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**PY 2018-19 Local Workforce Development Board (LWDB)**

**Combined Process Management Review Tool**

**LWDB Name and Number:**

**Dates of Review**:

**Review Period:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**LWDB Staff Completing the Tool:**

**General Program Questions**

|  |  |  |  |
| --- | --- | --- | --- |
| **LOCAL OPERATING PROCEDURES** | **YES** | **NO** |  **COMMENTS** |
| 1. Does the LWDB have local policies or procedures in place to administer each of the following programs: Workforce Innovation Opportunity Act (WIOA), Wagner-Peyser (WP), Welfare Transition (WT), Trade-Adjustment Assistance (TAA) and Supplemental Nutrition Assistance Program (SNAP) Employment and Training (E&T)? (Provide copies of each or indicate where these can be found). If no, please indicate which programs in the comment section.
 | [ ]  | [ ]  |  |
| 1. Do the policies or procedures include internal monitoring of all programs? (Provide copies or indicate where this can be found). If no, how does the LWDB ensure that internal and external monitoring complies with federal and state provisions and other applicable laws?
 | [ ]  | [ ]  |  |
| 1. Do policies, procedures or schedules specify when staff will conduct monitoring (i.e., monthly, quarterly, semi-annually, etc.)? If yes, indicate timeframe(s).
 | [ ]  | [ ]  |  |
| 1. Are reports written and corrective action required because of monitoring? If no, how are staff informed of the monitoring results?
 | [ ]  | [ ]  |  |
| 1. Are formal LWDB meeting minutes posted to the LWDB’s website? Please provide dates of all formal board meetings conducted since July 1, 2017.
 | [ ]  | [ ]  |  |

**Welfare Transition (WT)**

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| **WORK ACTIVITIES** | **YES** | **NO** | **COMMENTS** |
| 1. What is the method used by the LWDB to certify that at least 10 percent of the participant hours are in job search and job readiness? If there are any LOPs explaining the method used, please provide a copy or indicate where this can be found.
 | [ ]  | [ ]  |  |

**Supplemental Nutrition Assistance Program (SNAP) Employment & Training**

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| --- | --- | --- | --- |
| **SCHEDULING INITIAL APPOINTMENTS** | **YES** | **NO** | **COMMENTS** |
| 1. Does the LWDB manually schedule initial appointments (code 590)?
 | [ ]  | [ ]  |  |
| **SANCTIONS** | **YES** | **NO** | **COMMENTS** |
| 1. Are there any policies or procedures in place to ensure that participants are not engaged in an activity while serving a sanction? If yes, indicate where to locate policy. If no, please explain the process in the comment section.
 | [ ]  | [ ]  |  |
| 1. Are there policies and procedures in place to ensure an activity is assigned by the case manager and completed by the participant prior to a sanction lift? If yes, indicate where to locate policy. If no, please explain the process in comment section.
 | [ ]  | [ ]  |  |

**Workforce Innovation and Opportunity Act (WIOA)**

|  |  |  |  |
| --- | --- | --- | --- |
| **WIOA YOUTH COMMITTEE**  | **YES** | **NO** | **COMMENTS** |
| 1. Has the LWDB established a standing youth committee? If yes, are there any policies and procedures related to the youth committee’s makeup and responsibilities as described in the local plan? (Provide copy or indicate where this can be found).
 | [ ]  | [ ]  |  |
| 1. If a standing youth committee was established, is a local board member the chairperson of the committee?
 | [ ]  | [ ]  |  |
| 1. If no youth committee is in place, how does the LWDB administer and oversee the local youth programs? Please explain in comment section.
 |  |  |  |
| **WIOA ADULT PROGRAM** | **YES** | **NO** | **COMMENTS** |
| 1. Are there any policies and procedures in place to address Priority of Service for WIOA adult participants? If yes, please provide a copy or indicate where this can be found.
 | [ ]  | [ ]  |  |
| **WIOA PRIMARY INDICATORS OF PERFORMANCE DATA** | **YES** | **NO** | **COMMENTS** |
| 1. Did the LWDB meet or exceed their performance outcomes during the prior program year?
 | [ ]  | [ ]  |  |
| 1. If no, has technical assistance (TA) been requested or provided? If yes, when and where?
 | [ ]  | [ ]  |  |

**Trade Adjustment Assistance (TAA)-**

|  |  |  |  |
| --- | --- | --- | --- |
| **LOCAL OPERATING PRACTICES** | **YES** | **NO** | **COMMENTS** |
| 1. Briefly describe the coordination of services between Rapid Response and TAA when a dislocation is trade-related. Does the coordination of services include the process for trade-affected workers to receive rapid response assistance and the opportunity to participate in a TAA Information Session?
 | [ ]  | [ ]  |  |
| 1. Is the TAA Coordinator a merit staff employee? If no, please explain.
 | [ ]  | [ ]  |  |
| 1. Is there a financial cap on training services? If yes, what is the amount? What is the process if the cap does not cover the total training costs?
 | [ ]  | [ ]  |  |
| 1. Is there a policy or practice on co-enrolling TAA participants in WP and/or WIOA when appropriate? If so, please describe the process.
 | [ ]  | [ ]  |  |
| 1. Does the LWDB utilize Job Search and/or Relocation Allowances for eligible individuals? If yes, is there a policy in place to support this?
 | [ ]  | [ ]  |  |
| 1. Define the commuting area within the LWDB and briefly describe how transportation assistance is provided when the training provider is located beyond the established commuting area.
 | [ ]  | [ ]  |  |
| 1. What is the approval process for individuals needing remedial, English as a second language and/or prerequisite training?
 | [ ]  | [ ]  |  |

**Wagner-Peyser (WP)**

|  |  |  |  |
| --- | --- | --- | --- |
| **PRIORITY REEMPLOYMENT PLANNING (PREP) PROGRAM**  | **YES** | **NO** | **COMMENTS** |
| 1. Does the LWDB provide PREP services?
 | [ ]  | [ ]  |  |
| 1. Does each participant receive an orientation?
 | [ ]  | [ ]  |  |
| 1. If yes to #2, does the orientation contain the required WP and RA information? (Please provide a copy of the LWDB orientation presentation or indicate where this can be found).
 | [ ]  | [ ]  |  |
| 1. Does each participant receive an assessment? If no, please explain in comment section.
 | [ ]  | [ ]  |  |
| **REEMPLOYMENT SERVICES AND ELIGIBILITY ASSESSMENT (RESEA) PROGRAM**  | **YES** | **NO** | **COMMENTS** |
| 1. Does the LWDB provide RESEA services?
 | [ ]  | [ ]  |  |
| 1. Does the orientation provided to RESEA participants include all RESEA requirements? Please provide a copy of the orientation package or indicate where this can be found.
 | [ ]  | [ ]  |  |
| 1. Is the RESEA program conducted by RESEA grant paid staff as designated in the LWDB’s RESEA budget? If not, please explain.
 | [ ]  | [ ]  |  |

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| --- | --- | --- | --- |
| **MANAGEMENT INFORMATION SYSTEMS (MIS) AND SECURITY PROTOCOLS**  | **YES** | **NO** | **COMMENTS** |
| 1. Does the LWDB have a policy, procedure or business process in place related to MIS user account information? If yes, provide copy of written guidelines or indicate where this can be found. If no, how does the LWDB manage user account information?
 |  [ ]  |  [ ]  |  |
| 1. Do written guidelines specifically address information security protocols for MIS access for new/current employees? If no, how is this done?
 |  [ ]  |  [ ]  |  |
| 1. Do written guidelines cover procedures for revoking access permissions for employees who are terminated or are no longer employed by the LWDB? If no, how is this done?
 |  [ ]  |  [ ]  |  |
| 1. Does the LWDB conduct semi-annual information system access reviews?
 |  [ ]  |  [ ]  |  |
| 1. If yes to #4, are the results provided to the DEO Internal Security Unit (ISU)?
 |  [ ]  |  [ ]  |  |
| 1. Is the LWDB security officer notified in a timely manner whenever a person needs access or their access needs to be revoked? Explain how this is done or provide copy of written procedures.
 |  [ ]  |  [ ]  |  |
| 1. Are signed Individual Non-Disclosure and Confidentiality Certification forms for all staff (including contract and/or service provider staff who have access to system and other confidential information) collected and maintained by the LWDB? If no, please explain the process for safeguarding information? If yes, please provide copies of procedures or indicate where this can be found.
 |  [ ]  |  [ ]  |  |
| 1. Does the LWDB conduct or require Level - 2 FDLE background screenings as a condition of employment or contract award for all board, contract and service provider staff with access to, and the ability to change or destroy confidential information including data stored in the MIS? If yes, does the policy or procedure indicate rescreening will occur every five years of consecutive employment? Please provide copy of procedures or indicate where this can be found.
 |  [ ]  |  [ ]  |  |
| 1. Does the LWDB conduct initial security training, annual security refresher training and ongoing security awareness training for all staff with access to confidential data? If yes, please provide a copy of the agenda and date of the last training or a copy of the procedures explaining this process. If no procedure, please explain how the training is done.
 |  [ ]  |  [ ]  |  |
| 1. Does the LWDB maintain an up-to-date and accurate list of all current and former MIS users (LWDB and contract staff) and user account information? Please provide lists and the systems they have/had access to.
 |  [ ]  |  [ ]  |  |

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| **RISK AND LIABILITY ISSUES** |  |  |  |
| 1. Does the LWDB have a risk mitigation strategy in place that would be activated during emergencies or other situations that may disrupt normal operations?
 |  [ ]  |  [ ]  |  |
| 1. If yes to #1, does it include a continuity of operations plan, a disaster recovery plan and an organization risk analysis? Please provide a copy of the plan or indicate where this can be found.
 | [ ]  [ ]  |  [ ]  |  |
| 1. Does the LWDB have any unresolved issues because of the most recent DEO Office of Inspector General Information Security Audit Final Report? If yes, please explain or provide a copy of the LWDB’s most recent corrective action plan (CAP) response to the Information Security Audit.
 | [ ]  | [ ]  |  |