

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

<b>LWDA:</b>		<b>DWD Monitor(s):</b>	
<b>Monitoring Loc./ Office Type:</b>		<b>On-Site Review Date/Time:</b>	
<b>Local Staff Interviewed:</b>			

<b>CONFIDENTIAL INFORMATION AND DOCUMENT SECURITY</b>			
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<b>Authority:</b>	<b>Verification:</b>	<b>Responses:</b>
DWD Policy 2007-46	a. Identifying information, including SSNs, addresses, dates of birth, employer account numbers, and Federal Identification Numbers are 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, confidential and/or privileged information is not left unattended.	b. Yes <input type="checkbox"/> No <input type="checkbox"/>
	c. Employees are not permitted to take State of Indiana electronic or paper records off 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. Social Security Numbers are not 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, these documents are filed or stored in secure drawers/cabinets to prevent inadvertent disclosure of information.	f. Yes <input type="checkbox"/> No <input type="checkbox"/>
	g. Employees only access confidential information to the extent they have permission or authority to access.	g. Yes <input type="checkbox"/> No <input type="checkbox"/>
		<b>Comments:</b>

<b>DOCUMENT DESTRUCTION</b>			
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<b>Authority:</b>	<b>Verification:</b>	<b>Responses/Comments:</b>
DWD Policy 2007-42	a. All documents are destroyed in such a manner as to ensure information contained on the records is unidentifiable.	a. Yes <input type="checkbox"/> No <input type="checkbox"/>
DWD Policy 2007-46	b. Documents are destroyed in a secure location.	b. Yes <input type="checkbox"/> No <input type="checkbox"/>
	c. Confidential records are not discarded in trash bins, recycling containers, or other publicly accessible locations.	c. Yes <input type="checkbox"/> No <input type="checkbox"/>
		<b>Comments:</b>

WORKPLACE SAFETY AND SECURITY		
<p><b>Authority:</b></p> <p>DWD Policy 2013-03</p> <p>DWD Administrative Inquiry</p> <p>SOI IRUA</p>	<p><b>Verification:</b></p> <p>a. Employee unauthorized use of cameras, including cell phone cameras is prohibited from use on the premises.</p> <p>b. Does office have a written emergency response plan?</p> <p>c. Is there a presence of hazardous chemicals in or near the office?</p> <p>d. Employees do not share computer passwords with fellow workers.</p> <p>e. Computers are used by employees in compliance with the Information Resources Use Agreement (IRUA) which is a statewide policy intended to improve the state's information security and guide state employees regarding appropriate use. (<a href="http://www.in.gov/iot/IRUA.htm">http://www.in.gov/iot/IRUA.htm</a>)</p> <p>f. Does the office utilize security cameras? If so, how many cameras are there and are they currently monitored by an alarm company?</p> <p>g. Does the office utilize on-site security such as a security guard or off-duty police officer?</p>	<p><b>Responses:</b></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> <p>d. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>e. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>f. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>g. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>Comments:</b></p>
EMPLOYEE NOTIFICATION		
<p><b>Authority:</b></p> <p>DWD Policy 2013-03</p> <p>DWD Policy 2007-39</p> <p>DWD Policy 2011-03</p> <p>DWD Policy 2010-05</p>	<p><b>Verification:</b></p> <p>a. Employees are aware of ethics rules which prohibit benefiting from, or permitting any other person to benefit from, confidential information as further outlined at <a href="http://www.in.gov./ig">http://www.in.gov./ig</a> (Indiana Inspector General's Office).</p> <p>b. Employees are 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. Employees are aware of procedures, appropriate responses, and/or reporting requirements in case of injury, threat of legal action, or threat of violence.</p>	<p><b>Responses:</b></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> <p><b>Comments:</b></p>

WORKONE APPEARANCE/EQUIPMENT AND EO COMPLIANCE		
<p><b>Authority:</b></p> <p>DWD Policy 2016-09</p> <p>DWD Administrative Inquiry</p>	<p><b>Verification:</b></p> <p>a. Is there ample room for parking for both WorkOne employees and clientele?</p> <p>b. Is the WorkOne building itself in an acceptable functional condition?</p> <p>c. Are the grounds of the WorkOne facility in good condition and free from excessive trash or clutter?</p> <p>d. If any flags are publicly displayed (Indiana State or United States), are they in acceptable condition for public presentation?</p> <p>e. Is the WorkOne sign easily seen from the road and is there easy access to the facility?</p> <p>f. Does the office have American Job Center signage?</p> <p>g. Does the office possess a sufficient amount of computers for public access?</p> <p>h. Is there EO signage posted in a highly visible area within the WorkOne?</p> <p>i. Is the EO signage formatted for non-English speaking individuals or individuals with visual impairments?</p> <p>j. Request a demonstration of any assistive technology Is the equipment in operable condition, and is staff trained on usage?</p> <p>k. Test handicapped accessible entrances to ensure functionality. Are all in working order?</p> <p>l. How is Babel Notice information conveyed to clients? How is it documented?</p> <p>m. How are partner services provided in this office?</p>	<p><b>Responses/Comments:</b></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> <p>d. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>e. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>f. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>g. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>h. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>i. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>j. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>k. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>l. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>m. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p><b>Comments:</b></p>