Jobs for Veterans State Grant Audit Tool

The Jobs for Veterans State Grant Audit Tool (Audit Tool) is an electronic form used to conduct and record the results of periodic audits of the State Workforce Agency (SWA) in the administration of the JVSG program. It is also used to determine the level of compliance of the SWA and local One Stop Delivery Areas regarding the proper utilization of the Local Veterans' Employment Representative (LVER) and Disabled Veterans' Outreach Program (DVOP) staff as defined by their statutory roles and responsibilities (R&R). The Audit Tool is used to analyze the audit results in order to determine the need for technical assistance (TA), or in the case of more serious findings, to establish the need for a Corrective Action Plan (CAP). *A separate Audit Tool workbook should be completed for the SWA and each location audited, and consolidated into one Audit Tool workbook for the final report.*

Elements contained on the Audit Tool are classified into four categories, and are color-coded for easy reference:

F - Finding (Red) - A Finding identifies an area of non-compliance with Federal statute, regulations, policy or general or special grant provisions, that; significantly impairs the ability of JVSG-funded staff to properly perform their roles and responsibilities; has significant negative impact on the SWA's program performance; and/or demonstrates that JVSG staff are not fulfilling their roles and responsibilities as defined in Federal statute, regulations, policy or general or special grant provisions. Findings will have one or more citations included. The Finding is followed by one or more required actions briefly describing what must be done to remedy the Finding. Findings require the state to provide a Corrective Action Plan. Findings are coded in RED.

RR - Response Required (Yellow) - A Response Required element identifies an area of non-compliance with Federal statute, regulations, policy or general or special grant provisions, that; impairs the ability of JVSG-funded staff to properly perform their roles and responsibilities; has a negative impact on the SWA's program performance; and/or demonstrates that JVSG staff may not be fulfilling their roles and responsibilities as defined in Federal statute, regulations, policy or general or special grant provisions. The Response Required element is followed by one or more required actions briefly describing what must be done to remedy the element. Response Required elements for which the SWA must provide a formal, written response are coded in YELLOW.

E – Efficiency Issue (Turquoise) - Elements which affect the Efficient Implementation or function of DVOP/LVER program and/or staff and which should be addressed, but which do not require a formal response or rise to the level of a Finding or Response Required element, are coded in TURQUOISE.

White (or no color) – Element meets standard, no action necessary.

"Overall Audit Results" page: No data can be entered on this page. The "Meets Standard" and "Compliance Issue" status is derived from results entered on the individual audit worksheets. Auditors will only be able to enter data in the "Yes", "No" and "Comment" sections of the Audit Tool. Audit categories listed on this page are hyperlinked, enabling quick navigation within the document.

"Administrative Data" page: Auditors will use this page to record administrative data (Auditor's name, date, location, persons interviewed, etc.).

Audit Area worksheets: Each of the Audit Area Worksheets is prefaced by a broad-based "Expectation" statement that sets the tone for the audit and gives the Auditor a sense of the direction for that section. The statement is statutorily based and is designed to outline JVSG program mandates under United States Code (USC). Sub-levels contain specific areas. Each sub-level contains questions tailored to identify specific outcomes.

Each Expectation sub-level has a block for a "Yes" or "No" status indication for the audit section, and also a "Comment" block for use by the Auditor**. Use only the letter "X" to mark the "Yes" and "No" blocks.** *Do not enter TBD, Yes, No, or any other characters* as the status will not be transferred to the Overall Audit Results Page. Comments, both positive and negative, should not overwhelm a Reviewer by their complexity and must stand on their own merit. Be thorough, as the Audit Tool will be the main source of information used to write the final audit report. Do not attempt to rely on memory alone, as auditing multiple persons at multiple locations in a

short time period will inhibit the auditor's ability to remember specific comments. Note that every Compliance Issue, be it Red, Yellow or Turquoise, MUST be addressed in the Final Audit Report.

For Audit Area Worksheets requiring reference to ETA-9002 and VETS-200 data, instructions are contained within the Audit Worksheets that instruct the user where to locate the required data elements. Results are automatically calculated results based on auditor input.

A **"References"** page is included in the workbook. Many references are hyperlinked for the Auditor's convenience.

Administrative Data Worksheet - Data Entry Instructions - (Audit Information, left Section only; instruction applies to both sections)

AUDIT INFORMATION - Enter the State Workforce Agency, Auditor and State Workforce Agency Representative information.		
Line Row	**Data Element**	**Instructions**
5D-I	State Workforce Agency Name	Enter the actual State Workforce Agency Name for the State, i.e., (Your state) Department of Workforce Development
5M	Date of Audit	Enter the current beginning date of the Audit
8D-I	State Workforce Agency Location	Enter the physical location of the State Workforce Agency site being audited
11D-I	Auditor Name and Position Information	Enter the Auditor Name and Position Information
14D-I and subsequent cells	State Workforce Agency Representative Name	Enter the State Workforce Agency Representative Name
16D-I and subsequent cells	State Workforce Agency Representative Position Information	Enter the State Workforce Agency Representative Position Information
18D-I and subsequent cells	State Workforce Agency Representative Contact Information	Enter the State Workforce Agency Representative Contact Information
20D-I and subsequent cells	Audit area interviewed for	Enter the Audit area the State Workforce Agency Representative was interviewed for