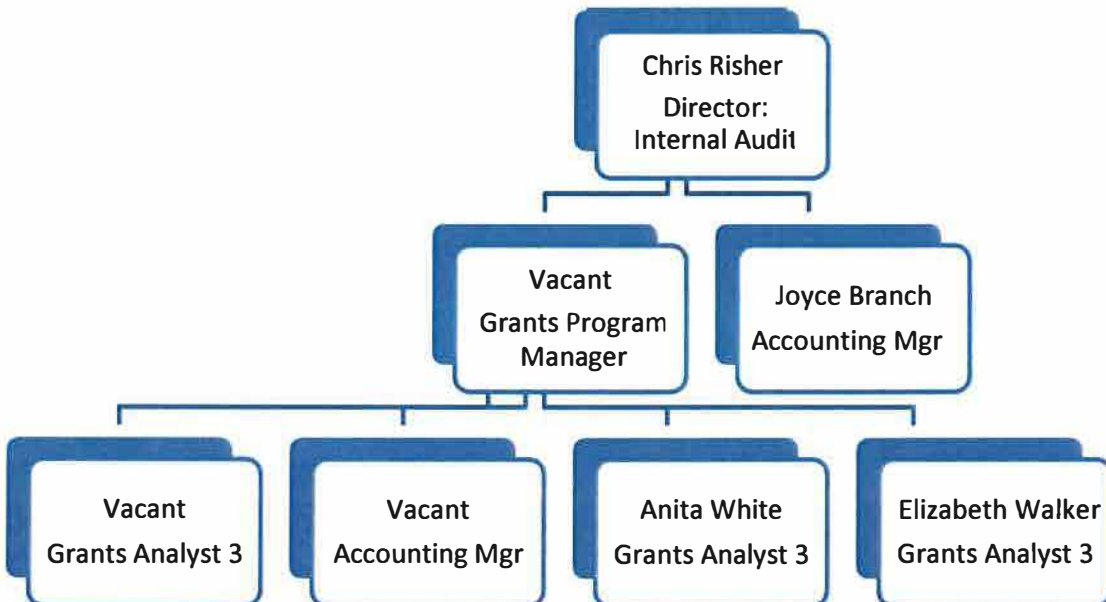
2/3 of the contracts to be monitored 130

1 /3 of the amounts of funds to be monitored \$24,237,493

**Attachment B will be provided when FY 17 funds are released after October 1, 2016.*

FTE Monitoring Staff

TDLWD has seven (7) Full Time Equivalent (FTE) positions responsible for monitoring all WIOA Programs. The state is in the process of adding staff. Currently there are (4) full time staff involved in monitoring formula, Statewide funds, National Dislocated Worker Grant (DWG), incentive contracts, and all other WIOA (including former Workforce Investment Area (WIA)) contracts that are not closed.



Program Descriptions

WAGNER-PEYSER Title III (WIOA)

Wagner-Peyser Act-funded workforce preparation services are an integrated component of the nation's American Job Centers (AJC) (formerly known as One-Stop Career Centers or by another name) system. They are coordinated with other adult programs under the Workforce Innovation and Opportunity Act (WIOA) to ensure that job seekers, workers, and employers have convenient and comprehensive access to a full continuum of workforce-related services. The most distinguishing feature of the Wagner-Peyser Employment Service is that it is the only "universally accessible" public workforce program.

Wagner-Peyser-funded services support the development of a competitive workforce for today's global economy. Under the Wagner-Peyser Act, unemployed individuals and other job seekers obtain critical job search, assessment, and career guidance services to support them in obtaining and retaining employment. In addition, Wagner-Peyser-funded activities assist employers with building skilled, competitive workforces through recruitment assistance, employment referrals, and other workforce solutions. Activities funded under the Wagner-Peyser Act also include the development and dissemination of regional workforce information and related resources, which provide both job seekers and employers with comprehensive and accessible economic and industry data to inform workforce and economic development activities.

SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM

The purpose of the Senior Community Service Employment Program (SCSEP) program is to provide, foster, and promote useful part-time work opportunities (usually 20 hours per week) in community service employment activities for unemployed low-income persons who are 55 years of age and older. To the extent feasible, SCSEP assists and promotes the transition of program participants into unsubsidized employment.

TRADE ADJUSTMENT ASSISTANCE

The purpose of the Trade Adjustment Assistance (TAA) program is to provide assistance to workers adversely affected by foreign trade. Services are provided under the TAA program to enable workers to return as quickly as possible to work that will use the highest skill levels and pay the highest wages, given the workers' preexisting skill and educational levels, as well as the condition of the labor market.

The Trade Act of 1974 has been amended multiple times—most recently by the Trade Adjustment Assistance Reform Act of 2002 (Pub. L. No. 107-210) (TAARA or Trade Act of 2002); the Trade and Globalization Adjustment Assistance Act of 2009 (TGAAA or Trade Act of 2009) (Division B, Title I, Subtitle I of the American Recovery and Reinvestment Act of 2009, Pub. L. No. 111-5); the Trade Adjustment Assistance Extension Act of 2011 (TAAEA or Trade Act of 2011) (Title II of Pub. L. No. 112-40); and the Trade Adjustment Assistance Reauthorization Act of 2015 (TAARA 2015 or Trade Act of 2015) (Title IV of the Trade Preferences Extension Act of 2015, Pub. L. No. 114-27).

Compared to the Trade Act of 2002, the Trade Act of 2011 expanded eligibility of the TAA program and replaced Alternative Trade Adjustment Assistance (ATAA) with Reemployment Trade Adjustment Assistance (RTAA), but at the 2002 benefit levels. The TGAAA extended the TAA program through December 31, 2010, and the Omnibus Trade Act of 2010 further extended TAA through February 15, 2011. After that date, the TGAAA amendments to the Trade Act expired, and the TGAAA required the TAA program to operate under the TAARA provisions, through October 21, 2011. On this date, the TAAEA was passed, which reauthorized many of the

provisions under the Trade Act of 2009, but with slight modifications. The TAAEA amendments to the Trade Act expired on December 31, 2013, and the TAAEA required the TAA program to operate under the provisions of the Trade Act of 2002, with three provisions of the Trade Act of 2011 remaining (referred to as Reversion 2014). The TAARA 2015 both amends and reauthorizes the TAA Program. The TAARA 2015 restores the worker group eligibility and benefits established by TAAEA.

The TAARA 2015 also (1) authorizes the operation of the 2015 Program and continuation of the 2002 Program, the 2009 Program, and the 2011 Program through June 30, 2021; (2) provides a 90-day transition period for Reversion 2014 Program participants to transition to the 2015 Program; (3) expands coverage of certifications of petitions filed since January 1, 2014 for 90 days; (4) requires reconsideration of negative determinations of petitions filed since that date and before the date of enactment under 2015 Act certification requirements; and (5) reauthorizes the Health Coverage Tax Credit (HCTC) program benefit for eligible TAA participants. TAARA 2015 also added new requirements to align performance reporting for the TAA Program with the requirements of the Workforce Innovation and Opportunity Act (WIOA).

WIOA TITLE I (Adult, Youth and Dislocated Worker Programs)

The Workforce Innovation and Opportunity Act of 2014 (WIOA), which supersedes the Workforce Investment Act of 1998 (WIA), authorizes formula grant programs to States to help job seekers access employment, education, training and support services to succeed in the labor market. Using a variety of methods, States provide employment and training services through a network of American Job Centers (AJC) (formerly known as One-Stop Career Centers or by another name). The WIOA programs provide employment and training programs for adults, dislocated workers, and youth, and Wagner-Peyser employment services administered by the Department of Labor (DOL). The programs also provide adult education and literacy services that complement the Vocational Rehabilitation State grants awarded by the U.S. Department of Education that assist individuals with disabilities in obtaining employment and helps job seekers to achieve gainful employment. Youth employment and educational services are available to eligible out-of-school

youth, ages 16 to 24, and low-income in-school youth, ages 14-21, that face barriers to employment.

Supplemental Nutrition Assistance Program Employment & Training (SNAP E & T)

The objective of SNAP is to help low-income households buy the food they need for good health and to provide Employment and Training (E&T) activities.

Re-Employment Services and Eligibility Assessment (RESEA)

The RESEA program is designed to help unemployment insurance claimants return to work faster.

Attachments

- I. Total Subrecipient Population**
- II. Total Subrecipient Contracts**
- III. Monitoring Questionnaires**
- IV. Subrecipient Risk Assessment/Explanation of Criteria**
- V. Explanation of Previous Cycle Monitoring Findings**

ATTACHMENT I

	Administrative Entity & Contact
<p>LWDA 1</p>	<p style="text-align: center;">Kathy Pierce, Executive Director Alliance for Business and Training, Inc. P.O. Box 249 (for shipping hard copies) 386, Highway 91 North Elizabethton, TN 37644 Office: 423-547-7515 ext. 126 FAX: 423-547-7522 Cell: 423-895-1105 E-mail: kpierce@ab-t.org And glyons@ab-t.org</p> <p style="text-align: center;">Counties Served: Carter, Johnson, Sullivan, Unicoi, & Washington</p>

Area	Administrative Entity & WIOA Contact
<p>LWDA 2</p>	<p style="text-align: center;">Donna W. Stansberry, Interim Dean of Workforce Development Walters State Community College 500 South Davy Crockett Parkway Morristown, TN 37813-9989 Office: 423-318-2709 FAX: 423-585-6769 E-mail: donna.stansberry@ws.edu</p> <p style="text-align: center;">Counties Served: Claiborne, Cocke, Grainger, Greene, Hamblen, Hancock, Hawkins, Jefferson, Sevier, & Union</p>
	<p style="text-align: center;">Don Shadow, WIOA Coordinator of Administration Walters State Community College 500 South Davy Crockett Parkway Morristown, TN 37813-9989 Office: 423-318-2709 Direct Call: 423-587-7036 FAX: 423-585-6769 Joseph.shadow@ws.edu</p>

Area	Administrative Entity & WIOA Contact
<p>LWDA 3</p>	<p>Barbara Kelly, Executive Director Knoxville-Knox County CAC P.O. Box 51650 2247 Western Avenue Knoxville, TN 37950-1650 Office: 865-546-3500 FAX: 865-546-0832 E-mail: barbara.kelly@knoxcac.org</p> <p>Counties Served: Knox</p>

Area	Administrative Entity & WIOA Contact
<p>LWDA 3</p>	<p>Winnie Wilson, Director of Services Workforce Connections Knoxville-Knox County CAC P.O. Box 51650 2247 Western Avenue Knoxville, TN 37950-1650 Office: 865-544-5200 ext. 1214 FAX: 865-544-5269 E-mail: winnie.wilson@knoxcac.org</p> <p>Counties Served: Knox</p>

Area	Administrative Entity & WIOA Contact
<p>LWDA 4</p>	<p>Gary Holiway, Executive Director East Tennessee Human Resource Agency 9111 Cross Park Drive Suite D-100 Knoxville, TN 37923 Office: 865-691-2551 ext 4202</p>

	<p>Cell: 865-705-8469 FAX: 865-531-7216 E-mail: gholiway@ethra.org</p> <p>Anderson, Blount, Campbell, Cumberland, Loudon, Monroe, Morgan, Roane, and Scott</p>
LWDA 4	<p>Chris Tiller, Director of Services 728-E Emory Valley Road Oak Ridge, TN 37830 865-813-0281 865-590-1052 ext. 7102 FAX: 865-813-0288 Cell: 865-705-8650 ctiller@ethra.org</p>

Area	Administrative Entity & WIOA Contact
LWDA 5	<p>Beth Jones, Executive Director Southeast Tennessee Development District 1000 Riverfront Parkway Chattanooga, TN 37402 and/or P.O. Box 4757 Chattanooga, TN 37405 Office: 423-266-5781 FAX: 423-267-7705 E-mail: bjones@sedev.org</p> <p>Bledsoe, Bradley, Hamilton, Marion, McMinn, Meigs, Polk, Rhea, and Sequatchie</p>
LWDA 5	<p>Susan Cowden, Director of Services Southeast Tennessee Development District</p>

	<p style="text-align: center;">Address: TN Career Center – Chattanooga Eastgate Towne Center 5600 Brainerd Rd. Suite A-5 Chattanooga, TN 37411 and/or P.O. Box 4757 Chattanooga, TN 37405 Office: 423-424-4212 FAX: 423-643-2396 Cell: 423-413-8742 E-mail: scowden@sedev.org another contact: Anna Smith AnnaS@sedev.org</p>
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<p>LWDA 6</p>	<p style="text-align: center;">Gary Morgan, Executive Director Workforce Solutions 410 Wilson Ave P.O. Box 1628 Tullahoma, TN 37388 Office: 931-455-9596 FAX: 931-455-9580 TDD: 931-454-0477 E-mail: gmorgan@workforcesolutionstn.org</p> <p style="text-align: center;">Counties Served: Bedford, Coffee, Franklin, Grundy, Lincoln, Moore, & Warren</p>
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<p>LWDA 7</p>	<p style="text-align: center;">Luke Collins, Executive Director Upper Cumberland Human Resource Agency 580 South Jefferson Suite B Cookeville, TN 38501 Office: 931-528-1127 Direct Office Line: 931-520-9600 FAX: 931-526-8305</p>
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	<p>Cell: 931-397-2025 E-mail: lcollins@uchra.com</p> <p>Cannon, Clay, DeKalb, Fentress, Jackson, Macon, Overton, Pickett, Putnam, Smith, Van Buren, and White</p>
	<p>Ron Basham, Director of Services Upper Cumberland Human Resource Agency 580 South Jefferson Suite B Cookeville, TN 38501 Office: 931-520-9610 FAX: 931-526-8305 E-mail: rbasham@uchra.com and copy kcobble@uchra.com</p> <p>Cannon, Clay, DeKalb, Fentress, Jackson, Macon, Overton, Pickett, Putnam, Smith, Van Buren, and White</p>
<p>LWDA 8</p>	<p>Marla Rye, Executive Director Workforce Essentials Inc. 523 Madison St. Suite A Clarksville, TN 37040 Office: 931-551.9110 FAX: 931-551-9026 E-mail: mrye@workforceessentials.com</p> <p>Counties Served: Cheatham, Dickson, Houston, Humphreys, Montgomery, Robertson, Stewart, Sumner, & Williamson</p>

<p>LWDA 9</p>	<p>Brian Clark, Interim Director The Nashville Career Advancement Center 1417 Murfreesboro Pike Nashville, TN 37217 (Location only) Office: 615-862-8890 ext. 77425 FAX: 615-862-8910 TDD: 1-800-848-0298 E-mail: brian.clark@nashville.gov www-NCACWorkforce.org</p> <p>Counties Served: Davidson, Rutherford, Trousdale, & Wilson</p>
	<p style="text-align: center;">NOTE:</p> <p style="text-align: center;">Mailing letters etc. use for LWDA 9:</p> <p style="text-align: center;">P.O. Box 196300 Nashville, TN 37219-630C</p>
<p>LWDA10</p>	<p>Jan O. McKeel, Executive Director South Central Tennessee Workforce Alliance 5000 Northfield Lane Suite 124 Spring Hill, TN 37174 Office: 931-398-6000 FAX: 931-486-0033 E-mail: Jan.McKeel@sctworkforce.org</p> <p>Counties Served: Giles, Hickman, Lawrence, Lewis, Marshall, Maury, Perry & Wayne</p>

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Area	Administrative Entity & WIOA Contact
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<p>Area 11</p>	<p>Mike Smith, Executive Director Southwest Human Resource Agency P. O. Box 264 1527 White Avenue Henderson, TN 38340-0264 Office: 731-989-5111 Cell: 731-608-1539 FAX: 731-989-3095 E-mail: msmith@swhra.org</p> <p>Counties Served: Chester, Decatur, Hardeman, Hardin, Haywood, Henderson, Madison, & McNairy</p>
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<p>Area 11</p>	<p>Jimmy Bell, Director of Services Southwest Human Resource Agency 1527 White Avenue Henderson, TN 38340 Office: 731-989-0533 Cell: 731-435-0728 FAX: 731-983-3149 E-mail: jbelle@swhra.org</p>
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<p>LWDA 12</p>	<p>Dr. Karen Bowyer, President Dyersburg State Community College 1510 Lake Road Dyersburg, TN 38024 Office: 731-286-3301 Fax731-286-3269 E-mail: karen@dsc.edu</p>
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	<p>Counties Served: Benton, Carroll, Crockett, Dyer, Gibson, Henry, Lake, Lauderdale, Obion, Tipton & Weakley</p>
<p>LWDA 12</p>	<p>Margaret Prater, Executive Director Northwest TN Workforce Board 313 West Cedar Street Dyersburg, TN 38024 Office: 731-286-3585 ext. 16 Fax731-286-3584 TDD: 731-286-3584 E-mail: prater@nwtworks.org</p> <p>Counties Served: Benton, Carroll, Crockett, Dyer, Gibson, Henry, Lake, Lauderdale, Obion, Tipton & Weakley</p>
<p>LWDA 13</p>	<p>Kevin D. Woods, Executive Director 480 Beale Street Memphis, TN 38103 Office 901-636-6811 or 901-636-6812 FAX: 901-636-6844 Personal Cell: 901-212-3868 Work Cell: 901-512-3722 Kevin.woods1@memphistn.gov Kevin.woods@workforceinvestmentnetwork.com Monica.braun@workforceinvestmentnetwork.com</p>
<p>LWDA 13</p>	<p>Melanie D. Winfield, Deputy Director of Operations Memphis Workforce Investment Network LWDA 13 480 Beale Street</p>

	<p>Memphis, TN 38103 Office: 901-636-6813 FAX: 901-636-6844 Cell: 901-341-3083 P-cell : 901-497-9404 E-mail : melanie.winfield@workforceinvestmentnetwork.com www.workforceinvestmentnetwork.com</p> <p>Counties Served: Fayette & Shelby</p>
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Tennessee Department of Labor & Workforce Development

220 French Landing Drive
Nashville, TN 37243-0658
Contact: Dustin Swayne
Title: Deputy Commissioner
Phone: 615-741-2398
Fax: 615-741-5078
Workforce Help Line 1-800-255-5872
E-mail: dustin.swayne@tn.gov

Website: <http://www.state.tn.us/laborwfd/index.html>

Tennessee Department of Labor & Workforce Development

220 French Landing Drive
Nashville, TN 37243-0658
Contact: Sterling van der Spuy
Title: Administrator, Workforce Services Division
Phone: 615-532-5945
Fax: 615-741-6106
Workforce Help Line 1-800-255-5872
E-mail: Sterling.VanDerSpuy@tn.gov

Website: <http://www.state.tn.us/laborwfd/index.html>

Tennessee Department of Labor & Workforce Development

220 French Landing Drive

Nashville, TN 37243-0658
Contact: Deniece Thomas
Title: Assistant Administrator
American Job Centers
Phone: 615-253-6938
Fax: 615-741-6106
Workforce Help Line 1-800-255-5872
E-mail: deniece.thomas@tn.gov

[Website: http://www.state.tn.us/laborwfd/index.html](http://www.state.tn.us/laborwfd/index.html)

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[Website: http://www.state.tn.us/laborwfd/index.html](http://www.state.tn.us/laborwfd/index.html)

ATTACHMENT II**SUBRECIPIENT CONTRACTS****Wagner-Pyser Program**

Subrecipient	Contract Number	Contract Begin Date	Contract End Date	Contract Budget
AREA 10-SCTWA	LW10P141WP32516	10/1/2015	9/30/2016	138,560.00
AREA 12-DSCC	LW12P141WP32516	1/1/2016	12/31/2016	72,975.00
Grant Total				211,535.00

REEMPLOYMENT SERVICE AND ELIGIBILITY ASSESSEMENT PROGRAM

Subrecipient	Contract Number	Contract Begin Date	Contract End Date	Contract Budget
AREA 01 - AB&T	LW01P161RESEA17	4/1/2016	12/31/2016	\$24,100.00
AREA 02-WSCC	LW02P161RESEA17	4/1/2016	12/31/2016	\$48,200.00
AREA 02-WSCC	LW02P161RESEA17	4/1/2016	12/31/2016	\$48,200.00
AREA 05-SETDD	LW05P161RESEA17	4/1/2016	12/31/2016	\$25,200.00
AREA 06-WKFC SOL	LW06P161RESEA17	4/1/2016	12/31/2016	\$24,100.00
AREA 07-UCHRA	LW07P161RESEA17	4/1/2016	12/31/2016	\$48,200.00
AREA 08-WKFC ESS	LW08P161RESEA17	4/1/2016	12/31/2016	\$120,500.00
AREA 09-NCAC	LW09P161RESEA17	4/1/2016	12/31/2016	\$24,100.00
AREA 10-SCTWA	LW10P161RESEA17	4/1/2016	12/31/2016	\$72,300.00
AREA 11-SWHRA	LW11P161RESEA17	4/1/2016	12/31/2016	\$48,200.00
AREA 12-DSCC	LW12P161RESEA17	4/1/2016	12/31/2016	\$192,800.00
AREA 13-COFM	LW13P161RESEA17	4/1/2016	12/31/2016	\$24,100.00
Grant Total				\$700,000.00

SUPPLEMENTAL NUTRITION ASSISTANCE PROGRAM EMPLOYMENT AND TRAINING

Subrecipient	Contract Number	Contract Begin Date	Contract End Date	Contract Budget
AREA 01 - AB&T	LW01F161QSNAP16	2/15/2016	9/30/2016	\$105,161.00
AREA 02-WSCC	LW02F161QSNAP16	2/15/2016	9/30/2016	\$135,391.00
AREA 03-KCCAC	LW03F161QSNAP16	2/15/2016	9/30/2016	\$128,969.00
AREA 04-ETHRA	LW04F161QSNAP16	2/15/2016	9/30/2016	\$160,742.00
AREA 05-SETDD	LW05F161QSNAP16	2/15/2016	9/30/2016	\$190,299.00
AREA 06-WKFC SOL	LW06F161QSNAP16	2/15/2016	9/30/2016	\$94,308.00
AREA 07-UCHRA	LW07F161QSNAP16	2/15/2016	9/30/2016	\$133,708.00
AREA 08-WKFC ESS	LW08F161QSNAP16	2/15/2016	9/30/2016	\$205,835.00
AREA 08-WKFC ESS	LW08F161QSNAP16	2/15/2016	9/30/2016	\$205,835.00
AREA 10-SCTWA	LW10F161QSNAP16	2/15/2016	9/30/2016	\$68,453.00
AREA 11-SWHRA	LW11F161QSNAP16	2/15/2016	9/30/2016	\$132,026.00
AREA 12-DSCC	LW12F161QSNAP16	2/15/2016	9/30/2016	\$124,679.00
AREA 13-COFM	LW13F161QSNAP16	2/15/2016	9/30/2016	\$957,103.00
Grant Total				\$2,642,509.00

SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM

Subrecipient	Contract Number	Contract Begin Date	Contract End Date	Contract Budget
Alliance for Business & Training	LW01P161SCSEP17	7/1/2016	6/30/2017	237,365.00
East Tennessee Human Resource Agency	LW04P161SCSEP17	7/1/2016	6/30/2017	301,271.00
Upper Cumberland Human Resource Agency	LW07P161SCSEP17	7/1/2016	6/30/2017	209,977.00
Southwest Human Resource Agency	LW11P161SCSEP17	7/1/2016	6/30/2017	200,847.00
Meritan, Inc.	LW19P161SCSEP17	7/1/2016	6/30/2017	456,471.00
Tennessee Community Services Agency	LW20P161SCSEP17	7/1/2016	6/30/2017	255,624.00
Grand Totals				1,661,555.00

TITLE I CONTRACTS

Subrecipient	Contract Number	Contract Begin Date	Contract End Date	Contract Budget
AREA 01-AFBAT	LW01F151APRSP15	4/4/2016	1/31/2017	25,000.00
AREA 01-AFBAT	LW01F152APRSP15	5/2/2016	1/31/2017	25,000.00
AREA 01-AFBAT	LW01F161ADULT16	10/1/2015	6/30/2017	816,397.00
AREA 01-AFBAT	LW01F161DSLWK16	10/1/2015	6/30/2017	622,768.00
AREA 01-AFBAT	LW01F161DWRSP16	7/1/2016	6/30/2017	488,570.00
AREA 01-AFBAT	LW01P151YOUTH16	4/1/2015	6/30/2017	883,176.00
AREA 01-AFBAT	LW01P151IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 01-AFBAT	LW01P151NCSWA16	7/15/2016	6/30/2017	30,000.00
AREA 01-AFBAT	LW01P161ADULT17	7/1/2016	6/30/2018	123,194.00
AREA 01-AFBAT	LW01P161DSLWK17	7/1/2016	6/30/2018	129,194.00
AREA 01-AFBAT	LW01P161YOUTH17	4/1/2016	6/30/2018	962,723.00
Total				4,181,022.00

AREA 02-WSCC	LW02F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 02-WSCC	LW02F161ADULT16	10/1/2015	6/30/2017	1,180,361.00
AREA 02-WSCC	LW02F161DSLWK16	10/1/2015	6/30/2017	837,422.00
AREA 02-WSCC	LW02P151YOUTH16	4/1/2015	6/30/2017	1,212,244.00
AREA 02-WSCC	LW02P151ADULT16	7/1/2015	6/30/2017	107,644.00
AREA 02-WSCC	LW02P151DSLWK16	7/1/2015	6/30/2017	151,942.00
AREA 02-WSCC	LW02P151NCSWA16	7/15/2016	6/30/2017	12,500.00
AREA 02-WSCC	LW02P161ADULT17	7/1/2016	6/30/2018	173,416.00
AREA 02-WSCC	LW02P161DSLWK17	7/1/2016	6/30/2018	170,410.00
AREA 02-WSCC	LW02P161YOUTH17	4/1/2016	6/30/2018	1,287,945.00
Total				5,208,884.00

AREA 03-KCCAC	LW03F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 03-KCCAC	LW03F161ADULT16	10/1/2015	6/30/2017	717,417.00
AREA 03-KCCAC	LW03F161DSLWK16	10/1/2015	6/30/2017	664,314.00
AREA 03-KCCAC	LW03P151YOUTH16	4/1/2015	6/30/2017	947,773.00

AREA 03-KCCAC	LW03P151DSLWK16	7/1/2015	6/30/2017	149,426.00
AREA 03-KCCAC	LW03P161ADULT17	7/1/2016	6/30/2018	96,024.00
AREA 03-KCCAC	LW03P161DSLWK17	7/1/2016	6/30/2018	147,526.00
AREA 03-KCCAC	LW03P161YOUTH17	4/1/2016	6/30/2018	922,296.00
Total				3,719,776.00

AREA 04-ETHRA	LW04F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 04-ETHRA	LW04F161ADULT16	10/1/2015	6/30/2017	1,125,678.00
AREA 04-ETHRA	LW04F161DSWLK16	10/1/2015	6/30/2017	853,018.00
AREA 04-ETHRA	LW04P151YOUTH16	4/1/2015	6/30/2017	1,148,203.00
AREA 04-ETHRA	LW04P151ADULT16	7/1/2015	6/30/2017	102,657.00
AREA 04-ETHRA	LW04P151DSLWK16	7/1/2015	6/30/2017	151,929.00
AREA 04-ETHRA	LW04P151NCSWA16	7/15/2016	6/30/2017	30,000.00
AREA 04-ETHRA	LW04P161ADULT17	7/1/2016	6/30/2018	165,809.00
AREA 04-ETHRA	LW04P161DSLWK17	7/1/2016	6/30/2018	168,569.00
AREA 04-ETHRA	LW04P161YOUTH17	4/1/2016	6/30/2018	1,223,690.00
Total				5,044,553.00

AREA 05-SETDD	LW05F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 05-SETDD	LW05F161ADULT16	10/1/2015	6/30/2017	1,345,516.00
AREA 05-SETDD	LW05F161DSLWK16	10/1/2015	6/30/2017	1,147,990.00
AREA 05-SETDD	LW05P151YOUTH16	4/1/2015	6/30/2017	1,518,705.00
AREA 05-SETDD	LW05P151ADULT16	7/1/2015	6/30/2017	122,706.00
AREA 05-SETDD	LW05P151DSLWK16	7/1/2015	6/30/2017	204,711.00
AREA 05-SETDD	LW05P151NCSWA16	7/15/2016	6/30/2017	30,000.00
AREA 05-SETDD	LW05P161ADULT17	7/1/2016	6/30/2018	188,696.00
AREA 05-SETDD	LW05P161DSLWK17	7/1/2016	6/30/2018	223,291.00
AREA 05-SETDD	LW05P161YOUTH17	4/1/2016	6/30/2018	1,535,177.00
Total				6,391,792.00

AREA 06-WKFC SOL	LW06F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 06-WKFC SOL	LW06F161DSLWK16	10/1/2015	6/30/2017	362,781.00
AREA 06-WKFC SOL	LW06P151YOUTH16	4/1/2015	6/30/2017	516,410.00
AREA 06-WKFC SOL	LW06P151NCSWA16	7/15/2016	6/30/2017	30,000.00
AREA 06-WKFC SOL	LW06P161ADULT17	7/1/2016	6/30/2018	71,552.00
AREA 06-WKFC SOL	LW06P161DSLWK17	7/1/2016	6/30/2018	70,984.00
AREA 06-WKFC SOL	LW06P161YOUTH17	4/1/2016	6/30/2018	540,598.00
Total				1,667,325.00

AREA 07-UCHRA	LW07F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 07-UCHRA	LW07F161ADULT16	10/1/2015	6/30/2017	593,925.00
AREA 07-UCHRA	LW07F161DSLWK16	10/1/2015	6/30/2017	444,110.00
AREA 07-UCHRA	LW07P151YOUTH16	4/1/2015	6/30/2017	629,302.00
AREA 07-UCHRA	LW07P151ADULT16	7/1/2015	6/30/2017	54,164.00
AREA 07-UCHRA	LW07P151DSLWK16	7/1/2015	6/30/2017	79,252.00

AREA 07-UCHRA	LW07P151NCSWA16	7/15/2016	6/30/2017	30,000.00
AREA 07-UCHRA	LW07P161ADULT17	7/1/2016	6/30/2018	90,214.00
AREA 07-UCHRA	LW07P161DSLWK17	7/1/2016	6/30/2018	85,359.00
AREA 07-UCHRA	LW07P161YOUTH17	4/1/2016	6/30/2018	691,680.00
			Total	2,773,006.00

AREA 08-WKFC ESS	LW08F152FTRSP15	9/1/2015	6/30/2017	68,640.00
AREA 08-WKFC ESS	LW08F153APRSP15	11/12/2015	1/31/2017	25,000.00
AREA 08-WKFC ESS	LW08F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 08-WKFC ESS	LW08F161JCSWA16	7/1/2016	6/30/2018	183,980.00
AREA 08-WKFC ESS	LW08F161ADULT16	10/1/2015	6/30/2017	1,098,303.00
AREA 08-WKFC ESS	LW08F161DSLWK16	10/1/2015	6/30/2017	1,044,264.00
AREA 08-WKFC ESS	LW08P151YOUTH16	4/1/2015	6/30/2017	1,209,084.00
AREA 08-WKFC ESS	LW08P151ADULT16	7/1/2015	6/30/2017	100,161.00
AREA 08-WKFC ESS	LW08P151DSLWK16	7/1/2015	6/30/2017	186,094.00
AREA 08-WKFC ESS	LW08P151SSRSP16	9/1/2015	8/31/2017	245,800.00
AREA 08-WKFC ESS	LW08P151NCSWA16	7/15/2016	6/30/2017	30,000.00
AREA 08-WKFC ESS	LW08P161ADULT17	7/1/2016	6/30/2018	155,114.00
AREA 08-WKFC ESS	LW08P161DSLWK17	7/1/2016	6/30/2018	226,264.00
AREA 08-WKFC ESS	LW08P161YOUTH17	4/1/2016	6/30/2018	1,230,695.00
			Total	5,878,399.00

AREA 09-NCAC	LW09F153APRSP15	5/27/2016	1/31/2017	25,000.00
AREA 09-NCAC	LW09F152APRSP15	11/22/2015	1/31/2017	25,000.00
AREA 09-NCAC	LW09F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 09-NCAC	LW09F161ADULT16	10/1/2015	6/30/2017	1,696,512.00
AREA 09-NCAC	LW09F161DSLWK16	10/1/2015	6/30/2017	1,713,895.00
AREA 09-NCAC	LW09P151YOUTH16	4/1/2015	6/30/2017	2,028,122.00
AREA 09-NCAC	LW09P151ADULT16	7/1/2015	6/30/2017	154,715.00
AREA 09-NCAC	LW09P151DSLWK16	7/1/2015	6/30/2017	305,516.00
AREA 09-NCAC	LW09P151NCSWA16	7/15/2016	6/30/2017	30,000.00
AREA 09-NCAC	LW09P161ADULT17	7/1/2016	6/30/2018	217,784.00
AREA 09-NCAC	LW09P161DSLWK17	7/1/2016	6/30/2018	375,887.00
AREA 09-NCAC	LW09P161YOUTH17	4/1/2016	6/30/2018	1,888,445.00
			Total	8,535,876.00

AREA 10-SCTWA	LW10F152DWRSP15	10/1/2015	9/30/2016	400,000.00
AREA 10-SCTWA	LW10F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 10-SCTWA	LW10F161ADULT16	10/1/2015	6/30/2017	594,874.00
AREA 10-SCTWA	LW10F161DSLWK16	10/1/2015	6/30/2017	425,537.00
AREA 10-SCTWA	LW10P151YOUTH16	4/1/2015	6/30/2017	658,079.00
AREA 10-SCTWA	LW10P151ADULT16	7/1/2015	6/30/2017	54,250.00
AREA 10-SCTWA	LW10P151DSLWK16	7/1/2015	6/30/2017	77,210.00
AREA 10-SCTWA	LW10P151NCSWA16	7/15/2016	6/30/2017	30,000.00
AREA 10-SCTWA	LW10P161ADULT17	7/1/2016	6/30/2018	76,996.00

AREA 10-SCTWA	LW10P161DSLWK17	7/1/2016	6/30/2018	85,017.00
AREA 10-SCTWA	LW10P161YOUTH17	4/1/2016	6/30/2018	613,117.00
			Total	3,090,080.00
AREA 11-SWHRA	LW11F152APRSP15	7/12/2016	1/31/2017	18,200.00
AREA 11-SWHRA	LW11F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 11-SWHRA	LW11F161ADULT16	10/1/2015	6/30/2017	720,457.00
AREA 11-SWHRA	LW11F161DSLWK16	10/1/2015	6/30/2017	558,377.00
AREA 11-SWHRA	LW11P151YOUTH16	4/1/2015	6/30/2017	715,734.32
AREA 11-SWHRA	LW11P151DSLWK16	7/1/2015	6/30/2017	99,397.00
AREA 11-SWHRA	LW11P151NCSWA16	7/15/2016	6/30/2017	30,000.00
AREA 11-SWHRA	LW11P161ADULT17	7/1/2016	6/30/2018	103,549.00
AREA 11-SWHRA	LW11P161DSLWK17	7/1/2016	6/30/2018	105,978.00
AREA 11-SWHRA	LW11P161YOUTH17	4/1/2016	6/30/2018	744,039.32
			Total	3,170,731.64
AREA 12-DSCC	LW12F153APRSP15	11/22/2015	1/31/2017	20,100.00
AREA 12-DSCC	LW12F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 12-DSCC	LW12F161DWRSP16	7/1/2016	6/30/2017	25,332.00
AREA 12-DSCC	LW12F161ADULT16	10/1/2015	6/30/2017	1,060,619.00
AREA 12-DSCC	LW12F161DSLWK16	10/1/2015	6/30/2017	797,799.00
AREA 12-DSCC	LW12P141FTRSP15	8/10/2015	12/31/2016	237,780.00
AREA 12-DSCC	LW12P151YOUTH16	4/1/2015	6/30/2017	1,152,812.00
AREA 12-DSCC	LW12P151DSLWK16	7/1/2015	6/30/2017	144,753.00
AREA 12-DSCC	LW12P151NCSWA16	7/15/2016	6/30/2017	205,000.00
AREA 12-DSCC	LW12P161ADULT17	7/1/2016	6/30/2018	153,582.00
AREA 12-DSCC	LW12P161DSLWK17	7/1/2016	6/30/2018	154,903.00
AREA 12-DSCC	LW12P161YOUTH17	4/1/2016	6/30/2018	1,204,009.00
			Total	5,231,689.00
AREA 13-COFM	LW13F161ADULT16	10/1/2015	6/30/2017	2,603,967.00
AREA 13-COFM	LW13F161DSLWK16	10/1/2015	6/30/2017	2,360,717.00
AREA 13-COFM	LW13F161IWSWA16	1/4/2016	12/31/2016	75,000.00
AREA 13-COFM	LW13P151YOUTH16	4/1/2015	6/30/2017	3,076,001.00
AREA 13-COFM	LW13P151ADULT16	7/1/2015	6/30/2017	237,471.00
AREA 13-COFM	LW13P151DSLWK16	7/1/2015	6/30/2017	419,932.00
AREA 13-COFM	LW13P151NCSWA16	7/15/2016	6/30/2017	12,500.00
AREA 13-COFM	LW13P161ADULT17	7/1/2016	6/30/2018	372,858.00
AREA 13-COFM	LW13P161DSLWK17	7/1/2016	6/30/2018	434,118.00
AREA 13-COFM	LW13P161YOUTH17	4/1/2016	6/30/2018	3,172,718.00
				12,765,282.00
AFL-CIO	33710-81916	2/1/2016	1/31/2017	50,000.00
			Grand Totals	67,708,415.64

ATTACHMENT III

**Questionnaires and Documentation needed to verify Service Accuracy and Delivery
American Job Center (AJC) Features and Services**

Question	Circle	Documentation
1. Is the AJC located on a public transportation route?	Yes/No	Please observe the location and the surrounding area for a sign of public transport system
2. Is the American Job Center Logo visible from the main public transport street and not from a secondary street?		Please observe the area for Logo visibility
3. Is there sufficient parking for customers especially for people with disabilities?		Please observe or ask customers coming to the center
4. Is there reserved parking with the international symbol and standard with the American with disabilities sign to prevent other customers from parking in these areas?		Please see if there is sufficient parking reserved for persons with a disability?
5. Is there a ramp leading to the main door of the center for those needing a wheelchair?		Please see if there is a ramp for wheel chair users?
6. Is the main door of the AJC disability friendly for other persons with other disabilities?		Please see if the main entrance of the AJC has a disability sign allowing easy access to the main entrance.
7. Are customers greeted as soon as they enter the AJC?		Please observe
8. Is the welcoming area/or reception desk sufficiently low to speak with a person on a wheel chair?		Please observe if the reception area is low to speak to the customer in a wheel chair.
9. Was the reception desk and the resource room appropriately staffed with employees with interpersonal skills and knowledge of all the services offered at the center?		Please observe or have a conversation with the staff at the front desk and the resource room
10. Is the resource room adequately		Please observe or have a conversation

<p>staffed to notice and assist customers who are clearly frustrated or confused about how to use technologies in the resource room to find employment?</p>		<p>with resource room staff</p>
<p>11. Are there required Federal posters in the reception area? Such as:</p> <p>Equal Opportunity is the law</p> <p>Fair Labor Standards Act</p> <p>Wage Regulation/Child Labor</p> <p>Worker Compensation Notice</p> <p>Job Safety and Health Protection</p> <p>Your Rights under the Family and Medical leave Act</p> <p>Uniformed Services Employment and Reemployment Rights</p> <p>Employee Polygraph Protection Act</p> <p>Migrant and Seasonal Agricultural Worker Protection Act</p> <p>Employee Rights under Federal Laws</p>		<p>Please observe</p>
<p>12. Does the AJC or the customer waiting area reflect the appearance of a single agency, rather than a collection of partners?</p>		<p>Please observe</p>
<p>13. Is the AJC organized by function rather than by program?</p>		<p>Please observe or interview management and staff</p>
<p>14. Are Federal posters placed in visible areas where customer can see or read?</p>		<p>Please observe or interview management and staff</p>
<p>15. Is the AJC using one common intake form? If it uses an electronic one, is staff entering information collected in Jobs4TN?</p>		<p>Please examine the intake process. If paper forms are used, examine to ensure that career specialists are using this form to assess the needs of customers. If done</p>

		electronically please observe.
16. Are customer services designed with full consultation of the participant?		Please see if case notes reveal consultation with the customer
17. Are all required AJC partners represented in the AJC?		Please interview or talk with management or staff
18. Has the AJC appointed an Equal Opportunity Officer?		Please talk with the management at the center
19. Does the AJC publish or broadcast in the media or with other means those Auxiliary aides and services are available upon request to individuals with disabilities?		Please review any text, articles, or any other form of media, i.e. newspaper , articles
20. Does the AJC have auxiliary aids to assist those with sight and hearing difficulties?		Please check the type of aid the AJC has to assist people with hearing and sight difficulties.
21. Are aid instruments such as TTY/TDD or an equally effective communication system available for participants with a hearing impairment?		Please check to see if these instruments are available
22. Is each partner services identified and consolidated on a common form or in Jobs4TN?		Please check forms or in Jobs4TN
23. Does the MOU (among partners) in the AJC contain a Service Matrix that contains the services under each partner to help avoid duplication of services?		Please see if the MOU contain the services each partner offers and duplications are avoided.
24. Is orientation provided to all customers or as appropriate to the audience being served?		Please observe or interview customers or management or staff
25. Is the business staff serving the interest of all the partners? And is there a contact point?		Please interview customers or management or staff
26. Has the AJC provided staff		Please interview staff and management

development?		
27. Does the AJC encourage bottom-up staff meeting for individual staff to update one another about how new and on-going projects are assisting in the delivery of services?		Please interview management
28. Are mystery shoppers (which include a business person, a board member and customer) used to evaluate the experiences of customers to use for improving the system of delivery?		Interview management or administrators.
29. Does the AJC collect customer satisfaction data at each stage of a customer's experience to gauge the effectiveness of services?		Interview management or staff
30. Is the customer authorized to Work in the United States?		Please check authorization documentation uploaded in Jobs4TN or located in the customers files.
31. Is the date of birth verified?	Yes/No	Photocopies of Driver's license, State ID,
		Birth Certificate, US Passport Permanent Resident /Alien Resident Card; DD2-14; Public Assistance card; School Records ; Work Permit; Native American tribal document
32. If male, 18 yrs. & born after 1-1-60 has he registered for Selective Services?		Selective service Record; Internet verification (www.sss.gov); Self-attestation; DD214, certificate of release of discharge from active duty.
33. Are documents used to verify the Social Security number of the customer?		Photocopies of Driver's license, State ID, Birth certificate, U.S Passport Permanent Resident
34. Has the income of the customer or family income been verified if appropriate?		Check stubs; W-2 from employer; Tax return form; Alimony agreement; Award letter form Veteran Affairs; Bank Statement; Pension statement; UI document or print out; Self-Employment

		Verification form; Disability –for eligibility purposes if a person with a disability. This individual will be considered as a family of one , consistent with <i>low-income</i> definition under WIOA
35. Is the date of WIOA application date captured?		Please see the Jobs4TN page which contains WIOA application date?
36. Did the participant sign and date the application?		Please see if the application is signed and dated by the participant and the career planner.
37. Has the AJC verified the customer is referred from the Department of Human Services as a SNAP participant? Or as a participant of the Temporary Assistance for Needy Families Program?		Copy of HHS records; or contact with HHS staff
38 Is the customer referred to the AJC from DHS to participant in WIOA Program (SNAP)?		Check referral indicator or co-enrollment is checked in Jobs4TN.
39. Are the date of application, the signature date of participant and the career planner signature date similar?		Please check to see if the application date and the signature date are the same and error free.
40. If the customer is a veteran has the customer been made aware of		Please to see on the paper copy form or in Jobs4TN this indicator is checked.
priority of services and was the customer given a priority of services?		
41. Is the customer identified as low income and assessed as basic skills deficient?		Please check the assessments used to determine skills deficiencies?
42. Was the participant given a priority of services?		Please check to see the time between registration and the time services to improve the basic skill deficiency are provided.
43. Is the participant provided with a copy of the Equal Opportunity provision and is a copy retained in the file or		See if the customer and the career planner have signed the document to confirm that the customer has received the EEO

uploaded in Jobs4TN?		provisions.
44. Is the customer low income?		Please use the following to determine the instruments used to determine low income-Copy of Authorization to receive cash public assistance; public assistance records Authorization to receive cash assistance Public assistance check or debit card; Refugee assistance records ; Local cash assistance program; School records; Free Lunch recipient and self-attestation if the customer has a disability.
45. Is the application form fully completed?		Please see if all the questions have been answered
46. If the customer has been referred to RESEA, has was the customer been identified as someone likely to exhaust his/her UI and is fulfilling the work requirements under RESEA?		Please see the documentation; the test conducted or the instruments used to determine to determine if this person is likely to exhaust UI.
47. Was the customer referred from RESA to AJC for employment and Training? Did the customer complete the requirements under RESA? If not, did the customer obtain employment?		Case notes or referral indicator in Jobs4TN Also, please see the final employment outcome in case notes or in Jobs4TN
48. If the customer was not referred to RESA, was the customer provided labor exchange services? Example. individual counseling; job club; assessment of skill levels, abilities and aptitudes, career guidance when appropriate, job search career guidance when appropriate, job search workshops etc.?		Please read case notes and also see in Jobs4TN types of services provided including registration in Job 4 TN system.
49. Was the customer employed after these services?	Yes/No	Please see case notes or check in Jobs4TN for employment indicator
50. If not was the customer referred to a training service or was additional labor exchange services provided?	Yes/No	Please see case notes or check in Jobs4TN for additional services

52. Does the AJC have compliant log which is used to record any complaint of discrimination?		Please review this complaint log.
53. How does the AJC provide disability awareness training for designated staff at the one-stop center?		Please learn who is trained, when the training is held, and how frequently the training is held.
ADULT SERVICES		
1. If the customer is an adult over 18 years of age, was the individual's eligibility determined under Title I also?	Yes/No	Please see if the indicator for adult eligibility has been marked in the application form and in Jobs4TN
2. Did the customer receive Labor Exchange services?		Please see the list of services under Wagner Peyser to determine service types
3. Was the participant successful in acquiring employment after receiving labor exchange services/Wagner Peyser Services?		Please see the list of Wagner Peyser services offered at the AJC.
4. Was the customer identified as low income or skills deficient?		Please see the indicator in Jobs4TN.
5. What instrument was used to calculate the customer falls within the LLSIL?		Please check to see if the latest Lower level Income calculation Policy #01-Change 04 is applied.
6. Did the customer receive Individual Development Plan (IDP) to assess the employment and training needs of the customer?		Review the Individual Development plan. See in case notes or in the activity indicator in Jobs4TN.
7. If the customer did not find employment after receiving core services under Wagner Peyser, was the customer referred to training services?		Please check in Jobs4TN the activities offered
8. Was the customer given priority for training services if determined as low income or as basic skills deficient after		Please see case notes and find out if the AJC monitors its priority of services to low income and basic skills deficient

veterans?		customers.
9. Were tests administered to assess skills needs?		Please see notes for types of tests administered and results of assessment
10. Did the results of the assessment show that the customer does not have basic skills? Such as the customer did not speak or read English or is not fluent in the language to be referred to employment or does not have a high school diploma?		Please check to find out the results of assessment.
11. Was the customers development plan followed, and was the customer referred to activities that enhance his/her chances for employment?		Please see the activities or referral provided to the participant.
12. Was the customer co-enrolled in services and activities that are provided by several partners (ex. adult education; Title I services; etc.)		Please check activities and partner services
13. Was the customer provided access to the statewide training list (ETPL) to make a choice where to attend the training?	Yes/No	See if the ETPL is accessible to other customers on the day of visit
14. Were other grants besides Title I grants considered when determining training expenses? Grants such as Pell Grant; Hope scholarship; Wilder--Naifeh, or other grants	Yes/No	Please read case notes or indicator for other grants in Jobs4TN
15. Was the customer given an ITA?	Yes/No	Please see notes or indicator in Jobs4TN
16. Did the customer receive other training services: such as Occupational skills training, Customized training, Apprenticeship, On-the Job training; Work Experience training?	Yes/No	Please see notes or indicator in Jobs4TN for training services
17. Or was the customer referred to other training programs?		See case notes or referral to the training type in Jobs4TN

18. Is the training related to demand occupations in the area or the state?		Please see the list of demand occupation the career planner uses
19. Is the customer receiving services' such as child-care, transportation services and other services that will help in the employment goals of the individual?		Review case notes or see in Jobs4TN the indicator for support services
20. Did the customer complete the training program?		Please check case notes or date of completion in Jobs4TN (if available during the monitoring visit)
21. Has the customer been given Grievance and Complaint form?		Please check in case notes that the customer has received Grievance and Complaint form
22. Did the customer complete the training program?		Please see exit indicators in Jobs4TN or read case notes.
23. Did the customer receive 12 months of follow up services after employment?		Please check in Jobs4TN or in case notes
24. If the customer did not have any work experience was the customer provided a short term subsidized transitional employment service?		Please see services indicated in Jobs4TN
25. If the customer found employment outside the local area, did he /she receive relocation assistance?		Please see case notes or indicator in Jobs4TN
26. Was the customer exited from all the services at the end of completing all services offered?		Case notes or indicator of employment in Jobs4TN.
<i>Customers with Disabilities</i>		
<i>Customers with disability (ies) will receive all the services mentioned (under adult services) if backed with necessary documentation and results of assessment(s) showing the need for the service provided. The following are</i>		

<i>questions that are unique to customers with disabilities.</i>		
1. Is the customer identified or self-identified to be a person with a disability?		Pleas provided. If not, please read case notes. Self- Attestation; or observation by the career planner and notes about the see what documentation has been provided. If not, please read case notes. Self- Attestation; or observation by the
		provided. If not, please read case notes. Self- Attestation; or observation by the career planner and notes about the individual about the dis ability is acceptable documentation.
2. Was the customer referred to the disability expert at the AJC if needed? Or was the customer served with a career planner?		See case notes for referral to a disability specialist
3. Was the customer referred to Voc. Ed specialist if determined this is the appropriate action to take to assist the customer.		Please check the types of assessments the individual
Veteran Services		
<i>Customers who are identified as veterans will receive all the services mentioned (under adult services) if backed with necessary documentation and results of assessment(s) showing the need for the service provided. The following are questions that are unique to veterans</i>		
1. Did the customer self-identify as a veteran or a spouse of a veteran?		Please read case notes or see the indicator in Jobs4TN
2. Was the veteran or the spouse of a veteran provided priority to all services under WIOA?		Please see if priority of services was

3. Was the veteran or the spouse identified as disadvantaged, low income or a person with skill deficiency?		Please read in case notes how the determination for priority of services was made to these customers
4. Was the veteran referred to the LEVER/or DEVOP specialists if determined the veteran has a significant barrier to employment?		Please see case notes or referral indicator in Jobs4TN
5. Is the veteran's unemployment connected to a military base closure?		Please see notes if Rapid Response(RR) services have been conducted, or check in Jobs4TN for RR indicator
6. If so, did the Veteran participate in Rapid Response activities?		Please see if local or state level staff was involved in RR activities. (providing workforce services, creating labor management team, conducting needs survey; etc.),
Dislocated Worker Services		
<i>Dislocated workers will receive all the services mentioned (under adult services) if backed with necessary documentation and results of assessment(s) showing the need for the service provided. The following are questions that are unique to Dislocated Workers</i>		
1. Has the individual met the eligibility criteria for Title I dislocated (dw) worker program eligibility criteria mentioned on pages 17-18 of this manual?	Yes/No	Please see the case notes or the indicator in Jobs4TN
2. Has the worker received Rapid Response services?	Yes/No	Please see case notes or the indicator in Jobs4TN(see the RR activities under the veteran questions)
3. Was the individual referred to the AJC through the RR process?		Please check the referral process in VO or in case notes.
Youth Services		

1. Has the date of birth been captured for all youth?		Please check photocopies of driver's license, State ID, Birth certificate U.S. Passport, Permanent Alien Residence Card
2. If male, 18 years & born after 1-01-60, has he registered for Selective Service?		Please review and verify the selective service registration
3. Is the date of WIOA application captured in Jobs4TN?		Please look for the e-Jobs4TN page which contains WIOA application date
4. Did participant sign and date the application?		Please see the signature is documented in Jobs4TN
5. Has eligibility been verified?		Please see in Jobs4TN if the indicator for eligibility is used.
6. Did the participant and the career developer sign the Equal Employment Opportunity Statement		Please check to see if the participant and the career planner have signed the EEO form.
7. Is the youth served as an in-school-youth between the ages of 14-16?		Please check case notes or the age
8. Is the youth served as an out-of-school youth between the ages of 16-24?		Please check case notes or the age identifier in Jobs4TN
9. Is the youth served with 5% of youth funds designated for youth who do not meet the disadvantaged criteria, but are skills-deficient?		Please check to see if the 5% funds were used to serve youth who are not disadvantaged but are skills deficient.
10. Has the youth been assessed and the Individual Service Strategy (ISS) plan developed?		Please check if the individual Service strategy has been developed.
11 Is the out-of-school youth served as an adult because he/she meets the adult age criteria?		Please check to see the ISS and the reasons for providing adult services.
12. Does the youth live in "high poverty area" and is considered low income?	Yes/No	Please see the area of residence and the designation of the area as high poverty area.
13. Is the plan developed based on the results of the Youth's Individual Service		Please check assessment results and the service strategies developed in in case

Strategy results?		notes.
14. Did the results of the assessments show basic skill deficiencies’?		Please read the results of test and the type of test administered.
15. Was the youth referred to adult education or other institution to eliminate the deficiencies?		Please check to see if referral was made to adult education or any institution that will remedy the deficiency. ESL class etc...
16. If the youth is not basic skills deficient but lacked other		Please check case notes and the 14 elements selected for service.
components needed to find employment were all or one or more of the 14 youth elements provided?		
17. Were goals set for the in-school-youth to meet within a certain period of the school year?		Please read case notes or see the youth elements checked the youth must meet.
18. Was the youth provided EEO information in English and in Spanish?		Please check in case notes if the form is signed by the youth if 18 and over and by a guardian if less than 18.
19. Is English the youth’s second language (ESL)?		If yes, see case notes in Jobs4TN
20. Were career services provided to youth 16-24 who want immediate employment to sustain life demands?		Please check case notes to for appropriate labor exchange services provided or check the indicator of
21. Was the income guideline for the current year used when calculating the income of youth at the time of registration and to determine the disadvantaged criteria for those referred to the adult program?		Please check the Lower living Standard Income calculate for the current year and the determination made for the disadvantaged criteria and the priority for training provision
22. Did the older youth receive labor exchange services if the request was for immediate employment?		Please check in case notes or in Jobs4TN if Wagner Peyser labor exchange services were provided also check indicator for services.

23. Was the youth employed?		Please check in case files or in Jobs4TN
24. If the youth is deficient in English was the youth referred to a provider for this service?		Please see case notes or find the indicator of the class offered in Jobs4TN or reference to referral to adult.
25. Has the state criteria for “additional assistance to in-school-youth” been observed?		Please see in case notes or the indicator in Jobs4TN for additional assistance for in-school youth?
26. Has the state criteria for “additional assistance to out-of-school-youth” been observed if the youth needs additional assistance?		Please see in case notes or the indicator in Jobs4TN for additional assistance for out of school youth-
27. Has the AJC made the school attendance of an out-of-school youth a priority?		
28. Has the AJC made the school attendance of an out-of-school youth a priority?		Please see the local policy regarding the importance of increasing services of out-of-school youth or see the recruitment efforts
29. Has the AJC made effort to arrange classes for out- of-school youth outside the normal school hours? If not, did the AJC arrange for late classes?		Please interview the management and their advice to career planners staff
30 Is the AJC (local board) develop its own criteria for youth needing additional services that is more stringent than the state?		Please check that the board has developed its own policy in regards to additional assistance to youth who are in-school and out-of-school-youth?
31. Has the local board created a standing committee to direct the youth program?		Please check if the Standing Committee is directing the youth program in the area (AJC)
32. If not, is the local board responsible for directing the youth program or has a member who is an expert in youth affairs representing youth interests?		Please review minutes of the local board and references to youth programs
33. Did the youth receive training services (ITA) specifically and apprentice		Please see case notes and determination

training?		made to provide ITA
34. Was the youth provided the ETP list to make a decision and to choose a provider?		Please see case notes and ETP list provided
35. Does the training provide a credential and is a demand occupation?		Please see case notes and the demand occupation in LMI
36. Is the youth provided exposure to industry features such as team work Paid and unpaid		Please see in case notes or indicator for Jobs4TN for these services
community service or job shadowing?		
37. Is the youth receiving stand-alone summer youth programs (this service can be paid or unpaid)?		Please check in case notes or in Jobs4TN summer project services and whether the service is paid or unpaid?
38. Are all services for youth procured with the exception of framework services which include intake, registration, eligibility determination; objective assessments; Individual service strategy; referral to other service providers an follow up services; if these services are not contracted out?		Please check case notes for services provided in-house
39. Does the youth provider offer financial literacy which includes learning how to create a budget, manage spending, credit and debit including about credit card debt etc?		Please check if financial literacy is part of the service mix.
40. At the time of monitoring visit is the expenditure of out of school youth exceeding the 75% minimum expenditures levels?		Please check financial records
41. Did the youth receive the grievance procedure?	Yes/No	Please check in case management or in youth file and in Jobs4TN if information is uploaded.
42. Are the services provided based on Individual Service Strategic Plan	Yes/No	Please read the ISS developed by the career planner and how the strategy is

developed? If the services plan has changed was it documented		followed or modified with the career planner or see in Jobs4TN
43. Were youth provided work experience training?	Yes/No	Please check case notes if the youth was in a work experience program.
44. If the youth has a disability and needed employment was he/she referred to a suitable employment?	Yes/No	Please check in notes or in Jobs4TN for employment indicator
45. Has hours of attendance during training being documented?	Yes/No	Please see the hours of work youth performed in case notes or in the file of the youth
46. Was a youth in unpaid training and was he/she provided support services, when needed?	Yes/No	Please check if support services were needed. If denied was there an explanation in case notes.
Trade Adjustment Assistance		
1. Is the worker covered under a certified TAA petition and is there supporting documentation in the participant's file or in Jobs4TN?		Please check in the participant's file or in Jobs4TN
2. Did the participant receive a waiver of training requirement?		Please check to see in the Reemployment Assistance program claims history or see if there is a hard copy of waiver
3. Was the waiver reviewed every 30 days and documented in the case file?		Please check in the participant's file or interview TAA staff
4. Did the individual meet the six criteria for training under the Trade Act? <ul style="list-style-type: none"> • Was the worker assessed and qualified to undertake the training? • Was there no suitable employment for the worker? • Did the worker benefit from the training? • Was there reasonable expectation 		Please check in the file of the worker to see the reasonableness of providing training based on the six criteria.

<p>of employment following the completion of training?</p> <ul style="list-style-type: none"> • Was the training approved by a TAA specialist? • Did the referral to training take into account the back ground , experience and cost of training? 		
5. Was the training plan documented?		Please check in the participant's file or in Jobs4TN
6. Was the training approved within 30 days of the training start date?		Please see approval and training start date
7. If not, was there a justifiable cause?		Please read case notes in file or in Jobs4TN
8. Was the participant approved for occupational or customized skills training?		Please check in file or in Jobs4TN the type of training approved
9. If yes, was the training completed within 130 weeks of the start date?		Please see in file or in Jobs4TN the approved ending date of training
10. Was the training outside the commuting area?		Please see in file or information uploaded in Jobs4TN
11. Was the approved training On-the – Job Training or Customized training?		Please see in file or information uploaded in Jobs4TN
12. Is there documentation that the worker has been referred to an employer for on-the –job training?		Please see in Jobs4TN or in the participant's file
13. Does the job title on the referral match the occupation listed on the participant's IEP?		Please check file, case notes or in Jobs4TN
14. Did the participant receive relocation allowance?		Please check in case notes or in Jobs4TN
15. Did the participant receive job-search allowance		Please check in case notes, in the file or in Jobs4TN
16. Did the participant file contain		Please check in case notes, in the file or

time/attendance records for each period enrolled and participating in training?		in Jobs4TN
Did the participant file contain course outline and registration for each semester enrolled?		Please check in case notes, in the file or in Jobs4TN
RESEA Program		
<i>RESEA customers will receive all the services mentioned (under adult services) if backed with necessary documentation and results of assessment(s) showing the need for the service provided. The following are questions that are unique to RESEA customers</i>		
1. Was the orientation date recorded?		Please check in case notes, in the file or in Jobs4TN
2. Did the claimant attend orientation?		Please check in case notes, in the file or in Jobs4TN
3. Was customized LMI and career information discussed with claimant?		Please check in case notes, in the file or in Jobs4TN
4. Was self-assessment conducted?		Please check in case notes, in the file or in Jobs4TN
5. Was the participant provided counseling , resume writing , job search workshop?		Please check in case notes, in the file or in Jobs4TN
6. Was EDP conducted to assist in finding employment?		Please check in case notes, in the file or in Jobs4TN
7. Was there a job search log?		Please check in case notes, in the file or in Jobs4TN
8. Was the participant referred to the AJC for training Services?		Please check in case notes, in the file or in Jobs4TN
Supplemental Nutrition Assistance Program		

<i>SNAP customers will receive all the services mentioned (under adult services) if backed with necessary documentation and results of assessment(s) showing the need for the service provided. The following are questions that are unique to SNAP customers</i>		
1. Was the SNAP participant referred by the Department for Human Services?		Please check in case notes, in the file or in Jobs4TN
2. Did the participant receive all appropriate services a disadvantaged adult would receive when referred to the AJC?		Please see all services provided for adults above on Page XXX to assist monitoring all SNAP participants referred to the AJC
Statewide funds activities		
1. Has the contractor submitted quarterly reports on a timely basis?		Please verify if the required quarterly reports for expenditures and obligations have been sent to TDLWD on a timely basis.
2. Are Please verify if the required quarterly reports for expenditures and obligations have been sent to TDLWD on a timely basis.		Please verify if data for persons served by statewide funds is collected in Jobs4TN.
3. Does the targeted population also reach those who are underemployed, because of their lack of certification, or expect to become employed, as a result of their participation in the program?		Please see program results or reports submitted on a monthly or quarterly basis.
4. Is the training provided leading to a certificate?		Please verify if the participant received a certificate upon the completion of the training
5. Did the AJC meet the targeted number of participants for whom funds were requested?		Please review the application submitted and the number of participants served.
6. In providing participant services, has the AJC met the eligibility requirements		Please review if the participants served meet the eligibility requirement as stated

of the target group to be served?		in the application for receiving funds
7. Did the application for receiving funds mention the goals to be met on a quarterly basis?		Please verify if the goals have been met
8. If the quarterly expenditure goals have not been met, has the contractor/AJC provided an explanation, in writing, to the State in the quarterly report?		Please check with the administration to see if the State was provided with an explanation for the low expenditure.
9. Were the participants served by statewide funds employed at the end of the contract period?		Please check to see if the participants were employed after receiving the training services.

FISCAL
QUESTIONNAIRE

WORKFORCE INNOVATION FISCAL Questions

	QUESTION	YES	NO	N/A	Documentation
1.	Have all of the LWDA's programs, exceeding \$500,000 in WIOA funding, been audited during the past two years?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to the audit report and the corrective action if any are on file with the administrative office.
2.	If so, (see preceding question) have all audit reports been sent to grantor agencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please cross-reference the LWDA administrative office and grantor agency for verification
3.	Does the LWDA have a line-item budget for the adult, dislocated worker, and youth programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the budget for each program.
4.	Does the LWDA have a method to ensure that the obligation on all contracts does not exceed availability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the procedure or any method the LWDA uses to prevent over-obligation of contracts.

5.	Were the expenditures on contracts (WIOA contracts) over reported?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the procedure or any method the LWDA uses to prevent over-obligation or over-reporting of expenditures.
6.	Are there sufficient documents or financial records to support expenses reported for each grant for the month tested?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check all invoices and reconciled reports including supporting documentation for expenses for the monitoring period.
7.	How often does the LWDA draw down cash and how does it determine the amount to be drawn?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the cash management activities and the needs for the amounts to be drawn.
8.	Does the LWDA have a policy on cash management and does it follow any such policies on cash management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if its policy is followed as instructed?
9.	If the LWDA has purchased equipment costing \$100-\$5,000, did the LWDA request approval? Approval for equipment over \$5,000?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please see the approval and the request submitted to TDLWD. (For equipment both less than \$5,000 and more than \$5,000)
10.	Does the LWDA account for any program income earned? Were all program incomes reported if any?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please learn whether or not the LWDA has any earned program income and reported it to TDLWD during the proper reporting quarter.
11.	Does the LWDA have excess cash on hand?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please compare the amount of drawdown each month with expenditures to see if all draws are expended before making additional drawdown requests (for each contract drawdown requested).
12.	Did the LWDA use its earned program income for program service(s)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check what the program income was used for.
13.	How does the LWDA allocate funds to staff working in various grants? How is time of staff allocated and documented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check with the fiscal administrator to review staff time-distribution sheets and the

	for these various programs?				calculations based on the.
14.	Is the LWDA adhering to state travel regulations when its employees are on business travel? Are mileage logs documented and are payments based business trips only?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the LWDA's travel policy and how it is followed and how payments made.
15.	Are the agency's vehicles used by personnel for personal business?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if payments are made for personal use and if the LWDA authorized these vehicles to be used as personal vehicles for the staff.
16.	Is new equipment tagged and inventory taken before the quarter preceding the monitoring visit? If equipment is missing, did the LWDA report to authorities and inform TDLWD?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the inventory list and see if it is updated to account for all new acquisitions. Please check the document submitted to local authorities and to TDLWD for missing equipment.
17.	Did the cognizant agency provide an approval letter for the indirect cost rate for the WIOA program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please request letter of approval from the administrative staff.
18.	Are time sheets maintained for any employees who work on more than one program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review time sheets, of employees assigned to more than one program, for Labor Distribution.
19.	Are the LWDA's depreciation policies, or methods of computing use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review LWDA depreciation policies.
	allowances, in accordance with the standards outlined in Federal circulars or WIOA regulations?				
20.	Does the LWDA system have procedures that provide reasonable assurances that consistent treatment is applied in the distribution of charges as direct or indirect costs to all benefiting programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review procedures regarding distribution of direct/indirect charges.

21.	Are all expenditures and obligations made within the contract period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please examine the general ledger and other supporting documentation to ensure all expenditures are within the contract period materials.
22.	Has the LWDA met the 75% expenditure for out-of-school youth activities or is working towards the 75% based on the quarter the monitoring team tested the financial reports?				Pl at the end of the contract you are examining ease review the expenditures
23.	Does the LWDA have a record of the cost allocation plan approved by the cognizant agency and did the LWDA apply these costs accurately and consistently?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the plan and paperwork to see how the approved indirect cost is applied.
24.	Are administrative costs applied according to the plan for the particular contract number or program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review administrative costs and how they are applied to each contract and determine if the costs are within the limits allowed.
25.	Are all purchases, above the threshold amount, competitively bid?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review purchase orders and verify the existence of several suppliers.
26.	Has the subgrantee received approval for all transactions related to equipment and real property per the TDLWD Property Management Policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please ask for a copy of the original subgrantee request and approval from TDLWD..
27.	Have the subgrantees (LWDAs) let out competitive bids for the youth program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review subcontract agreements and ensure that the agreement contains compliance information and the monitoring schedule.
28.	Does management provide personnel approving and pre-auditing expenditures with a list of allowable and unallowable expenditures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the allowable and unallowable list management provided to personnel.
29.	Is there separate accountability for charges and costs between Federal and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review accountability for costs and charges to Federal and

	non-Federal activities?				non-Federal activities.
30.	Are adjustments to unallowable costs made where appropriate and follow-up action taken to determine the cause?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if there are unallowable costs and if the LWDA has corrected the error to avoid future occurrences.
31.	Is the LWDA using the first-in and first-out funding basis to ensure funds are used within the period of availability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the contract availability period and obligation and expenditures to ensure funds are used during the period of availability.
32.	Are there procedures in place to minimize the time elapse between cash drawdown of funds and the payment of expenditures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if the LWDA cash drawdown and disbursements are based on the procedure established.
33.	Is there interaction between management and staff regarding questionable costs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please refer to communications between management and staff regarding questionable costs, if any.
34.	Does the LWDA accurately determine if the cost of salaries and benefits of staff and participants training is charged to the appropriate grant/funding source?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if appropriate grant source is used when determining costs.
35.	Does management review supporting documentation of allowable cost information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Consult with management team or responsible party for reviewing allowable costs.
36.	Are comparisons with the budget and expectations of allowable costs made?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the procedure used to compare budget and allowable costs.
37.	Are analytical reviews and audits performed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review audit report.
38.	Is the accounting system capable, of scheduling payments for accounts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the procedure used to avoid time lapse

	payable and requests for funds from TDLWD, to avoid a time-lapse between drawdowns and actual disbursements of funds?				between drawdowns and actual disbursement of funds.
39.	Is there variance reporting of expected versus actual cash disbursements of Federal awards and drawdowns of Federal funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if there are variances between cash disbursement and drawdown of Federal funds.
40.	Are there periodic independent evaluations (e.g., by internal audit, top management) of entity cash management, budget and actual results, repayment of excess interest	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Check if evaluation has been made regarding cash management, budget and actual results, repayment of excess interest earnings, and
	earnings, and Federal drawdown activities?				Federal drawdown activities
41.	Are contractor and subcontractor payrolls monitored to ensure certified payrolls are submitted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the agreements and contract terms between contractor and subcontractor.
42.	Are management reviews performed to ensure that contractors and subcontractors are properly notified of the Davis-Bacon Act in regard to prevailing wages for incumbent workers or for on-the-job training services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the Davis-Bacon Act requirements.
43.	Is periodic monitoring of detailed transactions conducted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the audit report.
44.	Are accurate records maintained for all acquisitions and dispositions of property acquired with Federal awards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please see if records kept on all acquired property are up-to-date and that a copy has been sent to TDLWD.
45.	Are property tags placed on equipment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please to see if all property acquired with Federal funds is tagged.
46.	Is a physical inventory of equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please see if the inventory listing

	periodically taken and compared to property records?				of all equipment is up-to- date.
47.	Have procedures been established to ensure that the Federal awarding agency is appropriately reimbursed for	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the procedure developed to ensure appropriate reimbursement for
	dispositions of property acquired with Federal awards?				acquired property.
48.	Are policies and procedures in place for responsibilities of record keeping and authorities for disposition?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the policy for record keeping or interview fiscal management staff members responsible for this duty.

49.	Does the accounting system prevent obligations or expenditures of Federal funds outside of the period of availability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview fiscal management staff members about how they prevent expenditures from occurring outside the contract period.
50.	Are channels of communication established for reporting suspected improprieties in the use or disposition of equipment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview the management about how suspected improprieties in the use or disposition of equipment are prevented
51.	Does management review the results of periodic inventories and follow up on inventory discrepancies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the listing of inventory that the management reviewed before forwarding a list to TDLWD.
52.	Does management review property dispositions to ensure appropriate valuation and reimbursement to the Federal awarding agency?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review management's property valuation and reimbursement.
53.	Does the budgetary process consider the period of availability of Federal funds as to both obligation and disbursement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the quarterly financial expenditure reports forwarded to the awarding agency.
54.	Are the entity's operations such that it is unlikely there will be Federal funds remaining at the end of the period of availability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review how fiscal management assures that Federal funds received are expended before the contract is closed.
55.	Are un-liquidated commitments canceled at the end of the period of availability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the directives of management to staff regarding un-liquidated commitments.
56.	Are un-liquidated balances periodically reported to the appropriate level of management along with follow-up?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if management has any decisions or directives for fiscal staff on un-liquidated balances.
57.	Are periodic reviews of expenditures before and after cutoff dates performed to ensure compliance with period of availability requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review expenditure goals to ensure that funds have been expended before the ending dates of funding availability.
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59.	Is there a clear assignment of authority for issuing purchasing orders and contracting for goods and services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review duties of the fiscal staff.
60.	Does the LWDA's procurement manual incorporate Federal requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the procurement manuals of the subcontractor.
61.	Have procedures been established to identify risks arising from conflicts of interest, e.g., kickbacks, related-party transactions, bribery?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the conflict of interest policy of the sub-grantee and please check if staff is aware of this policy.
62.	Are conflict of interest statements maintained for individuals responsible for procurement of goods and services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check with staff responsible for this duty.
63.	Is there an official written policy for suspension and debarment that: a. Contains or references the Federal requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the debarment and suspension policy. If one is not available, please check to see if any written document is provided to staff regarding this provision.
	b. Prohibits the award of a sub-award, covered contract, or any other covered agreement for program administration, goods, services, or any other program purpose with any suspended and debarred party?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the debarment and suspension policy. If one is not available, please check to see if any written document is provided to staff regarding this provision.
64.	Is the contractor's performance, with the terms, conditions, and specifications of the contract, monitored and documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if all contract terms and agreements are honored by the contractor.
65.	Are duties properly segregated between employees responsible for contracting and accounts payable and cash disbursing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the duties of employees in accounts payable and cash disbursement.
66.	Do supervisors review procurement and contracting decisions for compliance with Federal procurement policies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the procurement procedures, or policy, or manual that the contract uses.

67.	Are procedures established to verify that vendors providing goods and services under the award have not been suspended or debarred from Federal procurement contracts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the procedure the contract uses to verify vendor's status.
68.	Are procurement actions appropriately documented in the procurement from TDLWD established	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check file and the documents to assure activities regarding procurements are documented
69.	Has a system been established to assure that procurement documentation is retained for the time period required by the A-102 Common Rule, OMB Circular A- 110, award agreements, contracts, and program regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the procurement procedures and verify if the rules for procuring goods and services are followed.
70.	Does management periodically conduct independent reviews of procurements and contracting activities to determine whether policies and procedures are being followed as intended?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview management and find out if there are documents showing independent reviews of the financial system to ensure policies, etc. are followed.
71.	Are mechanisms in place to ensure that program income is properly recorded as earned and deposited in the bank as collected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the quarterly financial reports submitted to the grantor.
72.	Does management compare program income with the budget and investigate significant differences?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview the involvement of management in this process.
73.	Does management perform an internal audit of program income?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview the involvement of management in this process.
74.	Is there a tracking system which reminds staff when reports are due?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if there is a tracking system alerting staff of due reports.
75.	Is the general ledger or other reliable records the basis for reports?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the documents used for reporting.
76.	Do supervisors review reports to assure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check to see if reports

	the accuracy and completeness of data and information included in the reports?				were provided to management or supervisors for their review.
77.	Is the required accounting method used to prepare the reports (e.g., cash or accrual)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the accounting method.
78.	Is there an established accounting or information system that provides for reliable processing of financial and performance information for Federal awards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the financial system's capability to process financial information for reporting purposes.
79.	Do communications from contractors corroborate information included in the reports for Federal awards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review contract terms.
80.	Is there a periodic comparison of reports with supporting records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if financial reports have supporting documents.
81.	Do subrecipients demonstrate that:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if the sub-recipient is complying with the requirements of the contracts awarded.
	a. They are willing and able to comply with the requirements of the award?				
	b. They have accounting systems, including the use of applicable cost principles, and internal control systems adequate to administer the award?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	b. They have accounting systems, including the use of applicable cost principles, and internal control systems adequate to administer the award?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
82.	Do official written policies exist establishing: a. Communication of Federal award requirements to subrecipients?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the local policy established that covers the areas mentioned in questions 82.
	b. Responsibilities for monitoring subrecipients?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	b. A methodology for resolving subrecipient findings of subrecipient	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above

	noncompliance or weaknesses in internal control?				
	c. Requirements for and processing of subrecipient audits, including appropriate adjustment of pass-through entity's accounts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
83.	Is the subrecipients' compliance with audit requirements monitored by using techniques such as: a. Determining by inquiry and discussion whether the subrecipient met the threshold requiring an audit under OMB Circular A-133?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	a. If an audit is required, assuring that the subrecipient submits the report package or the documents required by the latest OMB circulars and/or the recipient's requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	b. If a subrecipient was required to obtain an audit in accordance with OMB Circular A-133 but did not do so, following-up with the subrecipient and taking appropriate actions (withholding further funding) until the audit requirements are met?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
84.	Has management identified for subrecipients the Federal award information (e.g., CFDA title and number, award name, name of Federal agency, amount of award) and applicable compliance requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review if the Catalog of Federal Domestic Assistance -- CFDA, title, number award amounts, etc., mentioned in question 111, are identified for contracts awarded.
85.	Has management included in the agreements with subrecipients the requirement to comply with the compliance requirements applicable to the Federal program including the audit requirements of OMB Circular A-133?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review if management has provided and circulated the OMB Circular A-133 to staff to make them aware of A-133 Administrative Requirement.

86.	Is the subrecipient' s compliance with Federal program requirements monitored using such techniques as the following: a. Issuing timely management decisions for audit and monitoring findings to inform the subrecipient whether the corrective action planned is acceptable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the monitoring techniques used by the subrecipient and check which of the items the procedure fulfills.
	b. Maintaining a system to track and follow up on reported deficiencies related to program funded by the recipient and ensuring that timely corrective action is taken.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	c. Maintaining regular contacts with subrecipients and making appropriate inquiries concerning the Federal program.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	Question	Yes	No	N/A	Documentation
	d. Reviewing subrecipient reports and following up on areas of concern.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	e. Monitoring subrecipient budgets.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	f. Performing site visits to subrecipients to review financial and programmatic records and observe operations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	g. Offering subrecipients technical assistance when needed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
87.	Is Subrecipient, compliant with Federal program requirements, monitored using such techniques as the following: a. Issuing timely management decisions for audit and monitoring findings to inform the subrecipient whether the corrective action planned is acceptable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the monitoring techniques used by the subrecipient and check which of items the procedure fulfills.

	<p>b. The description and program number for each program as stated in the Catalog of Federal Domestic Assistance (CFDA)?</p> <p>Note: If the program funds include pass-through funds from another recipient, the pass-through program should be identified.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
	<p>c. A statement signed by an official of the subrecipient stating that the subrecipient was informed of, understands, and agrees to comply with applicable compliance requirements?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Same as above
88.	<p>Is a record keeping system in place to assure that documentation is retained for the time period required by the recipient?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the record keeping system of the recipient of Federal funds.
89.	<p>Is summer youth program activities contracted as stand-alone program activities?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check payments to the summer youth participants.
90.	<p>Has a tracking system been established to assure timely submission of required reporting, such as: financial reports, performance reports, audit reports, on-site monitoring reviews of subrecipients, and timely resolution of audit findings?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check with management or staff for a tracking system
91.	<p>Are supervisory reviews performed to determine the adequacy of subrecipient monitoring?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please interview management or check written reviews by management about the financial monitoring at the subcontractors level.
92.	<p>Is a current, fully-executed, Workforce Innovation and Opportunity Act (WIOA) contract, along with all amendments, located at the LWDA</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check if contracts are kept at the administrative office.

	administrative office?				
93.	Does the LWDA have a documented system of contract administration which ensures that subcontractors perform within the terms of their subcontracts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the contract terms and agreements made to subcontractors.
94.	Are there mechanisms to ensure that no more than 5% of the youth funds serve non-disadvantaged youth?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the expenditures for the youth program.
95.	Does the payroll for summer youth participants exceed payment amount?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review contract documents.
96.	Were expenditures charged to contract prior to the contract's beginning date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the beginning and end date to determine charges.
97.	Were there discrepancies in the participant's payroll enrolled in OJT/Incumbent Worker and NEG/DWG programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the terms of contract.
98.	Has the LWDA developed a policy for employee travel-expense payment? If not, is the LWDA following the State travel reimbursement policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check what policy the LWDA or their employees are following?
99.	Does the rate of reimbursement for travel exceed the allowed State amount?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the policy or payments made for travel expenses.
100.	Is there a method used by the LWDA to maintain personnel costs for employees working in several programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check time distribution sheets that employees submit to the LWDA.
101.	Does the financial record the LWDA submitted to TDLWD agree with the accounting records of the LWDA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please compare the accounting records of the LWDA to the records submitted to TDLWD
102.	Has the LWDA met or exceeded the minimum 75% expenditure requirement for out-of-school youth in the Workforce Innovation and Opportunity Act (WIOA) Program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review the active youth contract to determine the percentage.
103.	Are employees or administrators using	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check the policy to find

	WIOA owned vehicles for normal commute from home to work?				out if use of vehicles, from home to work, is part of a compensation plan.
104.	Does the LWDA have a personal mobile-phone policy when a staff member is approved to use personal phones for business?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Please read either the State policy or LWDA policy about how personal phones are used for business-related calls.
	How are payments for business calls calculated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please review method of calculation.
105.	Do staff members or administrators use logs to distinguish personal-call from business-call payments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check method of payment when personal mobiles are approved for making business calls.
106.	Was there excess cash on hand when examining drawdown amounts at the time of monitoring visit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Please check drawdown amount expenses to determine excess cash on hand.

Program Questionnaires SCSEP

Question		YES	NO	N/A	Parameters
1.	Is the Sub-Grantee familiar with the Workforce Development Area requirements?				SCSEP is a required partner under Workforce Development Area and is part of the One-Stop Delivery System and required to follow all applicable rules under WIOA and its regulations
2.	Does a MOU exist between the sub-grantee and the WIOA Local Board?				
3.	Are applicable SCSEP core services at the comprehensive				

	Career Center outlined in the MOU?				
4.	Is there a referral process identified and described in the MOU?				641.220 SCSEP resources are to be used to provide SCSEP services to SCSEP eligible individuals. SCSEP is to refer ineligible individuals to the One-Stop Delivery System for services.
5.	Did the sub-grantee choose to arrange a reciprocal arrangement in the MOU?				641.230 In an MOU, reciprocal arrangements can be negotiated between SCSEP and the One-Stop Delivery System to accept each other's assessment to determine need for services in SCSEP and Adult Programs under Title IB of WIOA
6.	Does the sub-grantee distribute Career Center handouts to customers				641.210 SCSEP is required to make arrangements through the One-Stop Delivery System to provide eligible individuals with access to other activities carried out by WIOA partners at the Career Center.
7.	Do the recruitment and selection procedures reflect the sub-grantee is seeking to enroll Minorities?				641.515 Each grantee or sub-grantee must develop methods of recruitment and selection that assure that the maximum number of eligible individuals will have an opportunity to participate in the program.
8.	Do the recruitment and selection procedures reflect the sub-grantee is seeking to				641.515

	enroll Limited English speaking eligible individuals?				
9.	Do the recruitment and selection procedures reflect the sub-grantee is seeking to enroll those with the greatest economic need?				641.515
10.	Are Host Agency agreement files being maintained in accordance with SCSEP program regulations?				
11.	Is there feasible evidence that the sub-grantee is adhering to the priorities and preferences when examining participant characteristics?				In accordance with 641.520 , sub- grantees should select qualified individuals.
12.	Does the project have a waiting list?				641.520
13.	Do participant files show accurate computation of family income, using the inclusion and exclusion listed in the SCSEP Regulations?				641.530
14.	Is there a policy/procedure for immediate or 30-day terminations due to incorrect determination of eligibility?				641.530
15.	Is there a written grievance policy for complaint resolution for employees, sub-recipients, and participants				641.530
16.	Is there documentation in the file that the applicant was referred to other services when found ineligible for SCSEP				641.530

	services?				
17.	When a participant is terminated for cause, is there proper documentation in the file?				641.530
18.	Is there documentation in the file that SCSEP participants are offered a free annual physical examination referral?				641.530
19.	Is the Confidential Income Statement used for both application and recertification?				641.530
20.	Is eligibility documentation in the participant files?				641.530
21.	Is there an I-9 Employment Eligibility Form on file for each participant enrolled?				641.520
22.	Is orientation provided to new participants at the time of enrollment or prior to the first day at a host agency and compensated?				641.535 When Individuals are selected for participation in SCSEP, the grantee or sub-grantee is responsible for providing the following.
23.	Is there an IEP in the file documenting a complete assessment and plan for the SCSEP participant?				641.535
24.	Is there documentation that the host agencies and supervisors have been provided orientation?				641.535
25.	Is there documentation that a Participant Handbook is provided to SCSEP participants?				641.535
26.	In the participant's file, is there a copy of the Participant Task Form dated and signed on or before the Participants first day				641.535

	at a host agency?				
27.	Does the project assess each new participant to determine the most suitable SCSEP assignment for that individual?				641.535
28.	Is the assessment made in consultation with the participant and does it consider the individual's preference of occupational category, work history, skills, aptitudes, and potential for performing proposed community service duties?				641.535
29.	Does the assessment consider the potential for transition to unsubsidized employment?				641.535
30.	Does the project seek a community service employment assignment which permits the most effective use of each participant's skills and aptitudes?				641.535
31.	Does the project evaluate each participant to determine potential for transition to unsubsidized employment and the appropriateness of participant's current community service employment assignment?				641.535 -615-590 Grantee's and Sub-Grantee's responsibility to the SCSEP Participant
32.	Does the project develop alternate assignments, whenever feasible, if it is determined that a different				641.535 -615-590

	community service employment assignment will provide greater opportunity for the use of the participant's skills and aptitudes, providing work experience which will enhance the potential for unsubsidized employment?				
33.	Are the assessments and evaluations required by this section documented and part of the participants file?				641.535 -615-590
34.	Is the Individual Employment Plan (IEP) developed within 3 months of enrollment for each participant and include the assessment?				641.535 -615-590
35.	Does the project evaluate the progress of the participant at least once a year?				641.535 -615-590
36.	Are there specific goals and completion dates included in the IEP?				641.535 -615-590
37.	Are progress review dates noted in the IEP?				641.535 -615-590
38.	Are there signed agreements between the participant and project in the file?				641.535 -615-590
39.	Is the original IEP maintained in the participant's file?				641.535 -615-590
40.	Are participants receiving daily supervision at training sites?				
41.	Are supervisors ensuring that no participant works more than the compensated number of hours per day?				

42.	Are participants compensated for extra hours?				
43.	Are supportive services being provided to assist participants in subsidized and, where appropriate, in unsubsidized employment?				641.545 The grantee or sub-grantee may provide or arrange for support services to assist participants in participating in SCSEP such as paying transportation, healthcare/medical, job related i.e.: shoes, badges, uniforms, eyeglasses, tools, child care, adult care, temp shelter, and follow-up services cost.
44.	Are supportive services obtained at no cost or reduced cost to the program?				641.545
45.	Are grant funds used to subsidize participants transportation cost?				641.545
46.	Is transportation obtained at no cost or reduced cost to the program.				641.545
47.	Is training being provided in job seeking skills in preparation for unsubsidized placement? Date the job seeking skills training was provided.				641.540 The grantee or sub-grantee must arrange skill training that is realistic and consistent with the participant IEP and that the most effective use of skills and talents. This does not apply to training received as part of a community service assignment.
48.	Is the assessment process being used to determine individual participant training/education needs?				641.540
49.	Has training/education been				641.540

	made part of the participants IEP?				
50.	Are host agency community service activities provided, and clearly spelled out in the participant job description and IDP and not confused with training?				641.540
51.	Are training records kept in accordance with TDLWD/SCSEP policy?				641.540
52.	Have all training/education costs expended during the current year been described in a detailed sub-grant work-plan/budget or been approved in writing by the state coordinator?				
53.	Are participant meetings held quarterly and are they documented?				
54.	Are there documented copies of agenda and sign-in sheets for quarterly participant meetings?				
55.	Can the sub-grantee produce documentation of training hours being tracked on each participant?				
56.	Can the sub-grantee produce documentation of 6 month follow up on all participants that have obtained unsubsidized employment?				641.555 For participants placed in unsubsidized employment, the grantee must make contact during the first 6 months to determine if support services are needed to remain in the job.
57.	Are customer satisfactions surveys on file for participants that have completed 30days of				641.555

	subsidized employment?				
58.	Does it appear that the placement goal will be achieved by the end of the grant period?				641.560 Grantees are encouraged to work with the most difficult to place and refer job ready individuals to the Career Center.
59.	If there is a deficiency in meeting the goal is there corrective action documentation on what steps will be taken to meet the goal				641.560
60.	Was the unsubsidized placement goal met last year?				641.560
61.	Are private and public sector employers contacted directly to identify and develop suitable job openings for SCSEP participants? Are these efforts being documented?				
62.	Are participants being referred to and attending Job Fairs/Job Clubs/WIOA One-Stop System been used to assist in meeting placement goal?				
63.	Is job search assistance being provided to participants?				
64.	Is follow up being conducted with the participant within the first six months to determine if support services are needed to maintain employment?				
65.	Is follow up being conducted with the participant to establish placement and delivery of customer service survey if applicable?				

66.	Do follow-ups conform to USDOL requirements?				
67.	Are initial physical examinations offered to each participant?				641.565 Participants wages are based on the highest applicable minimum wage for time spent in orientation, training, and work in community services assignments.
68.	Are additional physical examinations offered at least once a year or before fifteen continuous months?				
69.	Are physical examinations obtained at no cost to the project whenever possible?				
70.	Has the maximum duration of enrollment been established and approved in the grant agreement?				641.570
71.	Has a limit on the amount of time at each agency been established and approved in the grant?				641.575 A Grantee may establish a limit on the amount of time its participants may spend at each agency. Such limits should be established in the grant agreement and reflected in the IEP.
72.	Does the sub-grantee have a termination policy on file?				614.580
73.	During orientation and throughout participation, are participants informed and reminded of the non-employment status of community service activities?				641.590
74.	Is the project over-enrolled?				

75.	Is the project monitoring spending levels during the grant year?				
76.	Is there a procedure in place that governs implementation of the provision against activities utilizing SCSEP funds?				641.833 – 641.836
77.	Is there documentation that SCSEP staff and participants are informed that they are prohibited from participating in political activities while on the job?				
78.	Are project funds used in any way to support union activity?				641.839 No funds provided under the Act may be used in any way to assist, promote, or deter union organizing.
79.	Are any participants paying union dues?				.
80.	Is the project ensuring for it and host agencies conformance to nepotism requirements?				674.841 No grantee or sub-grantee may hire, and no host agency may be a work site for a person who works in an administrative capacity, staff position, or community service position funded under Title V or this part if a member of that person's immediate family is engaged in a decision-making capacity (whether compensated or not) for that project, subproject, grantee, sub-grantee or host agency.
81.	Does the project have written personnel policies and procedures to include grievance				641.910 Each grant must establish, and describe in the grant agreement grievance procedures for resolving

	procedures?				complaints, other than those which cannot be resolved within 60 days under the grantee's procedures, may be filed with the Chief, Davison of Older Worker Programs, E & T Administration, U.S. Department of Labor, 200 Constitution Ave., N.W. Washington, D.C. 20210
82.	Are grievance procedures followed?				
83.	Have any complaints been filed this grant year?				
84.	Are complaints documented and filed?				
85.	When a project decides to take adverse action against a participant, does the Project Director notify the state coordinator prior to taking any action?				
86.	Was adverse action initiated against any participants during the previous program year?				
87.	Have there been any reports or accusations of suspected discrimination brought to the attention of project staff?				
88.	Have all project staff been trained in ensure compliance with ADA?				
89.	Does the project ensure that nondiscrimination assurances are included in all contractual				

	agreements?				
90.	Is there documentation reflecting that host agencies is aware of the Maintenance of Effort requirements?				641.844 Maintenance of Effort
91.	Are participants' working assignments a substitute for non-Title V work that should be performed by the regular employees of the host agency?				
92.	Are there any MOE violations?				
93.	Are the expenditures charged to Title V reasonable (Based on allocation formula)?				641.884 SCSEP recipients must follow the grant closeout procedures at 29 CFR 97.50 or 29 CFR 95.71 as appropriate. TDLWD will issue closeout instructions to projects as necessary.
94.	Does the accounting system have cost codes to separate Title V from other programs?				
95.	Does the project have a system for allocating cost to the appropriate cost category?				
96.	Does the project have a system for monitoring planned vs. actual cost and for taking corrective action?				
97.	Has the project earned any program income?				
98.	Does the Project Office accounting system provide adequate cost data to the Project				

	Director?				
99.	Did the project comply with all closeout procedures required by the Legal Agreement?				
100.	Has the project submitted accurate monthly and quarterly financial reports on a timely basis?				
101.	Do all financial reports include accruals?				
102.	Does the sub-sponsor charge indirect cost to the grant?				
103.	Does the sub-sponsor use an approved indirect cost rate for charging indirect cost to the grant?				
104.	Does the rate agreement cover the period of performance for the current grant?				
105.	What is the rate?				Rate:
106.	Were there any administrative findings in the last audit report?				
107.	Has the project taken corrective action to resolve the findings?				
108.	Has a final Findings & Determination (F&D) been made?				
109.	Were any cost disallowed?				
111.	Is staffing in accordance with approved contract agreement and budget?				
112.	Are job descriptions available?				

113.	Does the project maintain on-site Organizational Charts?				
114.	Does the project maintain on-site Position Descriptions?				
115.	Does the project maintain on-site Time Sheets?				
116.	Are there posting of appropriate posters (political activity limitation, EEO, etc.) in the project office?				
117.	Is there documentation that the project is continuing to seek out new Host Agencies?				
118.	Has the project provided orientation and training to host agencies?				
119.	Is the project following plan of action as outlined in the Grant Narrative?				
120.	Has the staff implemented recommendations for any corrective action?				
121.	Are members of the staff familiar and knowledgeable of the Grant's plan of action?				
122.	Are the monthly and Quarterly, Financial and Programmatic, Reports submitted to the TDLWD accurately and in a timely manner?				
123.	Are there consecutive time sheets properly signed for each preceding pay period?				

124.	Is there evidence that a wage of at least the current Federal or State minimum wage, whichever is higher is being paid participants?				
125.	Are hours worked tracked cumulative?				
126.	If applicable, are annual and /or sick leave time accrued accurately and are records kept?				
127.	Are there two valid signatures (Participant and Supervisor) on each time sheet?				
128.	Does the participant file contain the Applicant/Participant Form jointly signed by the applicant/participant & interviewer?				
129.	Does the participant file contain the Community Service Form?				
130.	Does the participant file contain the Confidential Income Statement jointly signed by the applicant/participant & interviewer?				
131.	Does the participant files contain the Recertification				
132..	Does the participant file contain the Applicant's Confidential Statement at Recertification?				
132.	Does the participant file contain the Initial Assessment Form?				

133.	Does the participant file contain the Annual Assessment?				
134.	Does the participant file contain the Individual Employment Plan?				
135.	Does the participant file contain Goals, Support Services, and Training?				
136.	Does the participant file contain the IEP Follow up/Review?				
137.	Are the physical, reexamination, and/or waiver kept separately according to ADA requirements?				
137.	Is there an exit form present?				
138.	Does the participant file contain the proper documentation when there is Termination for cause?				
139.	Does the participant file contain Unsubsidized Placement Follow-up?				
140.	Was there a Participant Training Description at the Host Agency?				
141.	Has the project established written policies relating to compensation for scheduled work hours during which an applicant's or sub-recipient's business is closed for Federal Holidays?				
142.	Do you have the orientation documentation on the Host				

	agency?				
143.	Do you have the orientation documentation on the Grievance Procedure?				
144.	Are there records of Supportive Services including Quarterly participant meetings, job seeking skills training, etc.				
145.	Are the Participant Performance Evaluations on file?				
146.	Are the Host Agency and Participant documents on file?				
147.	Is there a monitoring form on file?				
148.	Are Host Agency File Verifications included?				
149.	Does the Host Agency Agreement include the FEIN?				
150.	Do the files contain required copies of source documentation to prove Age, Income Sources, and Family Size?				
151.	Do the files contain a copy of the income tax form?				
152.	Does the project have adequate public liability and other appropriate forms of insurance as stated in the Grant Agreement?				
153.	Does the project have Workers' Compensation Insurance?				

154.	Does the project have Occupational Diseases Insurance?				
155.	Does the project have Employer Liability Insurance?				
156.	Does the project have General Liability Insurance?				
157.	Does the project have Automobile Liability Insurance?				
158.	Are there written travel procedures?				
159.	Do the travel expenses charged to the sub-grant meet the requirements of the Grant?				
161.	Does the project have a copy of the latest Equitable Distribution Plan?				
162.	Does the project have a copy of the latest State Plan?				
163.	Is the sub-grantee using the IEP in determining when it is appropriate to rotate participants through assignments, with the goal of achieving unsubsidized employment?				
164.	Is there a written policy setting forth actions to be taken to deal with those found to be ineligible, including notification of their right to appeal the finding ?				
165.	Is the project obtaining a written waiver from each participant who declines to have a physical?				
166.	Has the project established				

	written policies relating to necessary sick leave that is not part of an accumulated sick leave program?				
167.	Is there an IEP Termination policy on file?				
168.	Has the IEP Termination policy been approved by DOL?				
169.	Are participant files being maintained for 3 years after the program year in which all follow-up activity for a participant has been completed?				
170.	Are participant records securely stored an access limited to appropriate staff to safeguard personal identifying information?				
171.	Are quarterly Narrative Reports being sent no later than the 10th after each quarter to TDLWD?				
172.	Has the project provided the administrative office with an MOU specifying how services will SCSEP services are provided by SCSEP partners?				
173.	Are medical records and criminal background checks being kept separate from participant files?				
174.	Are quarterly Progress and Narrative Reports being sent no later than the 10 th after each quarter to TDLWD?				
175.	Has the project provided the administrative office with an				

	MOU specifying how services will SCSEP services are provided by SCSEP partners?				
176.	Are medical records and criminal background checks being kept separate from participant files?				
177.	Are SCSEP participants being assessed for computer literacy training? Is it documented in the participant file?				
178.	If it has been determined that the participant lacks basic computer skills are they referred to computer literacy training. Is there documentation in the participant file?				
179.	Are participants that have been documented as Job Ready turning in the required Job Searches?				
180.	Are participants that have been documented as Job Ready referred to a TN Career Center for registration assistance with the JOBS4TN website?				

ATTACHMENT IV

Workforce Innovation and Opportunity Act Programs 2016

Name of Organization: Tennessee Department of Labor and Workforce Development report date 0/30/2016
Exhibit 7

LOCAL WORKFORCE INVESTMENT AREAS		1	2	3	4	5	6	7	8	9	10	11	12	13
Risk Categories		VALUES												
1 FEDERAL FUNDS EXPENDED DURING A FISCAL YEAR														
< \$25,000		1												
> \$25,000 AND < \$100,000		2												
> \$100,000 AND <\$200,000		3												
> \$200,000 AND <\$300,000		4												
> \$300,000		5	5	5	5	5	5	5	5	5	5	5	5	5
2 PERCENT EXPENDED OF FEDERAL GRANTS:														
< 80%		1	1	2	2	2	2	1	2	1	2	1	2	1
< 50%		2												
< 30%		3												
< 10%		4												
> 10%		5												
3 MONITORING/JUDGEMENT RISK														
Little concern: review on request or monitor's discretion		1												
Low concern: review every 5 years		2												
Moderate concern: review every 3-4 years		3												
Fairly high concern: review every 2 years		4												
High audit concern: review annually		5	5	5	5	5	5	5	5	5	5	5	5	5
4 INTERNAL CONTROL:														
Average		1			1		1				1		1	
Minor weaknesses		2												
Some significant weaknesses		3	3	3	3	3	3	3	3	3	3	3	3	3
Many significant weaknesses or no audit		4												
SUB-TOTAL			14	15	13	10	13	14	15	13	13	15	12	10

Name of Organization: Tennessee Department of Labor and Workforce Development

LOCAL WORKFORCE INVESTMENT AREAS		1	2	3	4	5	6	7	8	9	10	11	12	13
Risk Categories		VALUES												
5 RESULTS OF PRIOR MONITORING AND OTHER SITE VISITS														
No significant findings		1												
Some minor findings		2	2		2	2		2	1	2	1	1		1
Moderate findings or no prior audit		3		3										
Some significant findings		4												
Many significant findings		5						3					3	3
6 NUMBER OF PROGRAMS FOR PERIOD BEING MONITORED:														
Single		1												
2-4		2												
5-7		3	4	4	4	4	4	4	4	4	4	4	4	4
8 and over		4												
7 FINANCIAL/BUDGET IMPACT:														
Very little or no impact		1												
Little impact		2	2	2	2	2	2	2	2	2	2	2	2	2
Moderate impact		3						3				3		2
High impact		4												
Very high impact		5												
8 SIZE OF STAFF FOR PERIOD BEING MONITORED														
Very Small (1-4)		1												
Small (5-9)		2												
Moderate (10-15)		3	4	3	3	3	3	3	4	4	4	3	4	3
Large (16-25)		4												
Very large (26 and over)		5												
9 MANAGEMENT INPUT/CONCERN:														
Very little		1												
Some		2	2					2	2	2	2	2	2	2
Moderate		3		3	3	3	3	3	3	3	3	3	3	3
Much		4												
High		5												
SUB-TOTAL			14	15	14	14	15	14	13	14	13	14	16	13

Name of Organization: Tennessee Department of Labor and Workforce Development

LOCAL WORKFORCE INVESTMENT AREAS		1	2	3	4	5	6	7	8	9	10	11	12	13
Risk Categories		VALUES												
10 RESULTS OF COLLATERAL CONTACTS, CUSTOMER SURVEYS, ETC.:														
Zero or small indication of risk		1												
Some indication of risk		2												
Moderate indication of risk		3												
Large indication of risk		4												
Very large indication of risk		5												
11 BOARD OF DIRECTORS INVOLVEMENT														
Very active board (provides appropriate oversight)		1												
Active board (takes interest in financial matters)		2	2	2	2	2	2	2	2	2	2	2	2	2
Moderately effective		3												
Not very effective (Not sufficiently independent of management)		4												
Inactive board (does not meet regularly)		5												
12 EXPERIENCE WITH STATE/GOVERNMENT CONTRACTS														
Over 10 years experience		1	1	1	1	1	1	1	1	1	1	1	1	1
Five to ten years experience		2												
Two to five years experience		3												
Less than two years experience		4												
Completely new		5												
13 CHANGES IN EQUIPMENT SYSTEMS & STAFF SINCE LAST REVIEW:														
No changes		1												
Moderate changes--low turnover		2	2	2	2	2	2	2	2	2	2	2	2	2
Equipment changes--low turnover		3												
High turnover		4												
High turnover & equipment systems change		5												
14 EXPOSURE TO LOSS:														
None		1												
Physical assets		2												
Readily negotiable		3												
Cash		4												
Confidential data		5	5	5	5	5	5	5	5	5	5	5	5	5
SUB-TOTAL			10	10	10	10	10	10	10	10	10	10	10	10
GRAND TOTAL RISK SCORE			38	40	37	39					37	41	35	41

SEE 184 (a) 4 Monitoring: Each Governor of the state shall conduct on an Annual basis on site monitoring of each Local Development Area within the state of local government

Summary of Risk Assessment

LOCAL WORKFORCE INVESTMENT AREAS	1	2	3	4	5	6	7	8	9	10	11	12	13
	Very Low	Low	Low	Low	Low	Low	Low	Very Low	Very Low	Very Low	Moderate	Low	Medium

- Notes: Assumptions/Reasons:
- Federal Funds Expended during a fiscal year: All LWIAs will bear the maximum risk for the federal funds expended (>\$300,000)
 - Percent Expended of Federal Grants: All LWIAs will expend greater than 50% grants
 - Monitoring judgement risk: Under SEC 184 (a) 4 Monitoring: Each Governor of the state shall conduct on an Annual basis on site monitoring of each Local Development Area within the state or local government
 - Internal Control: This monitoring judgement risk is weighted uniformly across all LWIAs, with emphasis on the note above
 - Uniform Average Control weight applied because of controls in practice
 - Self explanatory
 - This indicates the range number of the main programs being monitored
 - The Financial Budget Impact falls into very Little (or no Impact) and Little impact categories; with "fall back" local government funds as secondary to WIOA funds
 - The underlying assumption is that Single/Moderate staff will suffice under normal circumstances
 - Self explanatory
 - Zero or small indication of risk to some indication of risk
 - Self explanatory
 - Participant confidential data custodianship and management bears maximum risk

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ATTACHMENT V

		Action Plan Tracking Log October 1, 2015-September 30, 2016		Corrective					
Sub-Recipient	Date Report Issued	Results of Monitoring Review (with Agency Comments, No Findings)	Corrective Action Due Date	Date of Local C.A.P. Response	TDLWD Response	Additional Documents Requested	Final Acceptance of C.A.P.		
LWDA 1	00/00/2016 10/1/2015	1. Failed to comply with the Comprehensive State Travel Regulations.	11/3/2015	10/28/2015	11/2/2015	N/A	N/A		
LWDA 2	4/8/2016 3/17/2015	1. LWDA 2 over reported expenses regarding RSA portion to several WIA contracts and to career centers. The total questioned cost for the over reported expenses were \$137,750.00. 2. Insufficient detail to determine food expenses in the amount of \$285.00 related to East Tennessee Marketing Association agenda 3. Signatures were checked before the contract date.	5/8/2016 4/17/2015	4/26/2016 4/7/2015	5/13/2016 4/30/2015	N/A N/A	N/A N/A		
LWDA 3	0/00/2016 0/00/2016	No findings							
LWDA 4	00/00/2016 10/29/2015	1. LWDA charged expenditures in a contract that were incurred prior to the contractor's effective date. 2. The agency failed to comply with the state of Tennessee Comprehensive Travel regulations. 3. Unallowable costs were charged to contracts. 4. Procedures for allocating program cost need improvement. 5. A discrepancy was noted between a participant time and sheet and payroll records.	11/29/2015	12/1/2015	1/4/2016	Yes	1/8/2015		
LWDA 5	00/00/2016 3/31/2015	1. (a) Procedure over reporting needs improvement (b). Amounts reported to a Current Unliquidated Obligations on the Monthly Expenditure Reports could not be reconciled to the accounting records.	4/31/2015		5/29/2015	N/A	N/A		
LWDA 6	00/00/2016 8/31/2015	1. Unallowable costs were charged to a contract. 2. LWDA 6 charged expenditures to a contract that were incurred prior to the contract's effective date. 3. Program costs were not allocated according to the approved Cost Allocation Plan. 4. Expenses were not reported.	9/24/2015	9/28/2015	10/2/2015	N/A	N/A		
LWDA 7	2/17/2016 1/13/2015	1. Unallowable costs were charged to a contract. 2. Expenditures were charged to a contract prior to a contract period. 3. Failure to comply with the Comprehensive State Travel Regulations no document to support a check payable to Region's Bank. Questioned cost \$937.00.	3/17/2016 2/13/2015	4/17/2016 2/6/2015	5/14/2016 2/25/2015	N/A N/A	N/A N/A		
LWDA 8	6/3/2016 5/27/2015	1. Reported expenses were not allocated according to the approved method. 2. Procedure for current unliquidated Obligations for the monthly expenditure report need improvement. 3. (a). LWDA 8 charged expenditures to contracts that were incurred prior to the contract effective date. (b). Expenditure for Incumbent Worker training were incurred in February 2014 and July 2014 and charged to contract number LW08F151ADULTS15. 1 (c) Expenditures for participants training materials were incurred in September 2014 and charged to contract LW08F151 ADULT 15. The need for this contract is October 1, 2014 through June 2016.	7/2/2016 6/27/2015	6/27/2016 6/9/2015	6/28/2016 6/21/2015	N/A N/A	N/A N/A		
LWDA 9	9/2/2016 3/8/2015	1. Travel that occurred prior to the contract period was charged to the contract by a reallocation journal entry.	10/2/2016	9/13/2016		N/A	N/A		
LWDA 10	00/00/2016 6/1/2015	1. The agency's accounting system did not comply with the One Stop Comprehensive Financial Technical Assistance Guide. Two Unallowable costs were charged to contracts. a) Expenses in the amount of \$525 for a grant writer were charged to WIA. b) Expenses totaling \$278.55 for Adult Education services were charged to WIA contracts. 3. The agency failed to comply with the State Travel Regulations. 4. The agency did not comply with its cost allocation plan.	10/30/2015	10/30/2015	11/17/2015	N/A	N/A		
LWDA 11	9/2/2016 5/11/2015	1. Expenses were charged to a contract, even though the expenses incurred prior to the contract period. 2. Unallowable costs were charged to contracts. 3. The agency did not comply with its Cost Allocation Plan. 4. It did not match for the Senior Community Employment Program (SCEP) was over reported. 5. Procedures over reporting need improvement. 6. Procedures for allocating program costs need improvement. 7. Journal entry transactions were not supported with sufficient documentations. 1. Unallowable costs were charged to contracts. 2. Procedures for allocating Program costs need improvement. 3. Reporting procedures need improvement. 4. Discrepancies were noted between participant time sheets and payroll records. 4. Discrepancies were noted between participant time sheets and payroll records.	10/2/2016						
LWDA 12	00/00/2016 1/8/2015	No findings No findings							
LWDA 13	00/00/2016 9/13/2015	1. Unallowable costs were charged to contracts. 2. Procedures of allocating program costs need improvement. 3- LWDA charged expenditures to a contract that were incurred prior to the contract's effective date.							
APLCO	00/00/2016 8/10/2015	No findings							
University of Memphis	00/00/16 4/23/2015	No findings							
Tennessee State University	8/18/2016 8/13/2015	No findings 3. TCS did not comply with the State of Tennessee Comprehensive Travel Regulation.							
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Meriten Inc.	6/24/2016	1. Unallowable cost were charged to the contract 2. Reporting procedures need improvement	7/24/2016	7/12/2016	7/29/2016	N/A	N/A		