

## **FISCAL MONITORING INSTRUMENT QUESTIONS**

### **1-A Reporting Requirements**

- 1) The grantee is reporting on an accrual basis.
- 2) The grantee has a system in which they maintain detail regarding obligations.
- 3) The obligations reported on GRS agree to records maintained by the grantee.
- 4) Interest income and revenue generated by grant supported activities is recognized as program income. The grantee reports the income and disbursement of program income in GRS (371).
- 5) The grantee is reporting costs on a monthly basis as required by state policy.
- 6) The State of Illinois' Guidance for MOU costs (infrastructure and local delivery system costs) requires reconciliation of budgeted to actual costs to occur at least semi-annually, with a local option to reconcile costs more frequently if the local workforce board chooses to do so. Budgeted MOU costs are being reconciled to actual costs no less often than semi-annually.
- 7) Select at least two training provider contracts and one service provider contract for the previous program year on the Illinois workNet Center Contracts reporting application. Request supporting documentation (e.g., accounting records, subawards). Does the documentation support the amounts reported in Illinois workNet?
- 8) If applicable, the grantee is current in the filing of annual non-profit information returns (i.e., Form 990) with the IRS.
- 9) The Workforce Innovation and Opportunity Act requires that local workforce boards assess and certify at least every three years the effectiveness, physical and programmatic accessibility, and continuous improvement of one-stop centers and the one-stop delivery systems. The local board has certified all one-stop centers in accordance with Chapter 1 Section 8 of ePolicy, completing and submitting the signed Application for Certification of One-Stop Centers form for each one-stop.
- 10) The Application for Certification of One-Stop Centers form for each one-stop is fully completed (all criteria must be assessed as "attained" in order that the one-stop be certified), signed, and free of obvious errors (specifically, the questions related to the MOU, competitive selection of the one-stop operator, and certification of the LWIB).

### **1-B Internal Controls**

- 1) The grantee has a current policies and procedures manual which establishes safeguards for grant assets, provides the foundation for accurate accounting data, and promotes operational efficiency and adherence to management policy.
- 2) The grantee policy and procedures describe the procurement process for the following in compliance with the applicable cost principles and administration requirements;
  - a) Small purchases
  - b) Sealed Bid
  - c) Competitive Proposals
  - d) Non-Competitive
- 3) The grantee procurement policies and procedures prohibit solicitation or accepting gifts, favors, or anything of monetary value from contractors or parties to subcontracts.
- 4) The grantee maintains a written standard of conduct governing the performance of its employees engaged in procurement which shall include the prohibition against employees participating in the selection, award or administration of a contract if a real or apparent conflict of interest exists.
- 5) The grantee's written procurement procedures ensure that all solicitations: 1) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be

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- procured; and 2) Identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.
- 6) Review at least two procurement transactions, including a subrecipient RFP (Request for Proposals).
    - a. Were the procurement transactions conducted in a manner providing full and open competition consistent with the Uniform Guidance?
    - b. Does the grantee maintain records sufficient to detail the history of the procurement?
    - c. Was the RFP publicized and does it identify all evaluation factors and their relative importance?
    - d. A cost or price analysis was performed for all procurement actions in excess of the Simplified Acquisition Threshold (currently \$150,000).
    - e. For the RFP, scoring sheets/technical evaluations were completed.
    - f. Was a pre-award risk assessment completed after the merit review/evaluation and prior to the execution of the subrecipient subaward?
  - 7) The grantee has an adequate internal control structure (i.e. no duties overlap to the extent that one person is responsible for the processing of the entire transaction, which may create a deficiency).
  - 8) The policies and procedures of the grantee are being followed.
  - 9) The grantee has taken the steps, if necessary, to remove unauthorized check signers and close inactive bank accounts.
  - 10) Voided/spoiled checks are properly mutilated and retained.
  - 11) Are financial statements submitted to management and the oversight body as necessary or in accordance with local policy?
  - 12) A control system has been developed to ensure adequate safeguards to prevent loss, damage or theft of property.
  - 13) Adequate maintenance procedures have been developed to keep the property in good condition.
  - 14) There is a requirement for a physical inventory at least once every two years.
  - 15) The local area maintains property records that are in compliance with the Uniform Guidance.
  - 16) Does the grantee have written procedures to safeguard protected personally identifiable information?
  - 17) Procurement of the one-stop operator(s) meets the requirements of DOL and Chapter 1 Section 7 of the Department's ePolicy portal: The Request for Proposal provides for competitive selection of the OSO, has a funding amount or range, and clearly outlines the role of the OSO; OSO procurement is conducted at least once every four years; the one-stop operator agreement must identify the OSO as a subrecipient of federal funds that must comply with the Uniform Guidance at 2 CFR 200, including DOL's specific requirements at 2 CFR part 2900; a signed One-Stop Operator Procurement Attestation form was submitted within 30 days of the execution of the OSO agreement; and, required information related to the OSO procurement was made available to the public on the entity's website.

**1-C Bank Reconciliation**

- 1) List the number of bank accounts with WIOA funds.
- 2) Someone other than the individual preparing the monthly reconciliations verifies and approves the bank reconciliations.
- 3) Disputed items, unidentified receipts, NSF checks, checks charged back by banks, and similar items subject to normal receipts control are received and investigated by persons independent of preparation of deposits and posting of accounts receivable detail.

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- 4) The reconciled bank total ties to the cash by grant in the grantee general ledger.
- 5) All outstanding checks are less than six (6) months old.
- 6) No overdraft fees or penalties were paid on the bank account(s).
- 7) The grantee's cash on hand is equal to or below 3 days.
- 8) Revenues are recorded timely in the general ledger.

**1-D Disbursements**

- 1) Supporting documentation includes evidence of prior approval of the expenditure (i.e., services, goods, travel, etc.)
- 2) Proper documentation is maintained for all expenditures (i.e., goods, services, travel, payroll, etc.) including purchase orders, receipts, purpose of expenditure, and/or any other necessary support.
- 3) Per review of the chart of accounts, disbursements are being properly classified in the proper expenditure accounts.
- 4) Expenditures have been properly allocated.
- 5) Supporting documents (i.e., receipt of goods, vouchers, purchase order applied, etc.) are canceled to prevent subsequent misuse.
- 6) Expenditures are being reported on a timely basis.
- 7) Costs are allowable expenditures under the appropriate rules, regulations and cost principles.
- 8) All equipment purchased is properly inventoried.
- 9) The Grantee has documentation supporting prior approval by the Department for equipment expenditures in excess of \$5,000.
- 10) The Grantee's per diem payments are in accordance with Grantee's written travel policy.
- 11) Mileage payments are in accordance with written travel policy.
- 12) When travel advances are given, travel vouchers are submitted after travel for actual expenses.
- 13) Travel advances are reconciled to the actual amount of the travel cost.
- 14) The grantee has procedures in place to eliminate duplicate payments.
- 15) Supportive services are being charged in conformance with the grantee's supportive service policy.
- 16) The grantee follows the cost principles in the Uniform Guidance.
- 17) Profit and its basis are included in subawards (if applicable).
- 18) The grantee has controls and procedures in place to prevent reimbursement in excess of the agreement/contracted amount.
- 19) Sufficient documentation is maintained to support the payment of youth stipends.
- 20) The rate paid to youth participants for stipends was in accordance with local policy.
- 21) The grantee provided copies of the front and back of cancelled checks (or equivalent documentation).

**1-E Cost Allocation**

- 1) There is a written cost allocation plan in accordance with the requirements of the Uniform Guidance.
- 2) The cost allocation plan is being consistently followed and costs are being reported timely on an accrual basis.
- 3) The grantee is recovering indirect costs via a federally-approved indirect cost rate or the 10% de minimis rate, and the rate is identified in the grant agreement.
- 4) What is the rate?
- 5) The amount of the recovery is calculated correctly.

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**1-F Payroll**

- 1) The employee's personnel file contains a W-4.
- 2) Activity sheets account for the total activity of each employee.
- 3) If the grantee uses time studies as a basis for allocation of payroll, the time study is current and complete.
- 4) Payroll taxes are paid in a timely manner to avoid fines or penalties for late payment.
- 5) The grantee's policy and procedures manual allows for the payment of bonuses/incentive payments.
- 6) The employee's actual gross salary or wage payments are in accordance with the employee's authorized salary or wage rate on file.
- 7) All payroll charges are supported by approved Personnel Activity Reports or Time and Attendance records.
- 8) The signature/approval of both the employee and the supervisor are required and included on the timesheet or activity sheet.
- 9) Payroll expenses for employees are charged to the various categories in accordance with Personnel Activity Reports/Time Sheets and/or cost allocation plan.
- 10) There is sufficient documentation to support the payment of work experience wages to participants (i.e., payroll forms, timesheets, other documentation required by the local area's written policy).
- 11) The rate paid to participants for work experience wages was no less than the individual's minimum wage as required by federal and state minimum wage laws.
- 12) All employees funded by WIOA are earning less than the ETA salary cap as imposed by WIOA Section 194 (15) and Training and Employment Guidance Letter No. 05-06, inclusive of all bonuses and incentive payments.
- 13) For partially funded employees that are charged proportionately to WIOA, when the percent of time is applied to the ETA salary cap as imposed by WIOA Section 194 (15) and Training and Employment Letter No. 05-06, the compensation charged is less than or equal to the new salary limitation.

**1-H Fringe Benefits**

- 1) Does the grantee maintain a bank balance (reserve fund) earmarked for unemployment compensation, workers' compensation, retirement pay or severance pay?
- 2) Were charges to the grant(s) for the accrued leave account/reserve fund in accordance with the actual costs incurred/reasonable estimates of liabilities and the provisions of the Uniform Guidance?
- 3) The accrued leave account/reserve fund has been reconciled and funded every quarter.
- 4) The accrued leave account/reserve fund is fully funded.
- 5) No loans or advances were made from the accrued leave account/reserve fund.
- 6) Loans or advances from the accrued leave account/reserve fund were recorded using proper accounting procedures.
- 7) Loans or advances are authorized per the grantee's normal cash disbursements authorization procedures.

**1-I Generally Accepted Accounting Principles (GAAP)**

- 1) The grantee is using fund accounting methods and procedures.
- 2) The grantee meets the bonding requirements as specified in the grant agreement.
- 3) The grantee has adequate insurance coverage on its non-expendable personal property.
- 4) The grantee maintains records which adequately identify the source and application of funds.
- 5) Records contain information pertaining to the grant or subgrant awards and authorizations, obligations, unobligated balances, assets, expenditures, income, and interest.

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- 6) The grantee maintains effective control over all grant and subgrant cash.

**1-J Audit Resolution**

- 1) The grantee received an unmodified opinion on the most recent year-end financial statements.
- 2) The single audit was free of findings.
- 3) All single audit findings have been resolved.
- 4) The Grantee has a procedure to conduct a lower tier audit resolution to verify that every subrecipient is audited as required by Subpart F of the Uniform Guidance and management decisions are issued on subrecipient audit findings.
- 5) The prior year's fiscal monitoring findings have been resolved in accordance with the prior year's corrective actions.

**1-K Subrecipient Monitoring**

- 1) The grantee tested the subrecipient's cost allocation plan and ensured that it is adequate/acceptable and in compliance with the Uniform Guidance.
- 2) The grantee's monitoring tool and policy are in compliance with the Uniform Guidance.
- 3) The grantee keeps files for each subrecipient monitored.
- 4) The monitoring tool and work papers are appropriately completed.
- 5) The monitoring work papers and supporting documentation adequately support that sampled expenditures were allowable.
- 6) The monitoring file contains all the letters applicable to the review (Findings Letter, Subrecipient's response, Grantee Final Response).
- 7) Follow-up was done to make sure corrective action was taken for findings.
- 8) The grantee requires a closeout from its subrecipients.
- 9) The grantee requires any excess revenue over costs (e.g., refunds, corrections, or post-closeout adjustments) to be refunded.
- 10) All refunds due to the grantee have been returned by the subrecipient.
- 11) An evaluation of the subrecipient's risk of noncompliance with federal statutes, regulations, and the terms and conditions of the award was completed to determine the extent of monitoring.
- 12) The subaward has the required elements: sufficiently detailed budget and narrative to support the reasonableness/allowability of costs; references to applicable federal regulations, including the DOL Exceptions to the Uniform Guidance; and identification of the required subaward elements at 2 CFR 200.331 (e.g., Federal Award Identification Number, CFDA Number and Name, and the Names of the Federal Awarding Agency and the Pass-Through Entity).

**1-L Petty Cash**

- 1) There are written procedures for the petty cash system.
- 2) What is the authorized level for the petty cash account?
- 3) The total of petty cash receipts and cash on hand equal the total amount of petty cash allowed.
- 4) Timely reconciliations are being performed for petty cash.
- 5) Reconciliations of petty cash are reviewed and approved by someone other than the custodian.
- 6) The cash recipients sign for the receipts of petty cash.
- 7) There is adequate documentation such as a cash register or store receipt for all petty cash received.
- 8) The purpose for withdrawal of petty cash is clearly stated.
- 9) All of the petty cash disbursements allocated to WIOA are allowable WIOA costs.

- 10) The written procedures for petty cash are adhered to.

### **PROGRAMMATIC MONITORING INSTRUMENT QUESTIONS**

#### **2-A Subaward Review for Service Provider**

- 1) The subaward narrative describes the participant activity and the time frame for completion.
- 2) The subaward specifies adherence to the subaward itself and provisions for modifications or deviations from budget line items.
- 3) The subawards reviewed require that all costs be documented and be in compliance with WIOA and the Uniform Guidance.
- 4) All subawards are monitored to ensure the subaward performance goals are achieved.

#### **2-A Training Service Contractors Review**

- 1) All training service provider contracts meet at least one of the following:
  - a. The board had determined there are an insufficient number of eligible providers in the area.
  - b. The board had determined there is a training service provider of demonstrated effectiveness offered by CBOs or private organizations to serve participant populations facing multiple barriers.
  - c. The board determined that the most appropriate training could be provided by an institution of higher education or other provider of training services to train multiple individuals for jobs in in-demand sectors or occupations.
  - d. The board considered entering into a pay-for-performance contract to provide training services and ensured that the contract is consistent with the WIOA Final Rule at 20 CFR 683.510.
- 2) There is documentation for each contract supporting at least the organization is financially stable.
- 3) There is documentation showing that the contractor has demonstrated performance in the delivery of services to hard-to-serve populations through the following:
  - a. Placement.
  - b. Skill attainment.
  - c. Certificates awarded.
  - d. Program completion rate.
  - e. Employment retention.

#### **2-A Youth Provider Subaward Review**

- 1) The local area conducted a full and open competition to secure youth service providers in accordance with the federal procurement guidelines at 2 CFR parts 200 and 2900 (except in cases where the local board determines there is an insufficient number of youth service providers or the design framework services are more appropriately provided by the local area).
- 2) The subawards provide for an objective assessment of each youth participant that meets the requirements of WIOA Section 129(c)(1)(A), and includes a review of the academic and occupational skill levels, as well as the service needs, of each youth for the purpose of identifying appropriate services and career pathways and informing the individual service strategy.
- 3) The subawards provide for the development of an individual service strategy for each youth participant that is directly linked to one or more indicators of performance described in WIOA section 116(b)(2)(A)(ii), that identifies appropriate career pathways that include education and

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employment goals, that considers career planning and the results of the objective assessment and that prescribes achievement objectives and services for the participant.

- 4) The subawards provide for case management of youth participants, including follow-up services.
- 5) The subawards provide for appropriate links to entities that will foster the participation of eligible local area youth.
- 6) The program includes effective connections to employers, including small employers, in in-demand industry sectors and occupations.
- 7) The LWIA/Grantee has established a methodology to determine work readiness skills at the beginning and upon completion of the work experience program to determine measurable increase.
- 8) The LWIA/Grantee makes available supportive services and/or needs related payments to support the employment and training needs of the youth participants in accordance with WIOA regulations and DCEO policy.
- 9) The local program has established a policy outlining payments of classroom-based stipends if such payments are provided.
- 10) Does the local board involve specific members of the community, including parents and youth participants, in designing and implementing the WIOA youth program?
- 11) Does the local program allow ITAs only for Out-of-School Youth, ages 16 to 24, when appropriate?
- 12) The local area's referral policy for youth meets federal and state requirements for youth referral. [20 CFR 681.420(d), (e), and (f)]
- 13) The local area makes each of the required 14 services identified in WIOA Section 129(c)(2) available to all youth participants. [20 CFR 681.460]
- 14) The local area provides required follow-up services to Youth for a minimum duration of twelve months. The types of services provided must be determined based on the needs of the individual. However, follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome. [20 CFR 681.580(c)]

**2-B Work Experience Administrative Review**

- 1) A review of the worksite agreement finds that the agreement contained documentation of required provisions of the work experience.
- 2) A review of the worksite agreement finds that the agreement was properly executed. The agreement:
  - a. Was signed and dated by the LWIA;
  - b. Was signed and dated by the worksite representative;
  - c. Had a specific beginning date and end date;
  - d. Contained all required provisions and assurances as outlined in DCEO policy;
  - e. If any changes were made to the agreement, there is documentation that both parties have signed the addendum or initialed individual changes to the agreement.
- 3) There is evidence that the Grantee is tracking work experience enrollments, hours worked, and funds expended.
- 4) The work experience includes both academic and occupational education components.
- 5) The LWIA monitors the worksite(s) for compliance with applicable terms and conditions of the worksite agreement(s).
- 6) There is sufficient documentation to support the payment of work experience wages (i.e. payroll forms, timesheets, other documentation required by the local area's written policy.)
- 7) The rate paid to participants for work experience wages was no less than the individual's minimum wage as required by federal and state minimum wage laws.

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- 8) All participants reviewed had a work experience service recorded in IWDS.
- 9) There is a work experience agreement signed and dated by the participant, employer, and the LWIA, verifying the participants were informed of the hourly wages and number of work hours, and job expectations for the work experience.
- 10) There is documentation that the supervisor at the worksite received an orientation about the Workforce Innovation and Opportunity Act/Work Experience Program.

**2-C OJT**

- 1) The contracts were not used as an incentive to encourage employer relocation.
- 2) A pre-award survey was done for each contractor to determine:
  - a. The names under which the employer conducts business.
  - b. Name, title, and address of official certifying company information.
  - c. Whether WIOA assistance is sought in conjunction with past or impending job losses at other facilities, including a review of whether WARN notices relating to the employer have been filed.
  - d. Whether the employer has failed to meet the requirements of a previous customized or OJT training contract.
- 3) The limitation on duration is appropriate and based on the participant's skill gap and service strategy.
- 4) The employer was reimbursed at the allowable reimbursement rate.
- 5) The contracts are not with employers who have a pattern of failure to provide employees with long-term employment and wages equal to those provided to regular employees.
- 6) The contracts were properly executed. They were signed and dated by the LWIA; They were signed and dated by the OJT site representative; contained all required provisions and assurances as outlined in DCEO policy; and if any changes were made to the agreements, there is documentation that both parties have signed the addendum or initialed individual changes to the agreements.
- 7) The contracting agency monitored the OJT training contracts or scheduled the monitoring.
- 8) If the business has relocated from a location that resulted in any employee losing his or her job at the original location, the business has been operational at the current site for more than 120 days.
- 9) The training program provides the necessary skills to complete the training.
- 10) A job is (was) provided at the end of the training.
- 11) There is a job description.
- 12) There is a training outline that:
  - a. That specifies the individual doing the training.
  - b. That specifies Equipment and tools needed for training.
- 13) The wage is specified.
- 14) There is documentation verifying the number of hours worked.
- 15) There is documentation verifying the rate of pay (check stubs or payroll records).
- 16) If appropriate, there is Union concurrence.

**2-C Customized Training Review**

- 1) The training is designed to meet specific needs of an employer, or a group of employers.
- 2) The employer has committed to employ or, in case of incumbent workers, retain the individual upon completion of training.
- 3) The contract provides that the employer will pay at least 50% of the cost of the training, including cash and in-kind contributions.
- 4) The training program provides the necessary skills to complete the training.



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- 5) Customized Training contract are provided to currently employed workers according to the following:
  - a. For participants not earning a self-sufficient wage or wages comparable to or higher than wages from previous employment (determined by Board policy).
  - b. For the introduction of new technologies, introduction to new production or services procedures, upgrading to new jobs that require additional skills, workplace literacy, or other appropriate purpose identified by the local workforce development board.
- 6) The contracting agency has monitored the contract or has scheduled it for monitoring.

**2-D Participating Employer**

- 1) The Entity has collected and reported the required data as outlined in the WIOA incumbent worker training policy.
- 2) Based on a review of the project activities, the Entity implemented the tasks and training as outlined in the Grant Agreement Scope of Work and incumbent worker training plan.
- 3) Matching requirements were met and adequate supporting documentation was submitted for the employer's matching contribution.
- 4) There is proof of payment from the employer to the training provider.
- 5) There is evidence that the employees attended the training.
- 6) There is proof of training completion for each employee trained-such as certificates, etc.

**2-D Incumbent Worker**

- 1) The incumbent worker meets the participation requirements by having an established employment history with the employer for 6 months or more. The one exception is if training is being provided to a group of employees, the majority of those employees being trained must meet the employment history requirements.
- 2) By the time of the final report the incumbent worker received the training outlined in the incumbent worker training plan(s) as authorized by the Grant Agreement Scope of Work.

**2-E Youth**

- 1) Follow-up services are provided to all participants for a minimum of 12 months unless the participant declines to receive follow-up services or the participant cannot be located or contacted.
- 2) The Youth participant is registered in IWDS
- 3) Youth Participant files were present for review.
- 4) Youth Participant Files reviewed met general date requirements
- 5) Documentation in the file provides support that the participant is Authorized to Work in the United States
- 6) Documentation in the file provides support that the participant is compliant with the Selective Service Requirement, if applicable
- 7) Documentation in the file supports the participant is eligible as an In-School Youth
- 8) Documentation in the file supports the participant is eligible as an Out-of-School Youth
- 9) There is evidence that the youth was provided an objective assessment that included review of the required elements
- 10) Test dates and scores recorded in IWDS are supported by hard copy tests in the participant file
- 11) There is evidence that an Individual Service Strategy (ISS) has been developed for the participant that includes the required elements

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- 12) There is evidence that the ISS has been updated as necessary when there are changes in services, objectives, or goals.
- 13) The services being provided to the participant match the services, objectives and goals outlined in the ISS.
- 14) There is evidence that the Youth program elements were made available or provided to the participant
- 15) The participant file contains documentation to support enrolling the participant in the training program
- 16) For ITA training, the training program is with an approved training provider
- 17) For ITA training, the training program is an approved program in IWDS
- 18) For ITA training, the cost of the training program is within the ITA limitations established by the grantee, or there is an approved exception
- 19) There is evidence that the customer is attending the training courses as scheduled
- 20) Credentials earned are reported in IWDS and supported by documentation in the participant file
- 21) Any supportive services provided to the participant are paid at the correct rate and within established policy
- 22) There is documentation reflecting that meaningful 2-way communication is occurring within a 90-day timeframe
- 23) If the customer has a gap in service, it was less than 180 calendar days from the date of the most recent service, and it was for one of the allowable reasons
- 24) All services and status records have been appropriately recorded (ended) in IWDS
- 25) WIOA youth program services, such as the 14 program elements, are not provided to individuals who are not yet participants in the WIOA youth program.

**2-E Adults**

- 1) The grantee has established written policies and procedures to ensure priority for recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient as required by WIOA.
- 2) Follow-up services, as described in WIOA sec. 134(C)(2)(A)(xiii) and 678.430(c) are made available, as appropriate, for a minimum of 12 months following the first day of unsubsidized employment.”
- 3) The Adult participant is registered in IWDS
- 4) Adult Participant Files were present for review
- 5) Adult Participant Files reviewed met general date requirements
- 6) Documentation in the file provides support that the participant is Authorized to Work in the United States
- 7) Documentation in the file provides support that the participant is Age 18 or greater
- 8) Documentation in the file provides support that the participant is compliant with the Selective Service Requirement, if applicable
- 9) Documentation in the participant file supports the participant met one of the priority categories
- 10) The participant was provided basic career services as outlined in WIOA secs. 134(C)(2)(A)(i)-(xi) and 678.430(a)
- 11) The participant was provided individualized career services as outlined in WIOA sec. 134(C)(2)(A)(xii) and 678.430(b)
- 12) There is evidence than an Individual Employment Plan (IEP) has been developed for the participant
- 13) There is evidence that the IEP has been updated as necessary when there are changes in services, objectives and goals.

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- 14) The services being provided to the participant match the services, objectives and goals outlined in the IEP.
- 15) Test dates and scores recorded in IWDS are supported by hard copy tests in the participant file
- 16) The participant file contains documentation to support enrolling the participant in the training program
- 17) For ITA training, the training program is with an approved training provider
- 18) For ITA training, the training program is an approved program in IWDS
- 19) For ITA training, the cost of the training program is within the ITA limitations established by the grantee, or there is an approved exception
- 20) There is evidence that the customer is attending the training courses as scheduled
- 21) Credentials earned are reported in IWDS and supported by documentation in the participant file
- 22) Any supportive services provided to the participant are paid at the correct rate and within established policy
- 23) If the participant is receiving Needs Related Payments, there is evidence in the file that the participant met eligibility requirements
- 24) There is documentation reflecting that meaningful 2-way communication is occurring within a 90-day timeframe
- 25) If the customer has a gap in service, it was less than 180 calendar days from the date of the most recent service, and it was for one of the allowable reasons
- 26) All services and status records have been appropriately recorded (ended) in IWDS
- 27) WIOA Title I services, other than self-service or information-only activities, are not provided to individuals who are not registered in IWDS and are not participants.

**2-E Dislocated Workers**

- 1) Follow-up services, as described in WIOA sec. 134(C)(2)(A)(xiii) and 678.430(c) are made available, as appropriate for a minimum of 12 months following the first day of unsubsidized employment.
- 2) The Dislocated Worker participant is registered in IWDS
- 3) Dislocated Worker Participant Files were present for review
- 4) Dislocated Worker Participant Files reviewed met general date requirements
- 5) Documentation in the file provides support that the participant is Authorized to Work in the United States
- 6) Documentation in the file provides support that the participant is compliant with the Selective Service Requirement, if applicable
- 7) A DETS Event Number is entered into IWDS, if applicable
- 8) Documentation in the participant file supports the dislocation date recorded in IWDS
- 9) Documentation in the file supports the participant is eligible as a Dislocated Worker
- 10) The participant was provided basic career services as outlined in WIOA secs. 134(C)(2)(A)(i)-(xi) and 678.430(a)
- 11) The participant was provided individualized career services as outlined in WIOA sec. 134(C)(2)(A)(xii) and 678.430(b)
- 12) There is evidence than an Individual Employment Plan (IEP) has been developed for the participant
- 13) There is evidence that the IEP has been updated as necessary when there are changes in services, objectives, or goals
- 14) The services being provided to the participant match the services, objective and goals outlined in the IEP.
- 15) Test dates and scores recorded in IWDS are supported by hard copy tests in the participant file

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- 16) The participant file contains documentation to support enrolling the participant in the training program
- 17) For ITA training, the training program is with an approved training provider
- 18) For ITA training, the training program is an approved program in IWDS
- 19) For ITA training, the cost of the training program is within the ITA limitations established by the grantee, or there is an approved exception
- 20) There is evidence that the customer is attending the training courses as scheduled
- 21) Credentials earned are reported in IWDS and supported by documentation in the participant file
- 22) Any supportive services provided to the participant are paid at the correct rate and within established policy
- 23) If the participant is receiving Needs Related Payments, there is evidence in the file that the participant met eligibility requirements
- 24) There is documentation reflecting that meaningful 2-way communication is occurring within a 90-day timeframe
- 25) If the customer has a gap in service, it was less than 180 calendar days from the date of the most recent service, and it was for one of the allowable reasons
- 26) All services and status records have been appropriately recorded (ended) in IWDS
- 27) WIOA Title I services, other than self-service or information-only activities, are not provided to individuals who are not registered in IWDS and are not participants.