

**Indiana Department of Workforce Development - Regulatory Oversight and Compliance (ROC) Division
On-Site Office Review Checklist**

LWDA:		DWD Monitor(s):	
Monitoring Location/Office Type:		On-Site Review Date/Time:	
Local Staff Interviewed:			

CONFIDENTIAL INFORMATION & DOCUMENT SECURITY

Authority:	Verification:	Responses:
DWD Policy 2007-46	a. Is identifying information, including Social Security Numbers (SSNs), addresses, dates of birth, employer account numbers, and Federal Identification Numbers safeguarded from being obtained by unauthorized persons for any unauthorized use?	a. Yes <input type="checkbox"/> No <input type="checkbox"/>
DWD Policy 2013-03	b. When a desk or work area (including printers, copiers, and fax machines) is left unoccupied, is confidential and/or privileged information kept secure?	b. Yes <input type="checkbox"/> No <input type="checkbox"/>
	c. Are employees prohibited from taking State of Indiana electronic or paper records off of work premises to be utilized for personal reasons?	c. Yes <input type="checkbox"/> No <input type="checkbox"/>
	d. Are employees informed of proper use/management of records? <i>How are situations handled if records are misused?</i>	d. Yes <input type="checkbox"/> No <input type="checkbox"/>
	e. Are SSNs kept from being disclosed to unauthorized persons or entities?	e. Yes <input type="checkbox"/> No <input type="checkbox"/>
	f. When employees are not working directly with confidential documents, are documents filed or stored in secure drawers/cabinets to prevent inadvertent disclosure of information?	f. Yes <input type="checkbox"/> No <input type="checkbox"/>
	g. Do employees only access confidential information to the extent they have permission or authority to access?	g. Yes <input type="checkbox"/> No <input type="checkbox"/>
	Comments:	

DOCUMENT DESTRUCTION		
<p>Authority:</p> <p>DWD Policy 2007-42</p> <p>DWD Policy 2007-46</p>	<p>Verification:</p> <ul style="list-style-type: none"> a. Are documents destroyed in a manner that ensures information contained in the records is unidentifiable? b. Are documents destroyed in a secure location? c. Are confidential records kept from being discarded in trash bins, recycling containers, and other publicly accessible locations? <p>Comments:</p>	<p>Responses:</p> <ul style="list-style-type: none"> a. Yes <input type="checkbox"/> No <input type="checkbox"/> b. Yes <input type="checkbox"/> No <input type="checkbox"/> c. Yes <input type="checkbox"/> No <input type="checkbox"/>

WORKPLACE SAFETY & SECURITY		
<p>Authority:</p> <p>DWD Policy 2013-03</p> <p>DWD Administrative Inquiry</p> <p>SOI IRUA</p>	<p>Verification:</p> <ul style="list-style-type: none"> a. Is unauthorized employee use of cameras, including cell phone cameras, prohibited from use on the premises? b. Does the office have a written emergency response plan? c. Is there a presence of hazardous chemicals in or near the office? d. Do employees refrain from sharing computer passwords with fellow workers? e. Are computers used by employees in compliance with the Information Resources Use Agreement (IRUA)? <p>Comments:</p>	<p>Responses:</p> <ul style="list-style-type: none"> a. Yes <input type="checkbox"/> No <input type="checkbox"/> b. Yes <input type="checkbox"/> No <input type="checkbox"/> c. Yes <input type="checkbox"/> No <input type="checkbox"/> d. Yes <input type="checkbox"/> No <input type="checkbox"/> e. Yes <input type="checkbox"/> No <input type="checkbox"/>

EMPLOYEE NOTIFICATION		
<p>Authority:</p> <p>DWD Policy 2013-03</p> <p>DWD Policy 2007-39</p> <p>DWD Policy 2011-03 (Amended)</p> <p>DWD Policy 2010-05</p>	<p>Verification:</p> <p>a. Are employees aware of ethics rules which prohibit benefiting from, or permitting any other person to benefit from, confidential information as further outlined at http://www.in.gov./ig (Indiana Inspector General’s Office)?</p> <p>b. Are employees aware that DWD adopted a zero-tolerance policy for employees who fraudulently file for unemployment benefits or public relief while currently employed at DWD?</p> <p>c. Are employees aware of procedures, appropriate responses, and/or reporting requirements in case of injury, threat of legal action, or threat of violence?</p> <p>Comments:</p>	<p>Responses:</p> <p>a. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>b. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>c. Yes <input type="checkbox"/> No <input type="checkbox"/></p>

WORKONE APPEARANCE & EQUIPMENT		
<p>Authority:</p> <p>DWD Policy 2016-09</p> <p>DWD Administrative Inquiry</p>	<p>Verification:</p> <ul style="list-style-type: none"> a. Is there ample room for parking for both WorkOne employees and clientele? b. Is the WorkOne building itself in an acceptable functional condition? c. Are the grounds of the WorkOne facility in good condition and free from excessive trash or clutter? d. If any flags are publicly displayed (Indiana State or United States), are they in acceptable condition for public presentation? e. Is the WorkOne sign easily seen from the road and is there easy access to the facility? f. Does the office have American Job Center signage? g. Does the office possess a sufficient amount of computers for public access? h. Request a demonstration of any assistive technology Is the equipment in operable condition, and is staff trained on usage? i. Test handicapped accessible entrances to ensure functionality. Are all in working order? j. Are partner services provided in this office? How? <p>Comments:</p>	<p>Responses:</p> <ul style="list-style-type: none"> a. Yes <input type="checkbox"/> No <input type="checkbox"/> b. Yes <input type="checkbox"/> No <input type="checkbox"/> c. Yes <input type="checkbox"/> No <input type="checkbox"/> d. Yes <input type="checkbox"/> No <input type="checkbox"/> e. Yes <input type="checkbox"/> No <input type="checkbox"/> f. Yes <input type="checkbox"/> No <input type="checkbox"/> g. Yes <input type="checkbox"/> No <input type="checkbox"/> h. Yes <input type="checkbox"/> No <input type="checkbox"/> i. Yes <input type="checkbox"/> No <input type="checkbox"/> j. Yes <input type="checkbox"/> No <input type="checkbox"/>

	Equal Opportunity, Migrant Seasonal Farm Worker & Miscellaneous	
<p>Authority:</p>	<p>Verification:</p> <ul style="list-style-type: none"> a. Is there EO signage posted in a highly visible area within the WorkOne? b. Is the EO signage formatted for non-English speaking individuals or individuals with visual impairments? c. Is the Babel Notice information conveyed to clients? d. Is Migrant Seasonal Farm Worker signage posted in a prominent location? e. Are efforts being made to identify and/or recruit Migrant Seasonal Farm Workers? <p>Comments:</p>	<p>Responses:</p> <ul style="list-style-type: none"> a. Yes <input type="checkbox"/> No <input type="checkbox"/> b. Yes <input type="checkbox"/> No <input type="checkbox"/> c. Yes <input type="checkbox"/> No <input type="checkbox"/> d. Yes <input type="checkbox"/> No <input type="checkbox"/> e. Yes <input type="checkbox"/> No <input type="checkbox"/>