Grant Monitoring System (GMS) System Guide

Document Edit History

Version Number	Modified by	Date	Description of updates
1.0	Lynette Tritz	12/28/2023	Created Document
1.1	Lynette Tritz	1/31/2024	Updated Add File Review section with new screenshots

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Background

DCEO is required by the US Department of Labor to complete the annual monitoring of the local workforce areas and other grantees as a condition of receiving the federal funds as outlined at 20 CFR § 683.410. Failure to provide adequate oversight and monitoring will lead to audit/monitoring findings, questioned/disallowed costs, and a diminished capacity to secure competitive federal awards. The monitoring system and procedures must have the following tools to meet the minimum compliance requirements.

- Document Library
- Reports
- Monitoring Instrument

Overview

The Grant Monitoring System (GMS) contains the foundations of the monitoring process. The purpose of monitoring is to determine whether grantees are in compliance with the Workforce Innovation and Opportunity Act (WIOA), federal regulations, the Uniform Guidance, state rules, and the Department of Commerce and Economic Opportunity (DCEO)/local policies. Monitoring provides a reasonable assurance that systems are in place to administer programs that comply with applicable rules and regulations.

WIOA Title I Programs that will be monitored include:

- Adult
- Dislocated Worker
- Youth
- Trade

GMS is a user-friendly tool crafted for streamlined WIOA Title I formula monitoring. With GMS, users can effortlessly create new monitoring events, provide an online platform to complete monitoring events by selecting participants, complete fiscal and programmatic elements, upload files, review finding results, and download monitoring event letters. Accessible exclusively to authorized users, GMS ensures a straightforward and efficient monitoring process.

Purpose

The purpose of this document is to serve as a manual of the capabilities of the Grant Monitoring System. The application is used to monitor the use of distributed funds for DCEO-managed workforce development programs for Adult, Dislocated, Youth, and Trade that utilize Illinois Workforce Development System (IWDS) data.

This workforce product was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration.

Website URL

Environment	URL	Purpose
Staging	https://testapps.illinoisworknet.com/Monitoring/	Development Team Access
User Acceptance Testing (UAT)	https://testapps.illinoisworknet.com/monitoringUAT/	Testing upcoming new features
Production	https://apps.illinoisworknet.com/Monitoring/	Source of truth for monitoring events

This workforce product was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration.
For more information, please refer to the footer at the bottom of any webpage at illinoisworknet.com.

Role-based access

The GMS utilizes role-based access for the application. Access is granted via Illinois workNet accounts.

- Super admin can create and edit events, assign the monitoring team, define the instrument used in an event, and edit any part of an event. A Super admin also sets an event to Active or Closed status.
- Program Leads can assign participants to an event, assign monitors to portions of the instrument, and complete the programmatic instrument.
- Fiscal and Program Monitors can complete their portion of the events and search or view events they have participated in.
- State staff users can view the application, search events and view information in the event. They cannot complete an instrument or modify the event.

User Roles by Access Type

Access Type	User Roles				
	Super Admin	Lead Program Monitor	Program Monitor	Fiscal Monitor	State Staff
Create Event	X				
Edit Event	X				
Change Event Status	X				
Assign Monitors to Fiscal portions of Instrument	X			X	
Assign Monitors to Program portions of instrument	X	X			
Select Participants	X	X			
Complete Fiscal Portions of Instrument	X			X	
Complete Program portions of Instrument	X	X	X		
Add or Update Files	X	X	X	X	X
Download Files	X	X	X	X	X
Download Announcement Letter	X	X	X	X	X
Download Results Letter	X	X	X	X	X

Access Type	User Roles				
	Super Admin	Lead Program Monitor	Program Monitor	Fiscal Monitor	State Staff
View Event Details	X	X	X	X	X
View Draft events	X				
View Active events	X	X	X	X	X
View Closed events	X	X	X	X	X
Change event Status	X				

Add or remove access

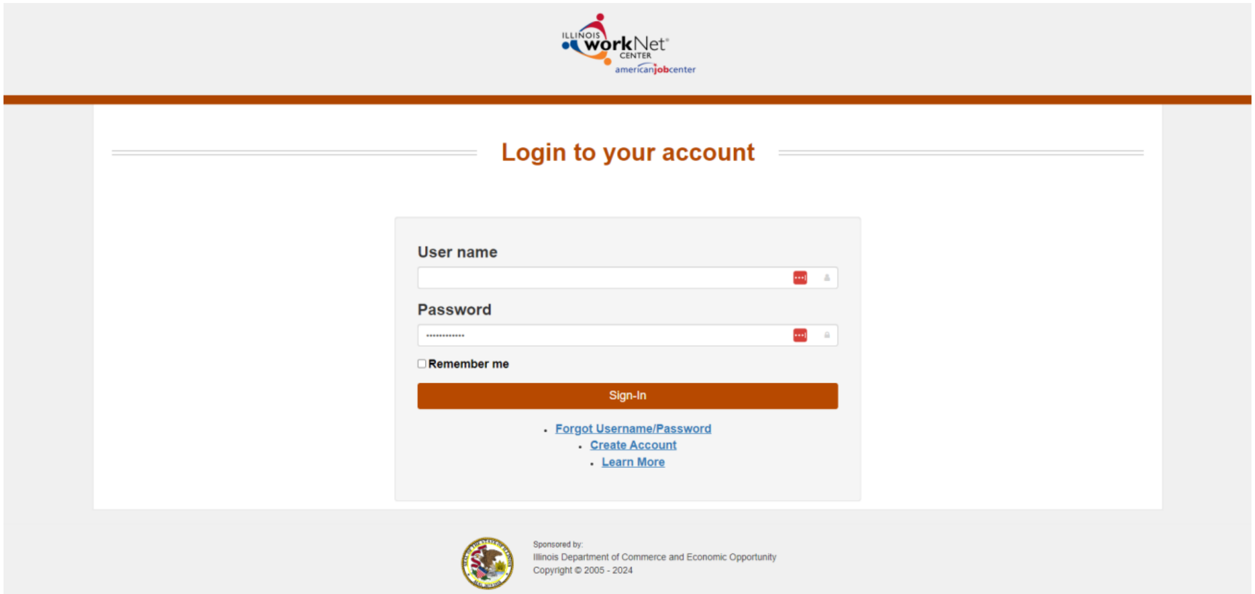
To add or remove access for GMS, determine which role is needed and open a Help Request. To open a Help Request, see Requesting support assistance.

This workforce product was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration.

Navigation

Login

An Illinois workNet account is required to log into GMS.

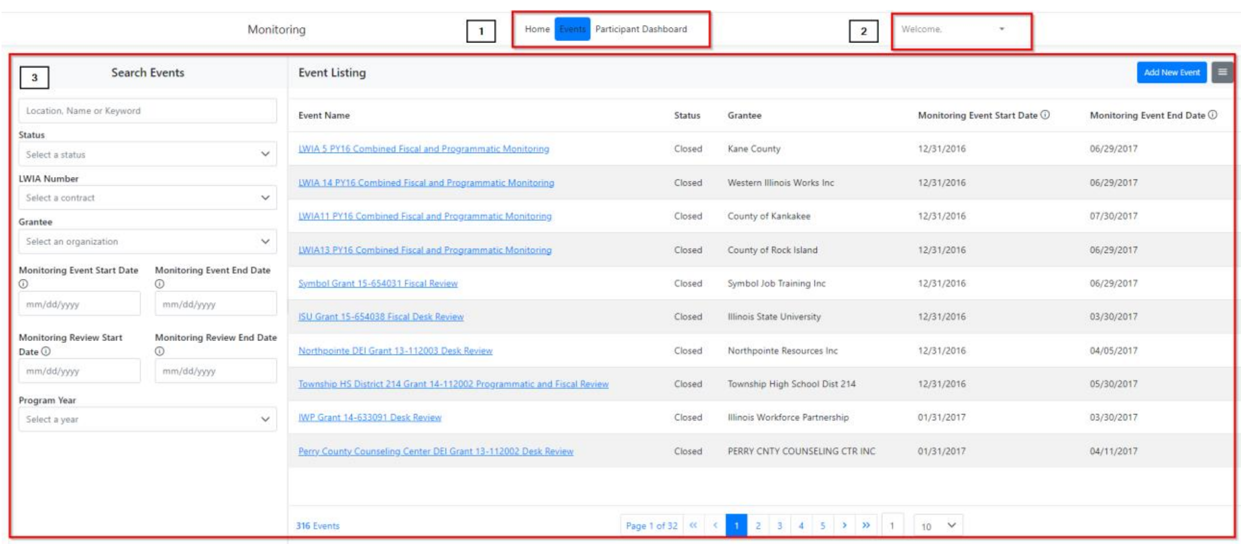


To request access, see Add or remove access.

Landing page

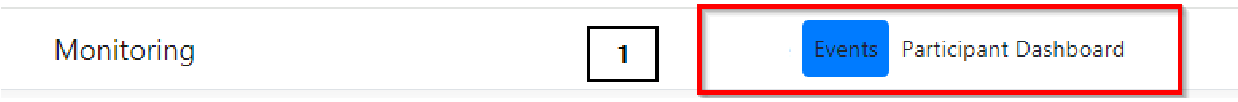
After Login, the user is directed to the landing page. There are 3 elements of the landing page:

1. Site Navigation Bar
2. User Menu
3. Search Events



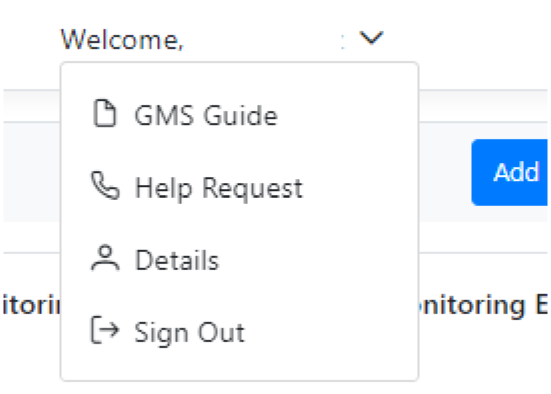
Site Navigation Bar

The site navigation bar directs between the Event Search Screen and the Participant Dashboard screens. For more information on Event Search, see Search Event. For more information on the Participant Dashboard, see Dashboard.



User Menu

To the right-hand side of the application, user controls appear under the Welcome menu. Click on the arrow next to the name to see the menu.



GMS Guide

Directs to the GMS Partner page.

Help Request

Clicking on the Help Request link will direct you to Help Desk powered by Illinois workNet. To open a Help Request for GMS, see Requesting support assistance.

Details

Provides Details regarding your workNet account including the role access for GMS.

Sign Out

Logs user out of GMS.

Search Events

The search events screen allows users to find events to view details and complete instruments. For details on how to use this section, see Search Event.

Participant Dashboard

The Participant Dashboard, available from the landing page, provides a read-only view of the Select Participants section of the Complete Event page. See Select Participants for more information on how to use the Participant Dashboard.

Complete Events

Much of the activity for an event is completed in the View Event screen. From this portion of the application, users can view the event information, select participants, complete instruments, upload and view files, and download letters. For details on how to use this section, see Complete Event.

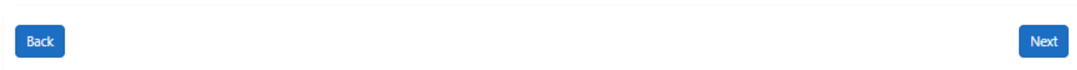
This workforce product was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration.

Monitoring Event Lifecycle

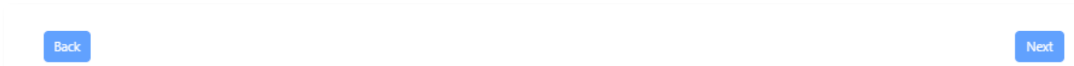
Super admins can Add a New Event, edit an event after it has been created, and change the status of an event.

There are four sections of the Add New Event menu: Organization, Event Info, Select Components, and Identify Monitoring Team. At the top of the page, each section is listed, and a blue box will be shaded with the section that is currently being presented on the page. To navigate between the sections, there are two methods:

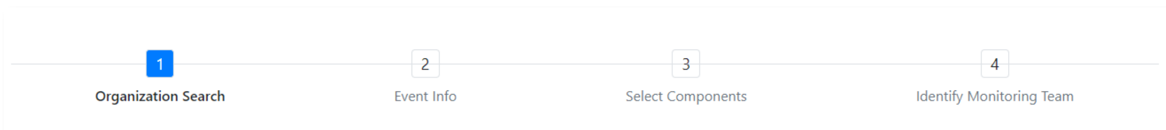
- Use the Back and Next Navigation buttons at the bottom of the screen. They will be dark blue when all required fields are filled or shaded when required fields are needed.
    - Ready to move to the next section:



    - Required fields needed:

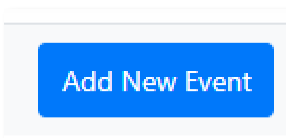


- Use the navigation at the top of the screen. Clicking on the numbers or names of the sections in the workflow bar at the top will navigate between pages.

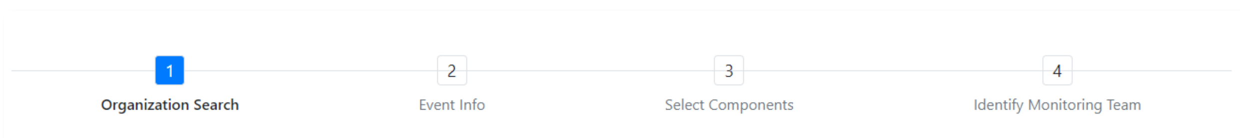


Add New Event

1. From the event search landing page, click Add New Event in the upper right-hand corner.



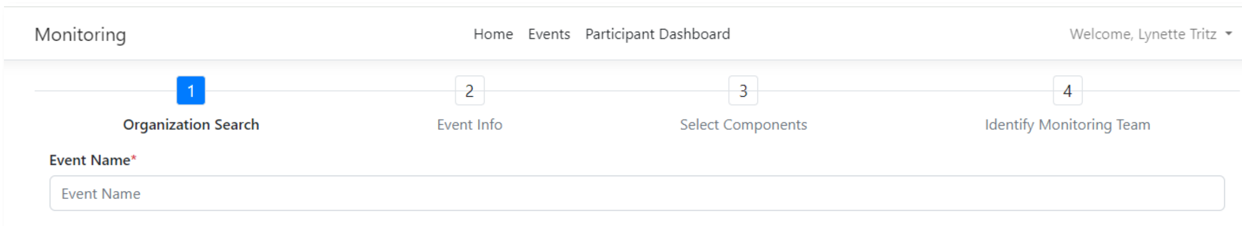
2. You will be directed to the Add Event workflow.



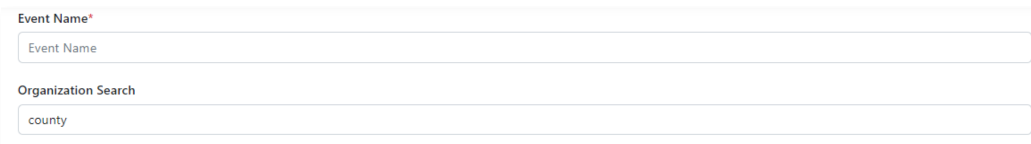
Organization Search

3. Name the event. Events can be named using upper case, lower case, numbers, and spaces.

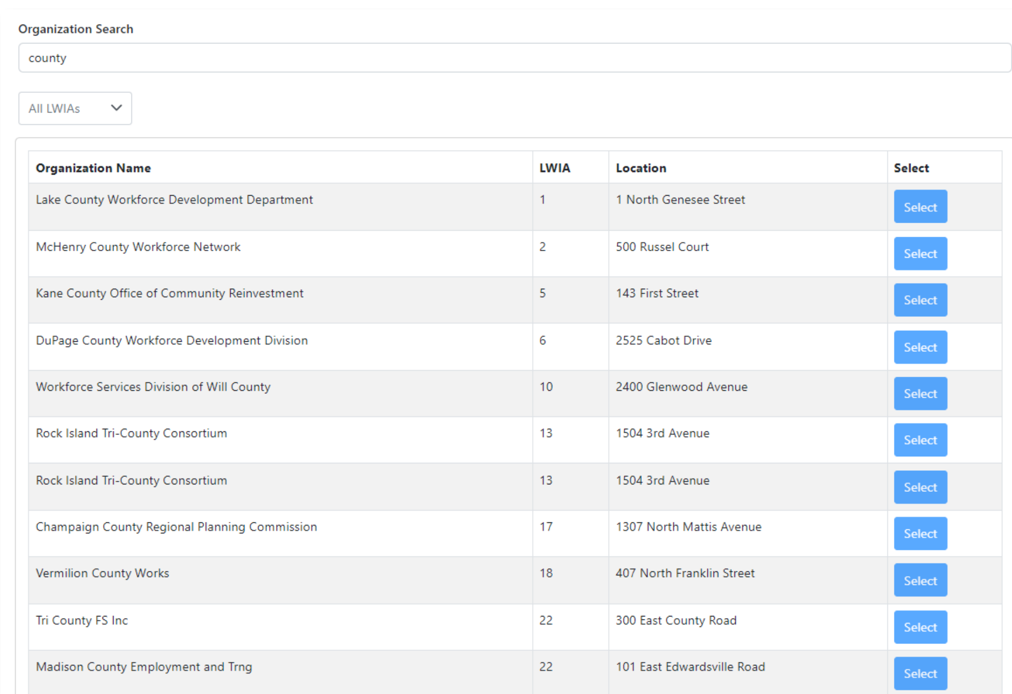
TIP: *Event names can use up to 50 characters*



4. There are two ways to choose the Organization for the event:
   a. Search by Organization Name
      i. Type the Organization name in the search box.

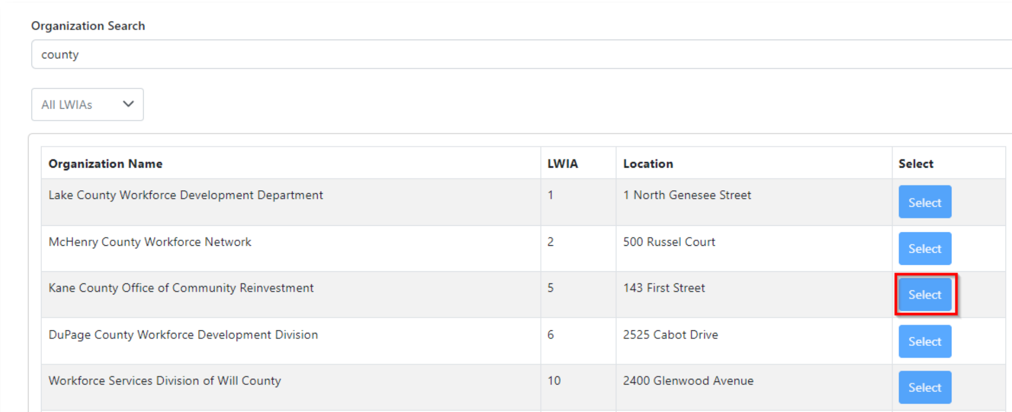


      ii. The box below will filter to the search terms.



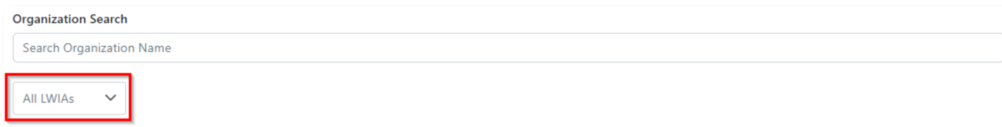
Organization Name	LWIA	Location	Select
Lake County Workforce Development Department	1	1 North Genesee Street	Select
McHenry County Workforce Network	2	500 Russel Court	Select
Kane County Office of Community Reinvestment	5	143 First Street	Select
DuPage County Workforce Development Division	6	2525 Cabot Drive	Select
Workforce Services Division of Will County	10	2400 Glenwood Avenue	Select
Rock Island Tri-County Consortium	13	1504 3rd Avenue	Select
Rock Island Tri-County Consortium	13	1504 3rd Avenue	Select
Champaign County Regional Planning Commission	17	1307 North Mattis Avenue	Select
Vermilion County Works	18	407 North Franklin Street	Select
Tri County FS Inc	22	300 East County Road	Select
Madison County Employment and Trng	22	101 East Edwardsville Road	Select

iii. Click the select box next to the Organization for the event.

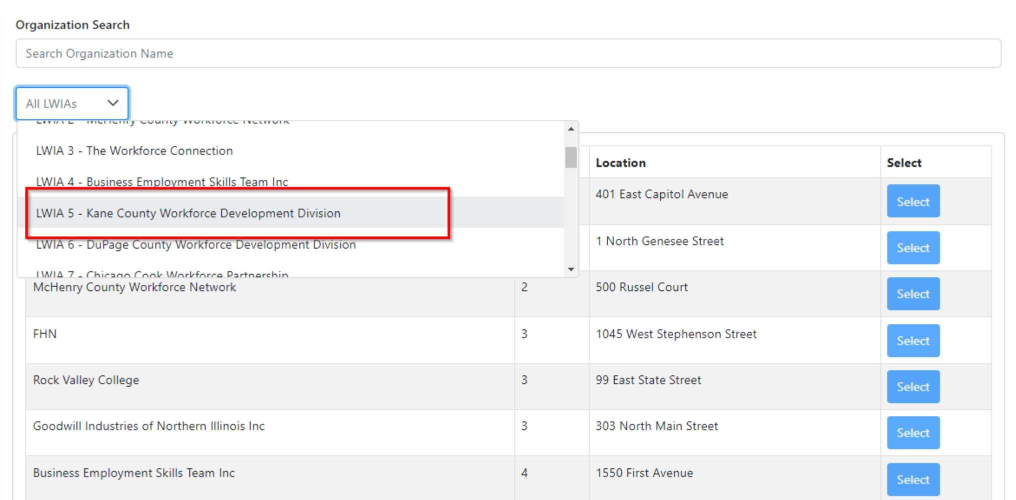


b. Filter LWIA dropdown

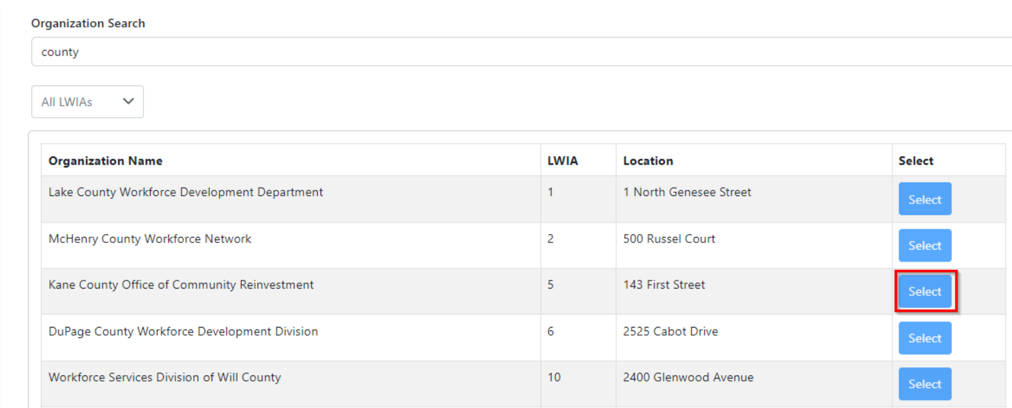
i. Filter by clicking down on the arrow next to all LWIAs.



ii. Scroll down and click on the Organization

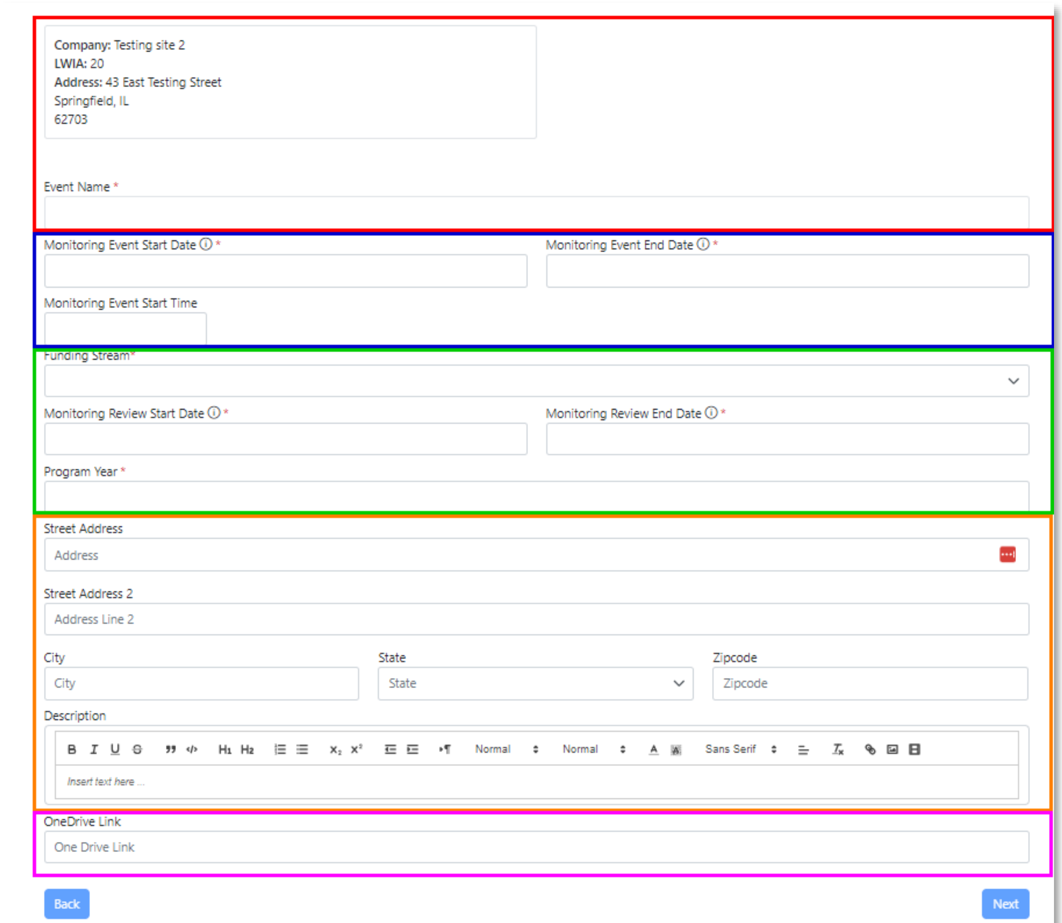


iii. Click the Select box next to the Organization to add to the event. This performs the first save of the event and assigns a draft status to the event.

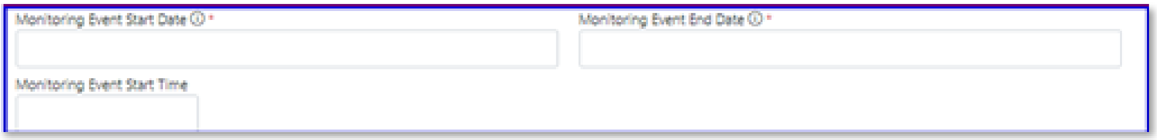


Event Information

The event info page further defines the event by, including the date and time of the event, funding streams being monitored, review period, and program year. Additionally, the Organization and Event name chosen in the first portion of the event creation is transferred to this page to avoid duplicate event entry, as shown in red below. The rest of this section defines how to complete the other portions of the event info page.



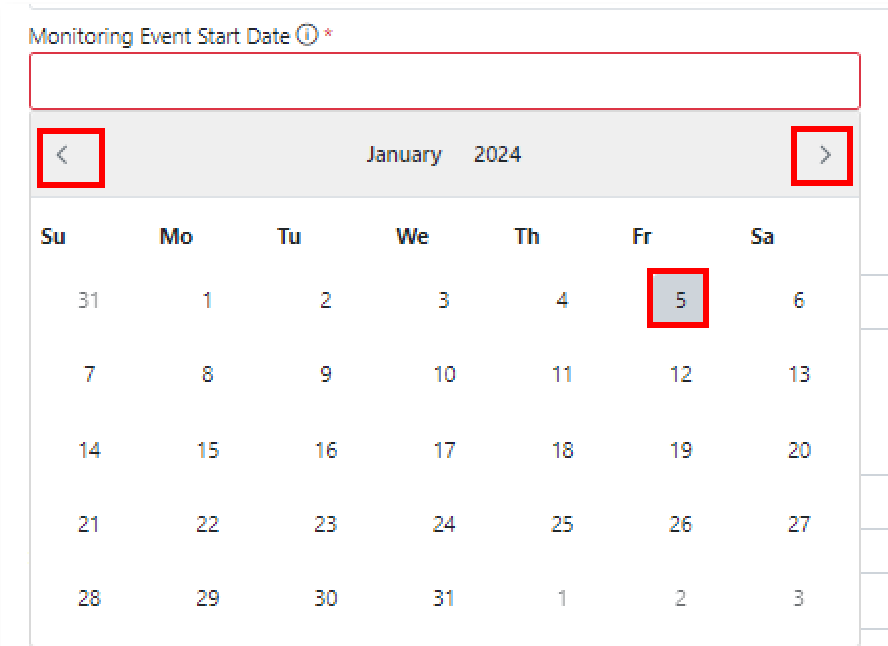
Monitoring Event Information



The blue box above indicates information about the monitoring event and consists of the Monitoring Event Start Date, Monitoring Event End Date, and the Monitoring Event start time. Monitoring event dates reflect the dates in which the monitoring event is scheduled to be performed. Monitoring Event Start and End Dates are required fields.

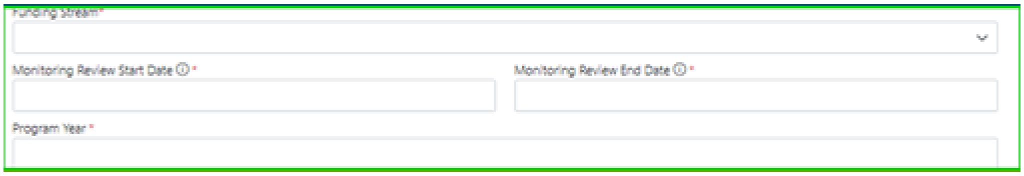
TIP: *Typically, the monitoring event will be scheduled in the system for up to 6 months and extended as needed through the Monitoring Manager's approval.*

5. There are two ways to enter in the monitoring Event Start and End Dates:
    a. Calendar Picker - Click in the white box to open the calendar picker. Use the arrows to move between the months of the year. To search for different years, click on the Month and Year in the grey box.
        i. Then, click on the day of the month in the calendar. Once clicked, the calendar picker will close and display in the date field.



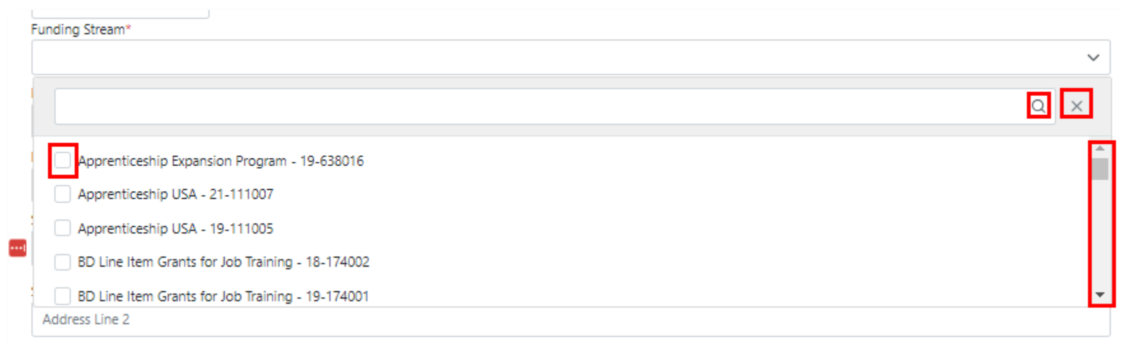
    b. Manual Date Entry – Manually typing in the date must be in the following format MM/DD/YYYY. For single digit dates, please enter in a zero prior to the number e.g., 05/01/2024 for May 1, 2024. If the format is missing any of the digits and then Tab is pressed to move to the next field, the date will clear.
6. Enter the Monitoring Event Start time. This corresponds with the entrance conference time that occurs at the beginning of a monitoring event. The monitoring event start time is optional, however, if not entered, it will need to be manually entered into the announcement letter.

Items subject to the monitoring event



The green box above are mandatory fields that need to be entered for items that will be monitored, such as the funding streams, and Monitoring Review Start and End Dates.

7. Clicking on the arrow to the right of Funding Stream will bring up a list of grant numbers. There are two ways to search:
   a. Grant number search - In the search bar, type the grant name or number and click on the magnifying glass. Results will appear related to the search term. Multiple grant numbers can be chosen by clicking the box next to the grant name and number.



   b. Using the scroll bar on the right-hand side of the box, search for the grants and click on the box next to the ones applicable for the event. This list is organized by grant name.
8. Next, enter in the Monitoring Review Start and End Date. The Monitoring Review dates reflect the dates the monitoring event will utilize for file review. The start date will identify the first date the files can be selected for review for the monitoring event. The end date will identify the last date the files can be selected for review for this monitoring event.
   There are two ways to enter in the monitoring Event Start and End Dates:

TIP: *This period is typically one year and will occur after the grantee's previous monitoring review. For Example, LWIA 5 PY22 monitoring review was 07/01/2021-8/31/2022. The PY23 review period will be 07/01/22-8/31/2023.*

   a. Calendar Picker - Click in the white box to open the calendar picker. Use the arrows to move between the months of the year. To search for different years, click on the Month and Year in the grey box.
      i. Then, click on the day of the month in the calendar. Once clicked, the calendar picker will close and display in the date field.
   b. Manual Date Entry – Manually typing in the date must be in the following format MM/DD/YYYY. For single digit dates, please enter in a zero before the number e.g., 05/01/2024 for May 1, 2024. If the format is missing any of the digits and then Tab is pressed to move to the next field, the date will clear.

Optional fields

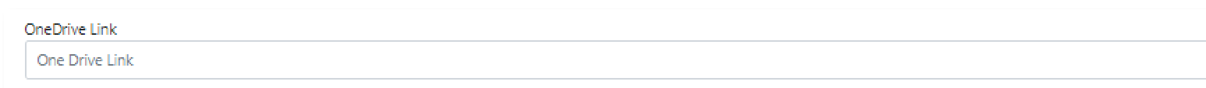
Optional fields for the event include alternate address and event description.

9. Typically, the address for the event listed corresponds with the address for the grantee. For instances where the grantee address is different from the physical address of the location being monitored, use the alternate address box. The address fields are direct text entry and include street address, street address 2, City, State, and Zip Code.

10. Event description is a direct text entry field for notes containing information about the event. This information will be viewable on the View Event screen for State Staff, Lead Program Monitors, and Fiscal and Program Monitors to view.

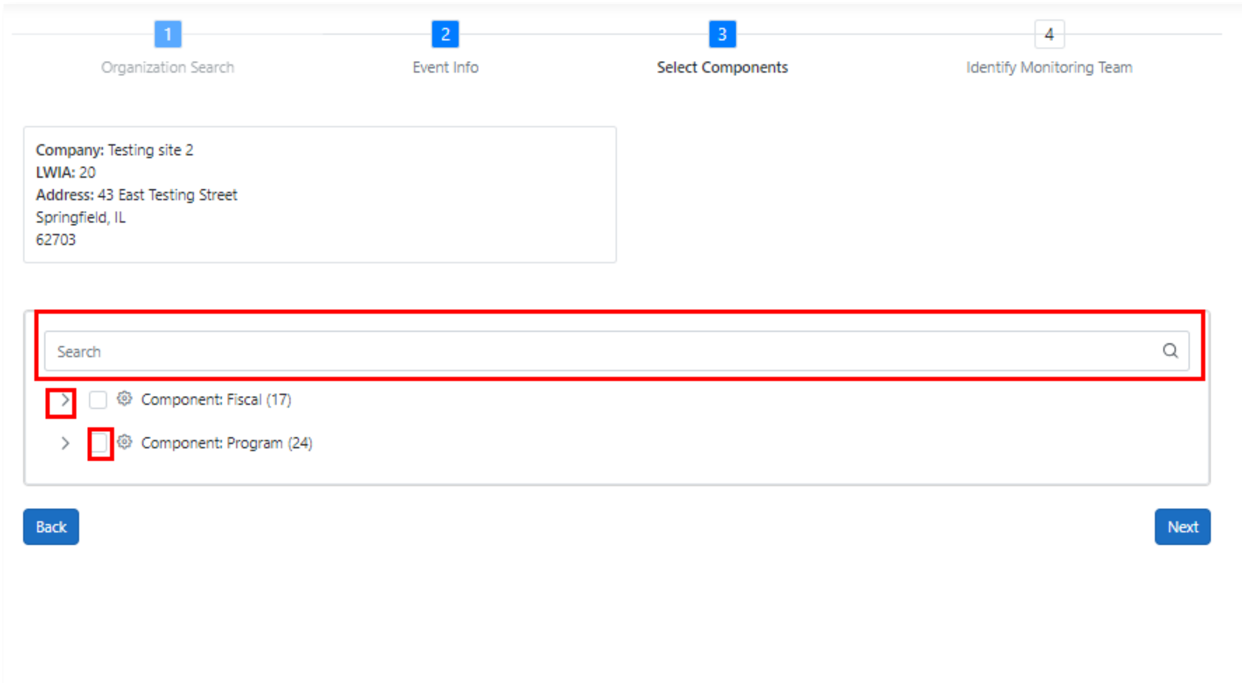
One Drive Link

11. The last entry is to include the OneDrive Link related to the event. This information will be presented in the announcement letter.

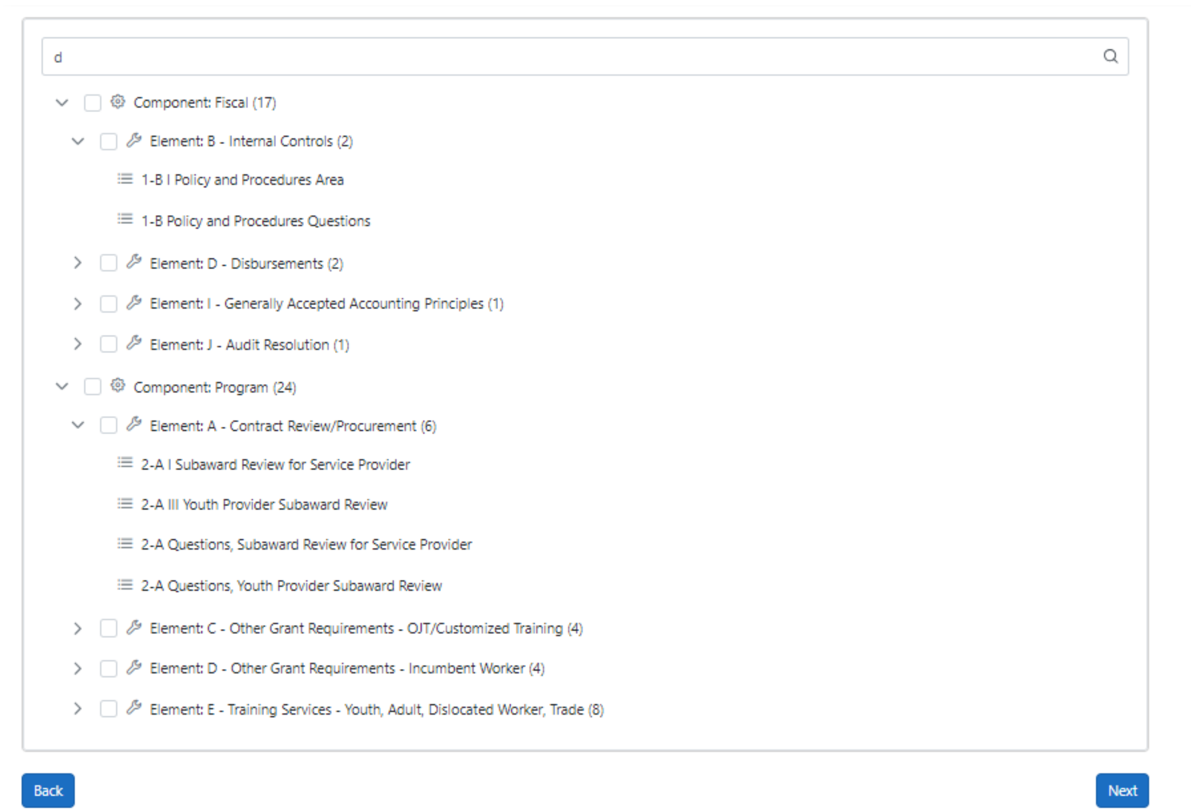


Select Components

In the Select Components section, the modules for the monitoring event will be chosen. Items chosen in this step will be displayed in the Instruments section of the event and be available to complete for the event.



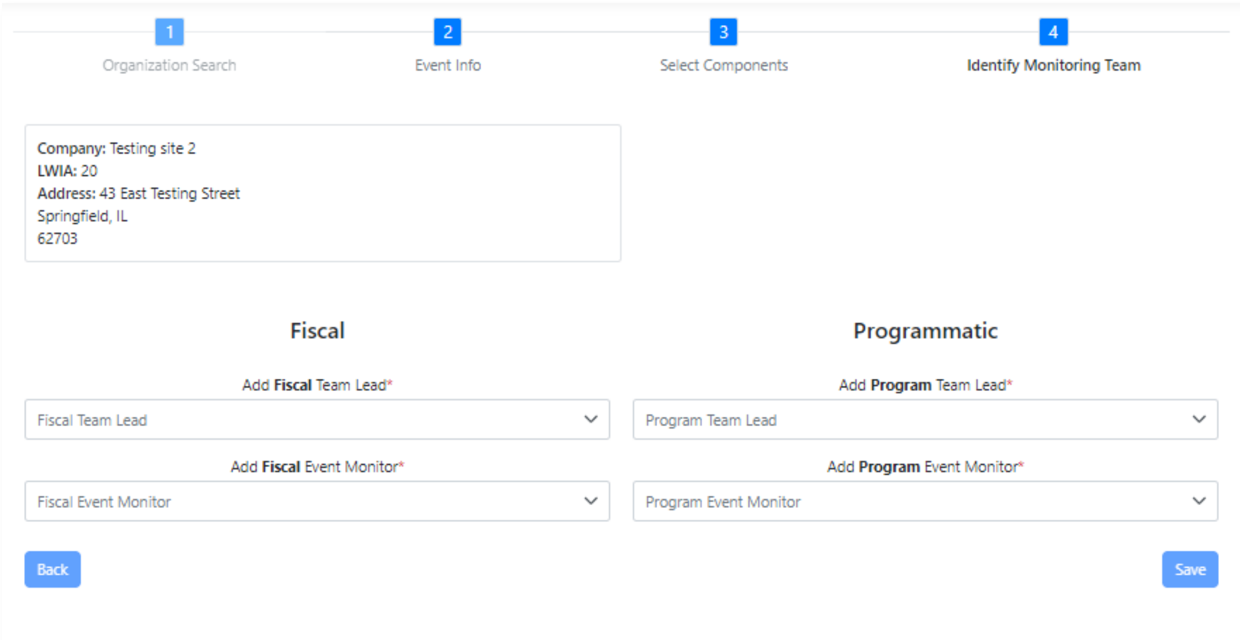
12. The search bar can be used to search for specific modules, elements, or components to include in a monitoring event. Type in the search bar to begin filtering the list. The search will work with one or more letters.



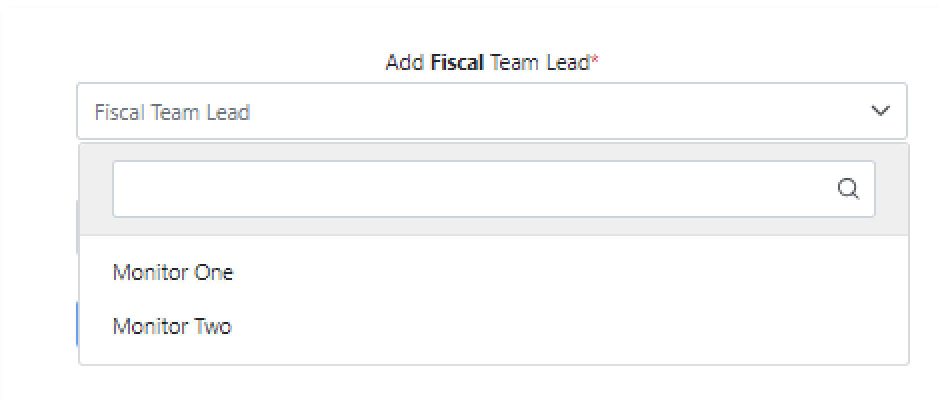
13. Click on the box next to the Component or Element next to the name to select for the event.
14. Once all selections have been made, click Next.

Identify Monitoring Team

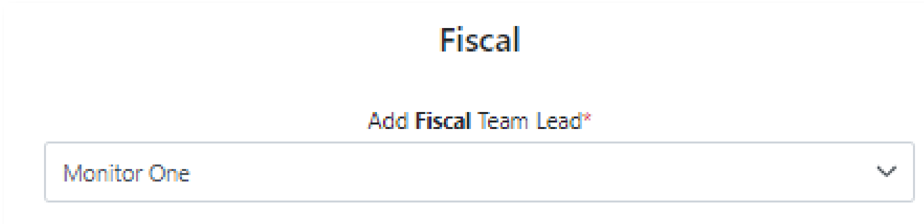
The final section of the Add New Event menu is where the monitoring team is chosen. The team is selected based on the portions of the event they will be completing.



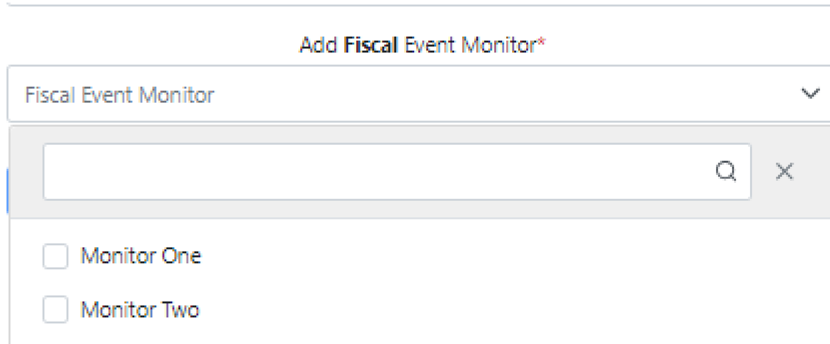
15. Click on the arrow next to the Add Fiscal Team Lead or Program Team Lead to add names for each of the leads for the event. Team leads can assign modules to event monitors and select participants if applicable. One Team lead component can be chosen.
16. Click on the name of the Team Lead to choose them for the event. The search bar at the top can be used to filter names if needed.



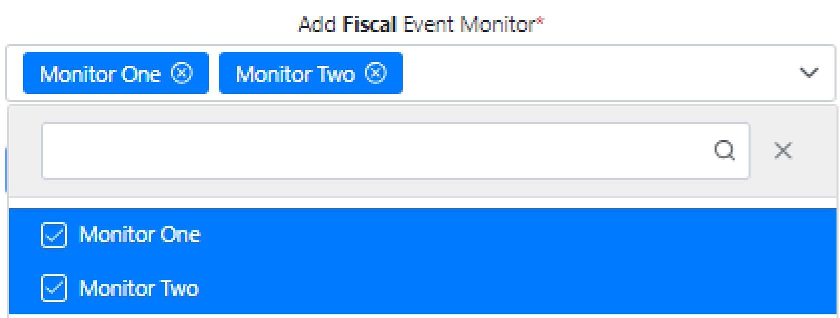
17. The name chosen should appear in the box once selected.



18. Add the event monitors by clicking on the arrow next to the appropriate event monitor box.



19. A list will appear. The search box at the top can be used to filter the list of monitors if needed. Multiple event monitors can be chosen for an event. To select, click on the box next to the monitors' names. They will be displayed in the Event Monitor Box in blue. To remove members, click on the white x next to the monitor's name.



20. Once the teams are selected, click save to fully save the event and be directed to the [View Event](#) screen.

Edit Event

After an event is created, certain portions of the event can be updated.

Event Info

After clicking on the Edit Event button, the Event Info menu will appear. The following fields can be updated on edit:

- Monitoring Event End Date
- Description
- OneDrive Link

Select Components
Unselected Components can be selected.

Identify Monitoring Team
Fiscal Monitors and Program Monitors can be added.

To save changes to the event, click Save. Upon Save, the View Event page will be presented.

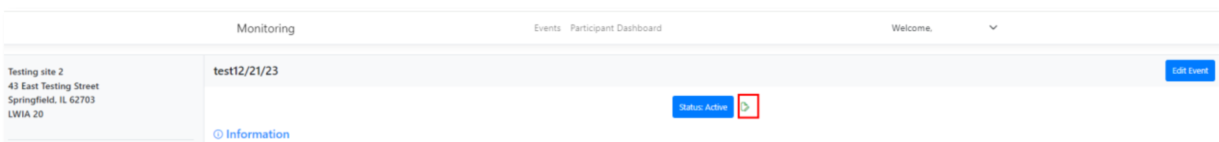
Event Status
Events in GMS have 3 Statuses: Draft, Active, and Closed. Draft events do not have enough information to be an active event. Active events have the minimum amount of information to conduct an event and can be edited. Closed events are read-only for all user roles.

Draft Events
Super admins can view draft events. Draft events are events that have not fully completed the Add New Event workflow. Clicking on a draft event will open the section of the Add New Event menu where the event was last saved. See Search Event for details on how to search for draft events.

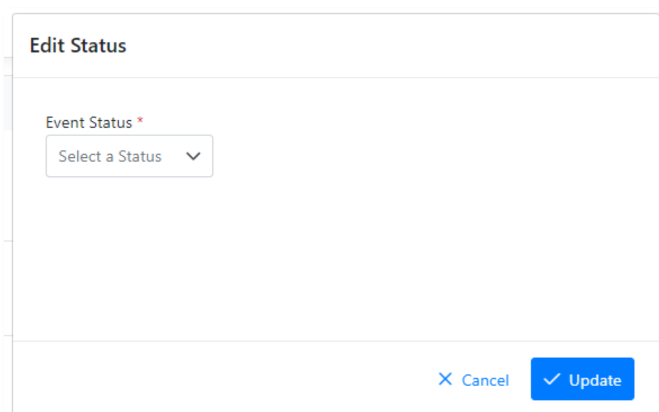
Close or reopen an event
Once an event is completed, it needs to be marked as closed. This changes the event from editable to read-only for the Super admin, Program Lead, Fiscal Monitor, and Program Monitor roles. If an event needs to be reopened, the Super admin will need to change the event Status from Closed to Active before it can be editable again.

To change the status of an event, open the event and complete the following steps:

1. From the View Event screen, click on the green edit button next to the Event Status.



2. The Edit Status Modal will appear.



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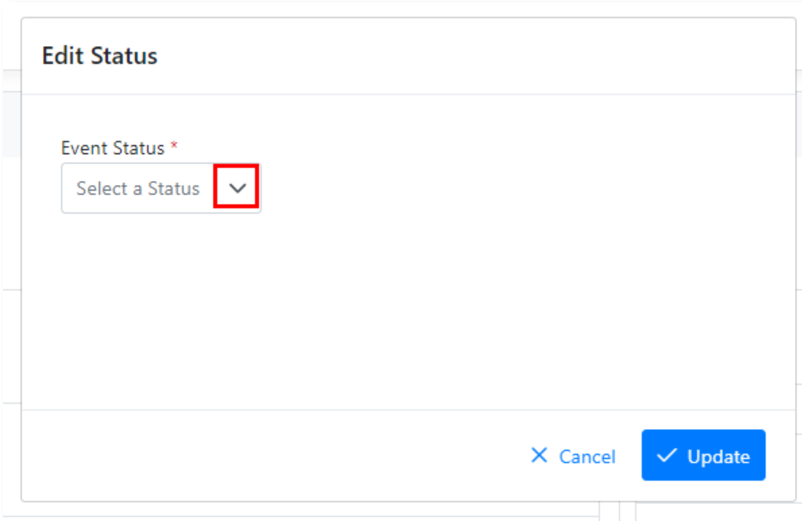
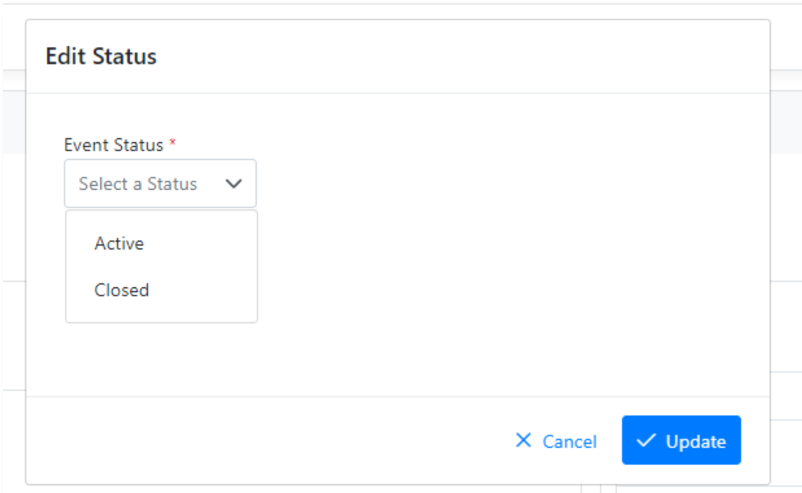
3. Click on the down arrow next to select a Status.



4. Choose Active or Closed.



5. Click Update.

Event Navigation

After an event is created, it can be searched and viewed. Events can be edited until it is closed by a Super admin. Once a monitoring event is closed, it can be viewed. If an event needs to be reopened, the Super admin role has that ability. See Close or reopen an event.

This section defines how to search and complete a monitoring event.

Search Event

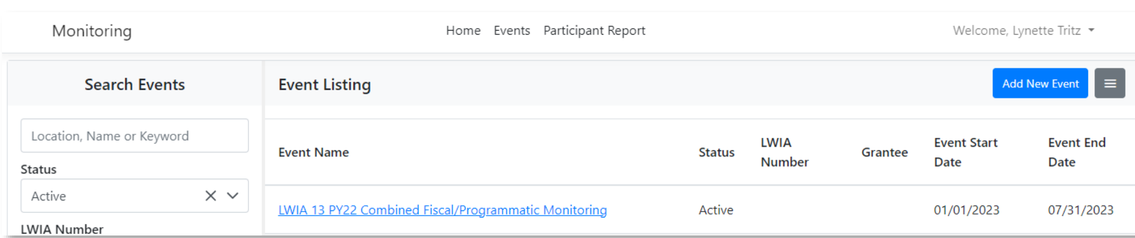
The search event screen allows users to find events by name, keyword, location, status, LWIA Number, Grantee, Event Start Date, Event End Date, Monitoring Period Start Date, Monitoring Period End Date, or Program year. The results are shown in the event listing. Clicking on the event allows it to be edited and show the details of the event.

To search for an event:

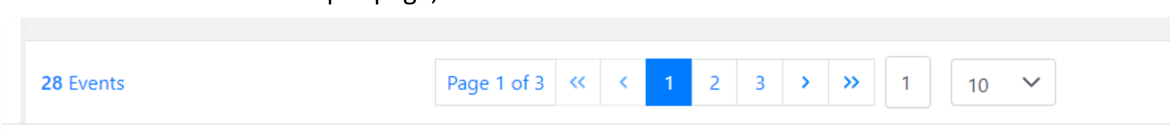
1. Type or choose fields from the Search Events panel. The following fields are available:
    a. Location, Name, or Keyword Search – this is a free-form text box and will search for the term across all events.
    b. Status – searches by event status: Draft, Active, or Closed. To use, click the arrow next to "Select a Status" and click on the desired status.

    TIP: *Only certain user roles can see draft events.*

    c. LWIA Number – searches by contract or LWIA office number. To use, click the arrow next to "Select a contract" and click on the desired search term.
    d. Grantee
    e. Event Start Date/Event End Date
    f. Period Start Date/Period End Date
    g. Program Year
2. The results are shown on the right-hand side under Event Listing.

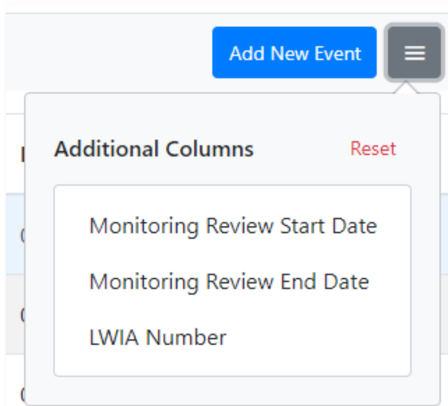


3. If the search has multiple pages of results, use the arrows at the bottom to navigate between pages of results. There is the ability to list more than 10 results per page. If the search produces multiple pages of results, use the left and right arrows to make the navigation process easier. If you would like to see more than 10 results per page, click the down arrow next to the 10.

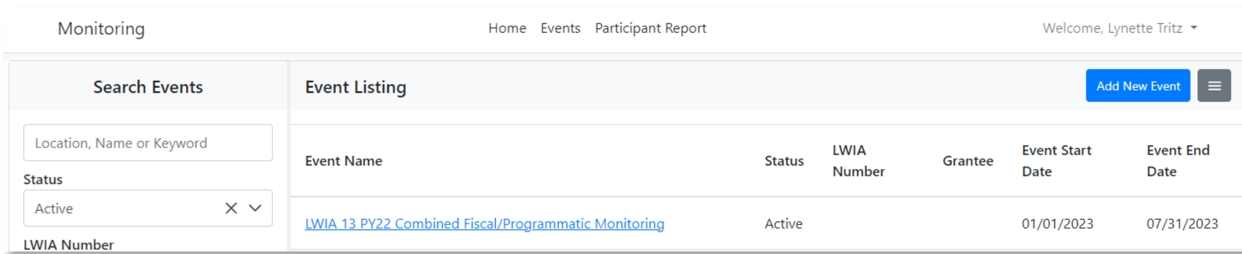


This workforce product was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration.

4. To view additional details regarding the event, you can add more columns. In the upper right corner, choose the hamburger icon to add additional columns to the Event Listing. Click on the Reset button to change it back to the default.



5. Once the desired event is found, click on the blue highlighted name.



Complete Event

After an event is created and throughout an event's lifecycle, data entered for an event is captured in the complete event screen. Additionally, the ability to change a status or to edit event details is available for the Super admin role. In this section of the application, there are activities to view event information, select participants, view and complete instruments, upload and view files, review generated findings, and download announcement and results letters.

TIP: *State staff users can view events, files, and letters. They cannot edit events or add files.*

Users are directed to view and complete an event:

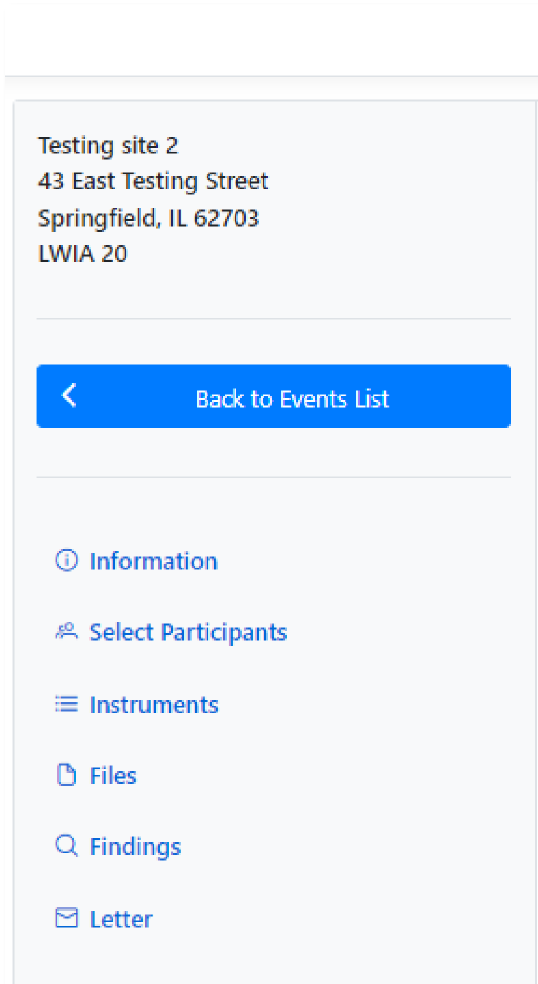
- After searching for an event in the Search Event screen
- After successfully completing the Add New Event menu

Page Navigation

On the left-hand side of the page, there are operation controls to guide the page.

- LWIA name and address for the event
- A link back to the Search Event page

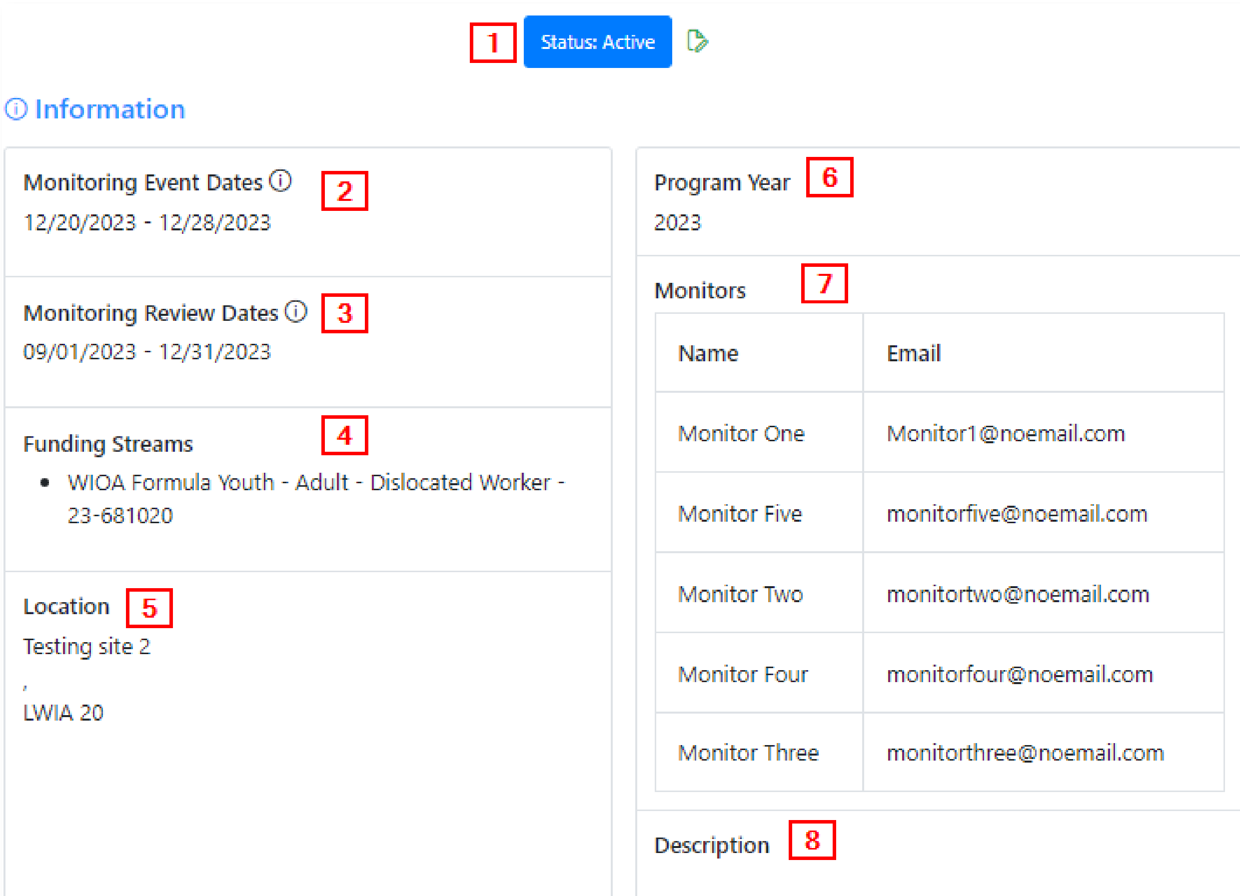
- Navigation shortcuts to positions on the Complete Events screen
    - Information
    - Select Participants
    - Instruments
    - Files
    - Findings
    - Letter



The right-hand side of the page contains the active pane where event information is reviewed. The top of the screen has two buttons accessible by Super admin users: Change Status and Edit Event. See sections Edit Event and Close or reopen an event for step-by-step information on how to modify the event.

Information

The information section displays for all user groups the information entered for an event during the Add New Event creation and the event status. Contained in the information are:



1. Event Status – displays the current event status. For roles that can edit the event status, the green edit button is displayed. See Close or reopen an event for more information on how to change the event's status.
2. Monitoring Event Dates - reflect the dates on which the monitoring event is scheduled to be performed. The start date will identify the first date the event is scheduled to be performed. The end date will identify the last date the event is scheduled to be performed.

   TIP: *Typically, the monitoring event will be scheduled in the system for up to 6 months and extended as needed through the Monitoring Manager's approval.*

3. Monitoring Review Dates - reflect the dates the monitoring event will utilize for file review. The start date will identify the first date the files can be selected for review for the monitoring event. The end date will identify the last date the files can be selected for review for this monitoring event.

   TIP: *This period is typically one year and will occur after the grantee's previous monitoring review. For Example, LWIA 5 PY22 monitoring review was 07/01/2021-8/31/2022. The PY23 review period will be 07/01/22-8/31/2023.*

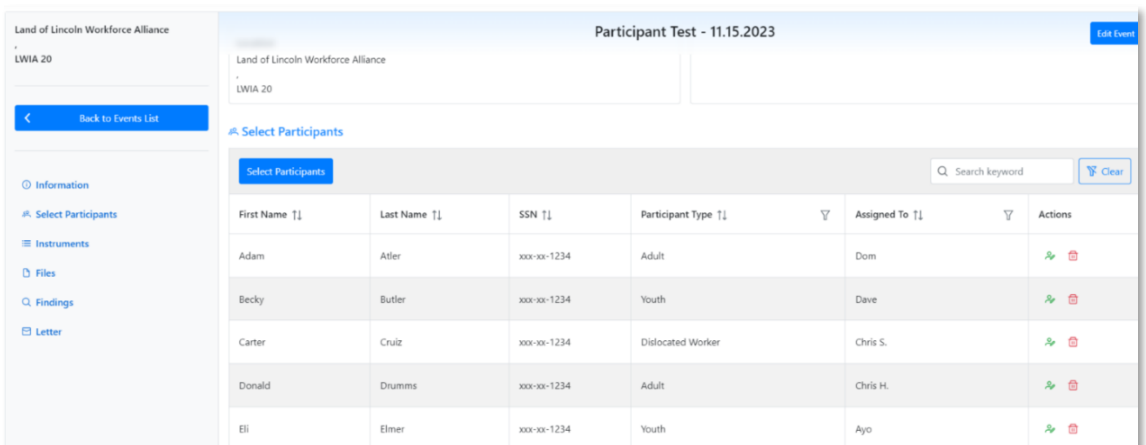
4. Funding Streams – lists the funding streams under review for the event.
5. Location – displays LWIA locations or alternate locations for the review.
6. Program Year – displays the program year being monitored.
7. Monitors – displays the names and email addresses of the monitored conducting the event. To update the name or email display, modify the name and address information associated with the Illinois workNet account.
8. Description – displays optional information the monitoring manager would like for the monitoring team to see for the event.

Select Participants

In the Select Participants pane, you can select, modify, and view participants assigned to 1Y, 1A, and 1D portions of the instrument. The Super admin, Fiscal Monitor, and Program Team Lead roles can select participants. For methods on how to identify participants for 1Y, 1A, and 1D monitoring events, see Selecting Sample Files for 1Y, 1A, and 1D.

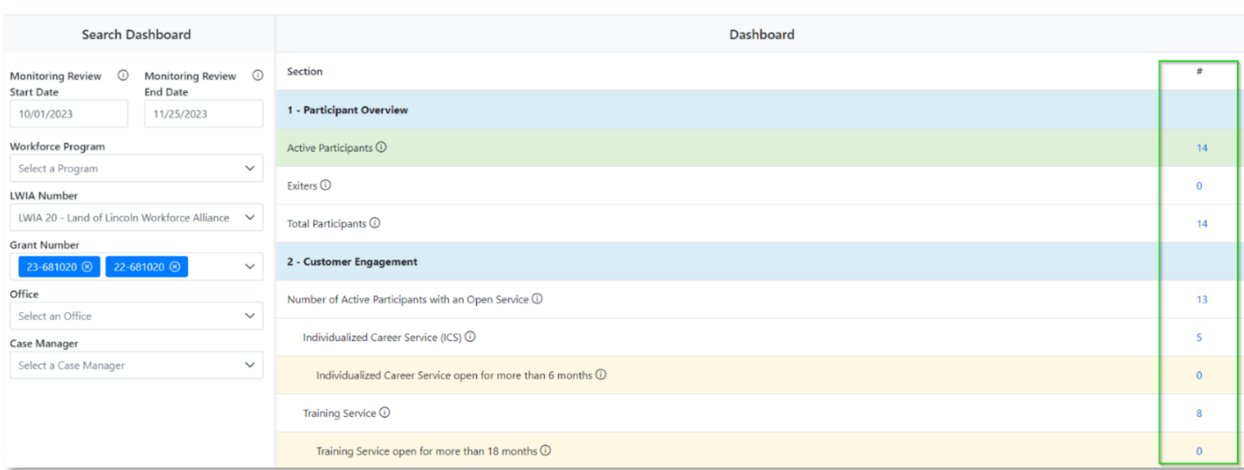
The steps below describe how to select participants.

1. Click on the event and navigate to the Select Participants section. Click on Select Participants.

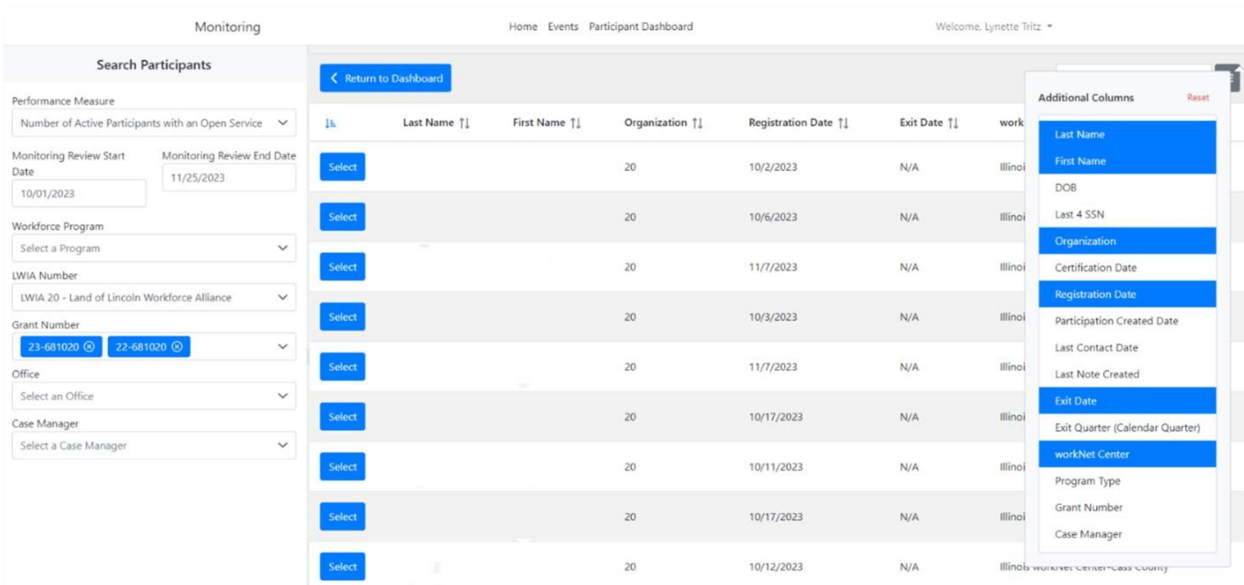


2. Change information in the Search Dashboard Section, like date, workforce program, LWIA number, Office, and Case Manager to change the Dashboard view.

3. Select one of the reports on the right to view participants with those qualities.

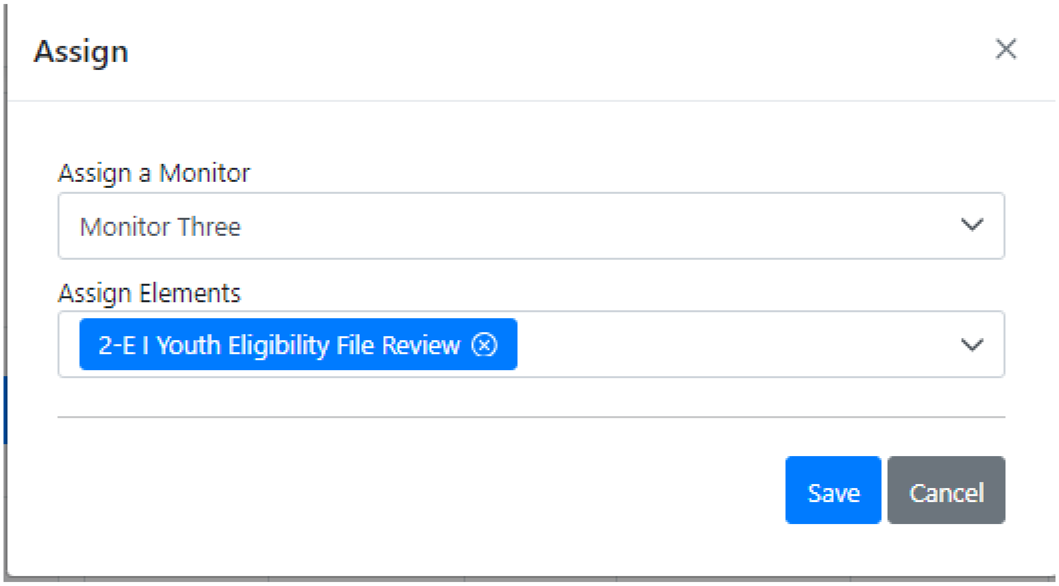


4. Use the Hamburger icon to add additional columns to the Participant list.



5. Use the search bar to search for applicant names. Click Select to assign a participant.

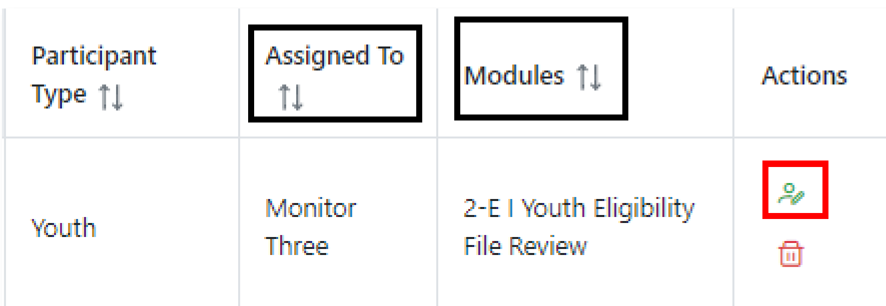
6. A window with the word assign will be presented on the screen. Use the arrows next to monitor and element to assign a participant.



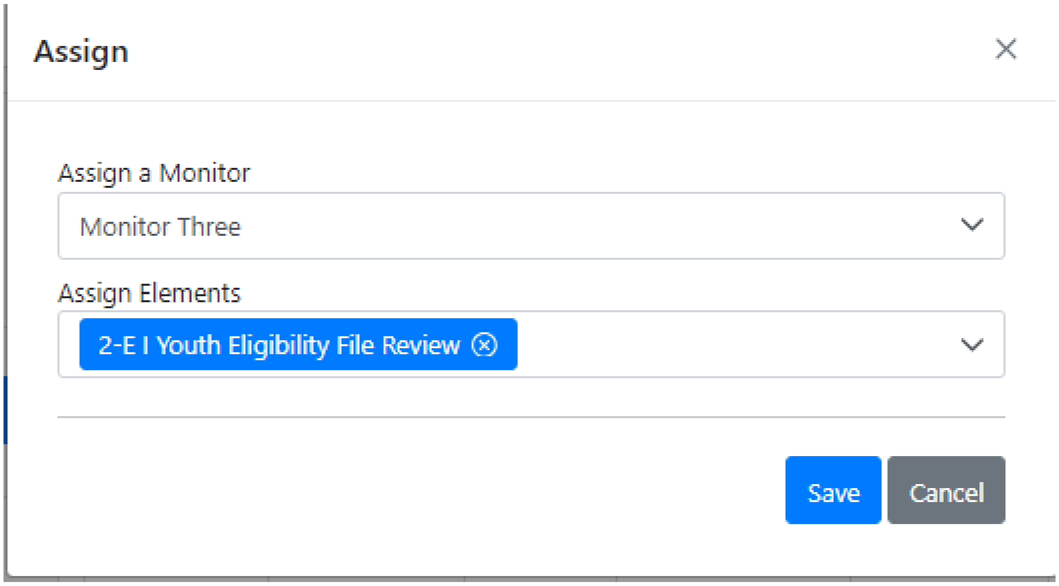
7. Click Save. Repeat the steps for each participant.

Modify Participants selected for the event

8. To modify monitors or elements chosen for the event, click on the green edit button in the actions column



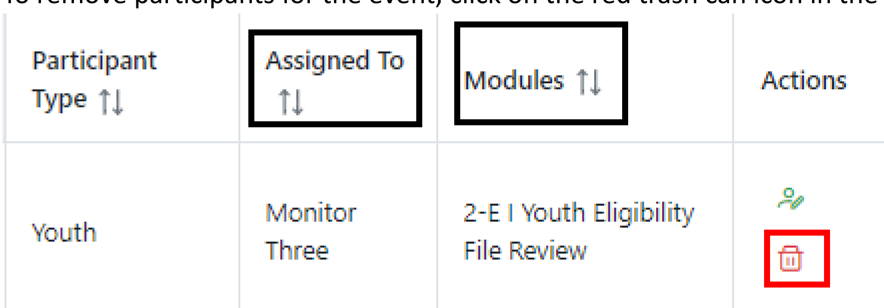
9. The assignment modal will be presented on the screen.



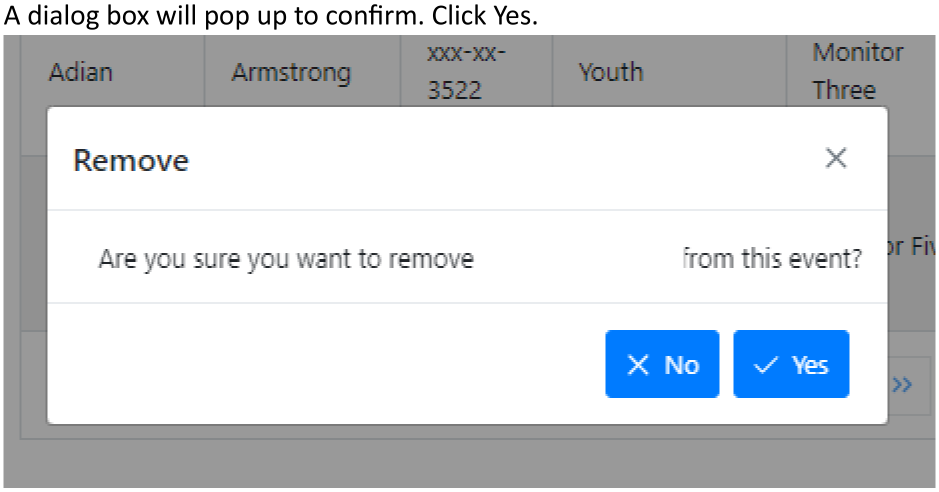
10. Use the arrow next to Assign a Monitor to reassign monitor.
11. Use the arrow next to Assign Elements element to reassign elements or add elements to apply participant.
12. Click Save.

Remove Participants selected for the event

13. To remove participants for the event, click on the red trash can icon in the Actions column

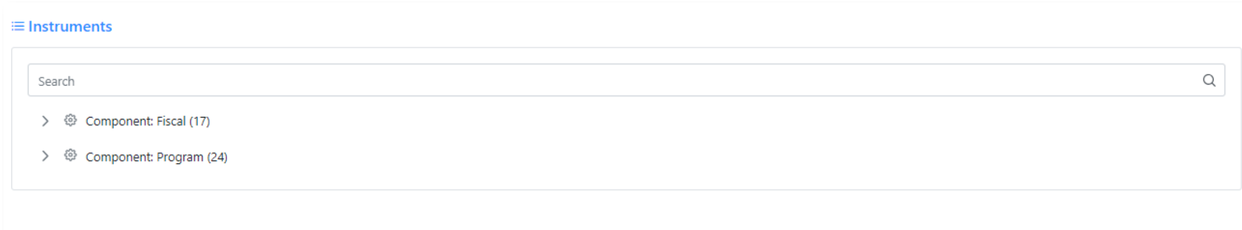


14. A dialog box will pop up to confirm. Click Yes.

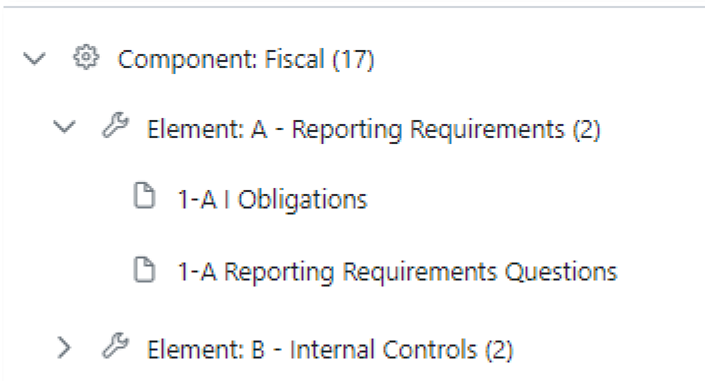


Instruments

The instruments section displays the monitoring instrument tasks for an event.

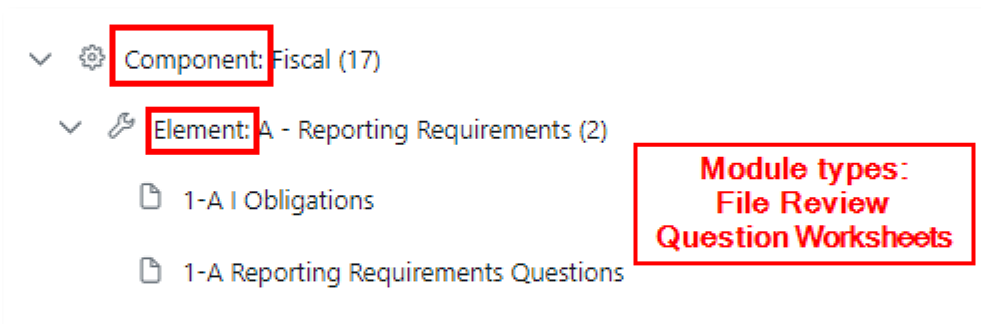


The section contains a search bar where the instrument hierarchy can be filtered by keyword. It also contains a visual tree. The visual tree can be expanded by clicking on the arrow to the left of the words. Once expanded, the arrow will point down and display the content below it in the hierarchy. In the image below, Element A is fully expanded, but Element B is not. There are three levels to the instrument hierarchy in the Grant Monitoring System (GMS). See the section Instrument hierarchy for more information about the types of items in the instrument hierarchy.



Instrument hierarchy

The instrument tree contains Components, Elements, and Modules.



- Components are the highest level in the tree. There are 2 components: Fiscal and Program. Different review areas are divided into segments called elements below this level. Role-level access is given based on which components a monitor typically reviews. Components are represented in the hierarchy by a gear icon 
    - The Fiscal Monitor role gives edit access to the Fiscal Component.

  - The Program Lead Monitor and Program monitor roles gives edit access to the Program Component.
- Elements are units of the Components and consist of modules. Elements may contain both file review and question worksheet modules, but only a question module is required. Elements are represented in the hierarchy by a wrench icon
- Modules contain the items that are answered as part of the monitoring event. Modules are represented in the tree by a file icon . There are two types of modules:
  - File review – The monitoring content in a file review module may be sampled multiple times, and are generated in GMS with multiple instances of the module. The instances are then scored, and transferred to the question worksheet module as needed.
    - Scoring – The score of the samples combined determine the score transferred to the question worksheet. For example, if there were 3 samples in a file review module, the scoring would look like the below:

Scenarios	Sample A	Sample B	Sample C	Score Transferred to Question worksheet
Scenario 1	Pass	Pass	Pass	Pass
Scenario 2	Pass	Pass	N/A	Pass
Scenario 3	Pass	N/A	N/A	Pass
Scenario 4	Pass	Pass	Fail	Fail
Scenario 5	Pass	Fail	Fail	Fail
Scenario 6	Fail	Fail	Fail	Fail
Scenario 7	Pass	Fail	N/A	Fail
Scenario 8	Fail	N/A	N/A	Fail
Scenario 9	N/A	N/A	N/A	N/A

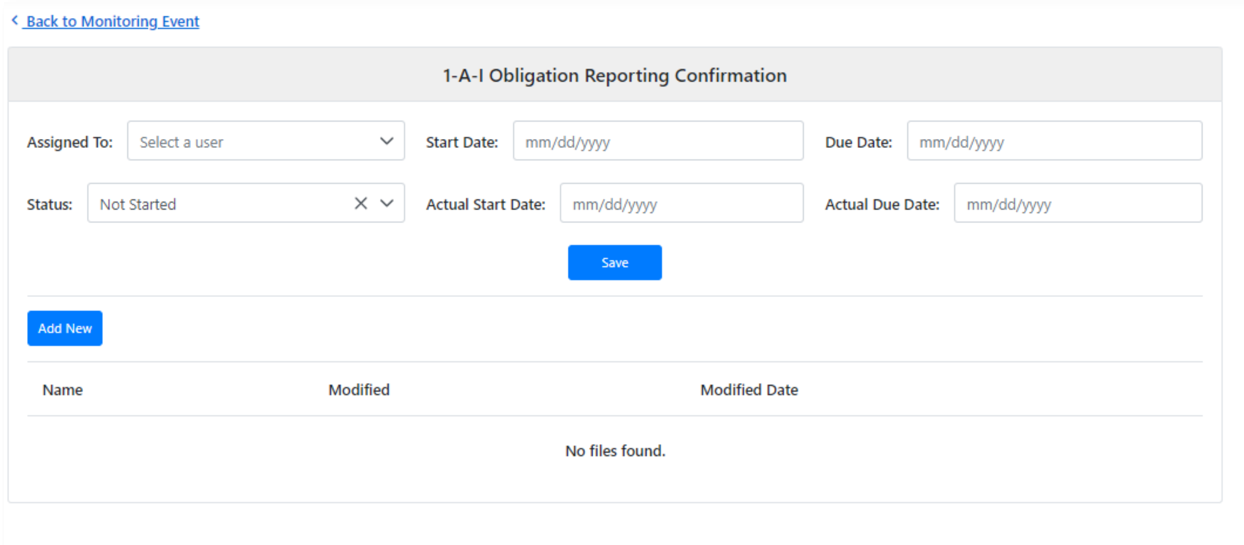
  - Question worksheet – The responses gathered and stored in a file review module are transferred to the question worksheet to score the element. Unlike file review modules, only one instance of the question worksheet is available to be reviewed for each element in a monitoring event. Additionally, other review items may be available for monitors to audit in an event in a question worksheet. Answering content in a question worksheet triggers findings and corrective actions, which are stored with the event and used to populate the findings section and results letters.

Assigning Instrument Modules

Super admin, Fiscal Lead and Program lead roles can assign modules to other monitors to be completed as part of a monitoring event.

To assign a module:

1. Open the module. At the top of the page is the assignment section.



2. Click on the little arrow to the right of Select a user in the Assigned To: box.
3. Use the dropdown list to choose a monitor assigned to the event.
4. Hit the save button at the bottom of the assignment section.

Adding File review samples to an event

For Program Component, Element: E - Training Services - Youth, Adult, Dislocated Worker, Trade, adding file review samples are completed via the Select Participants menu. See section Select Participants for step-by-step instructions. To reference how participants are selected for 1Y, 1A, and 1D, see section Selecting Sample Files for 1Y, 1A, and 1D.

For all other file review modules, samples are added via the Add New button contained in the file review landing page. To add samples to a file review module:

1. Click on the module to open the landing page.

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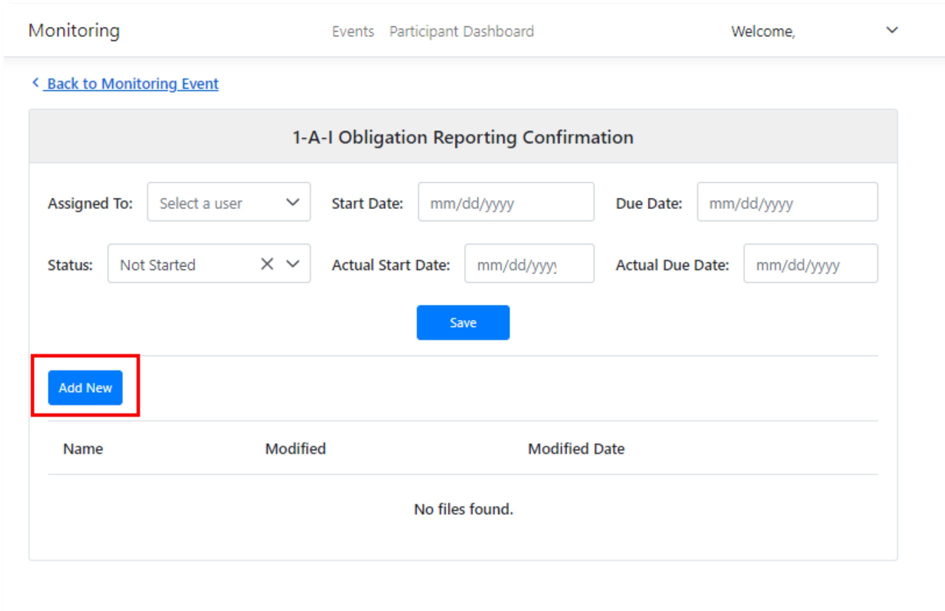
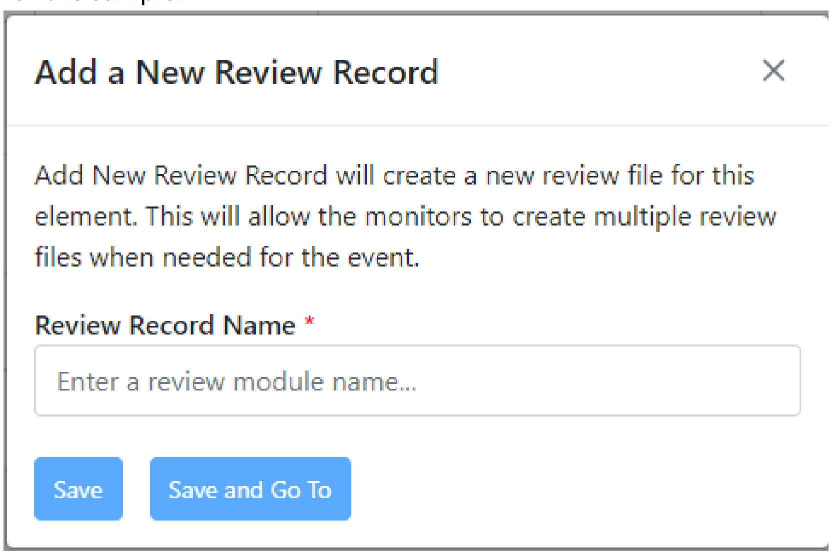
For more information, please refer to the footer at the bottom of any webpage at illinoisworknet.com.

2. Click on the Add New Button



3. The Add New Review Record window will be presented. Click in Enter a name to enter a name for the sample.



4. Clicking on Save will return to the landing page. If additional samples need to be added to the module, use the save button to add more quickly.
5. Clicking on Save and Go To will open an instance of the file review material for the event.

See sections Selecting IWT File Samples in Illinois workNet and Selecting Samples for OJT and WEX in IWDS for more information on how to select samples for Program Component, Elements C and D.

Selecting Sample Files for 1Y, 1A, and 1D

BACKGROUND

It is important to determine an adequate sample size for testing an attribute or set of attributes. A sample is used to derive a conclusion about the larger population; therefore, a sufficient sample size should be selected. However, a sample should not be too large to create an inefficient monitoring process. The table below is a summary of the available sampling methods. ***The current most effective approach for comprehensive monitoring is a combination of the non-statistical methods described below.***

	Sampling Methods			
	Statistical	**Nonstatistical (Random Selection)**	**Nonstatistical (Haphazard Selection)**	**Nonstatistical (Judgmental Selection)**
Selection Process:	Each item in the population has an equal chance of being selected. The monitor has no control over selection.	Each item in the population has an equal chance of being selected. The monitor has no control over selection.	Chosen by Monitor without conscious bias	Monitor uses judgment/experience to select sample
Statistically Valid?	Yes - Quantitative Evaluation of Sampling Error	No - In compliance monitoring, the mere existence of questioned costs overrides considerations of the materiality of those costs.	No - In compliance monitoring, the mere existence of questioned costs overrides considerations of the materiality of those costs	No - In compliance monitoring, the mere existence of questioned costs overrides considerations of the materiality of those costs
Advantages:	Can draw statistically valid conclusions regarding general population	Useful in conducting overall assessment of entire population. More likely to result in a representative sample than haphazard selection.	Useful in conducting overall assessment of entire population.	Can focus on high-risk areas to expose problems
Applicability:	N/A - DCEO fiscal monitors do not use statistical sampling	Cash Disbursements	Bank Reconciliations Trade, revenue	Program, Disbursements, Payroll, Subrecipient Monitoring

Monitoring Sample Considerations

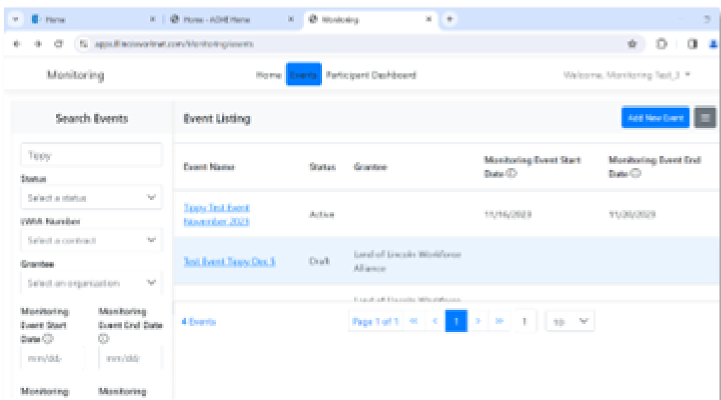
A sample size should be determined for each area being reviewed, considering the different aspects of the area to be tested, including the total population, materiality, and risk. Once a problem is noted, a monitor may need to expand the sample tested to see if the original sample was insufficient. Findings have greater validity when a sufficient sample size is tested. The following outline the considerations for determining the programmatic monitoring sample size:

- Monitoring Instrument Component
- Results of the Previous Monitoring Reports
- Participants who have been monitored in the past two years
- Result of the IWDS Report Review
- Result of Supplemental Monitoring Spreadsheet Review
- LWIA Composition
    - Number of Participants (1-100= 5 per stream; 101-200= 10-30 per; 201+= 10% of files)
    - Number of Subrecipients / Workforce Partners

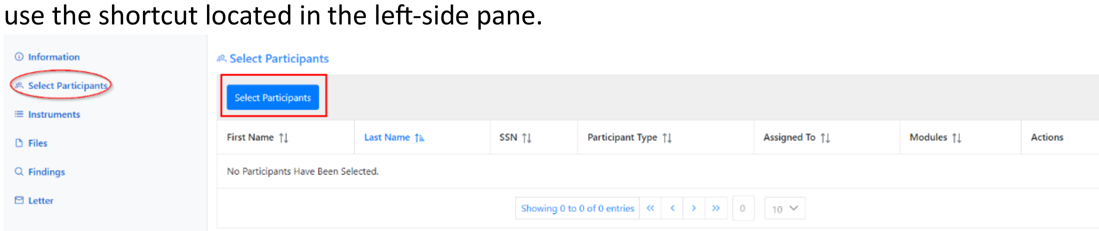
The Standard Operating Procedure for low-risk grantees is to select 5 participants per funding stream.

SELECTING 1Y, 1A, AND 1D FILES

1. Go to GMS
2. https://apps.illinoisworknet.com/Monitoring/events.

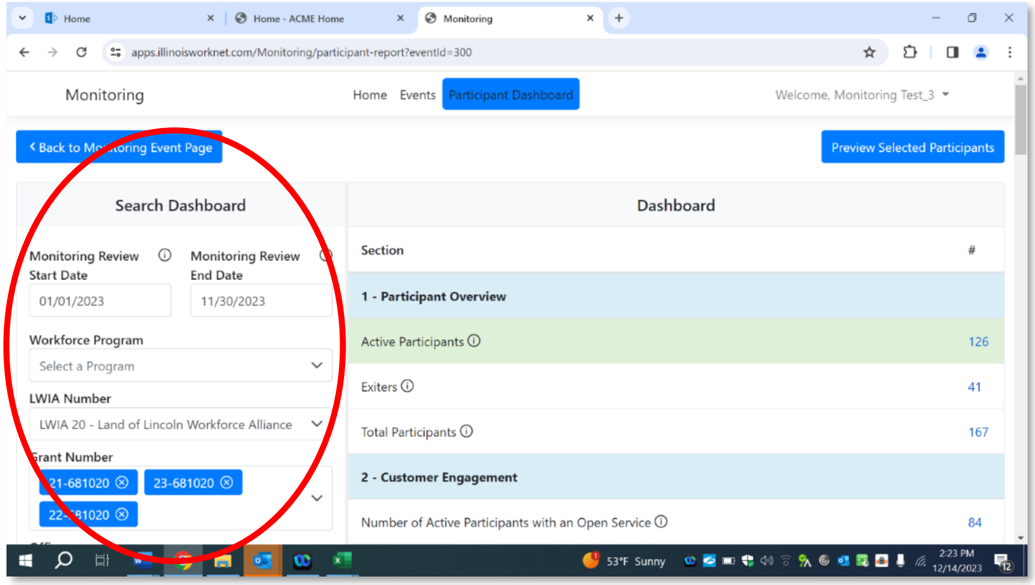


3. Login with your Illinois workNet account.
4. From the Search Events page, locate the event you wish to select sample participants for and click the **event name**. The left-hand column provides multiple methods for quickly finding an Event.
5. Navigate to the **Select Participants** section and click the **Select Participants** button. You can also use the shortcut located in the left-side pane.



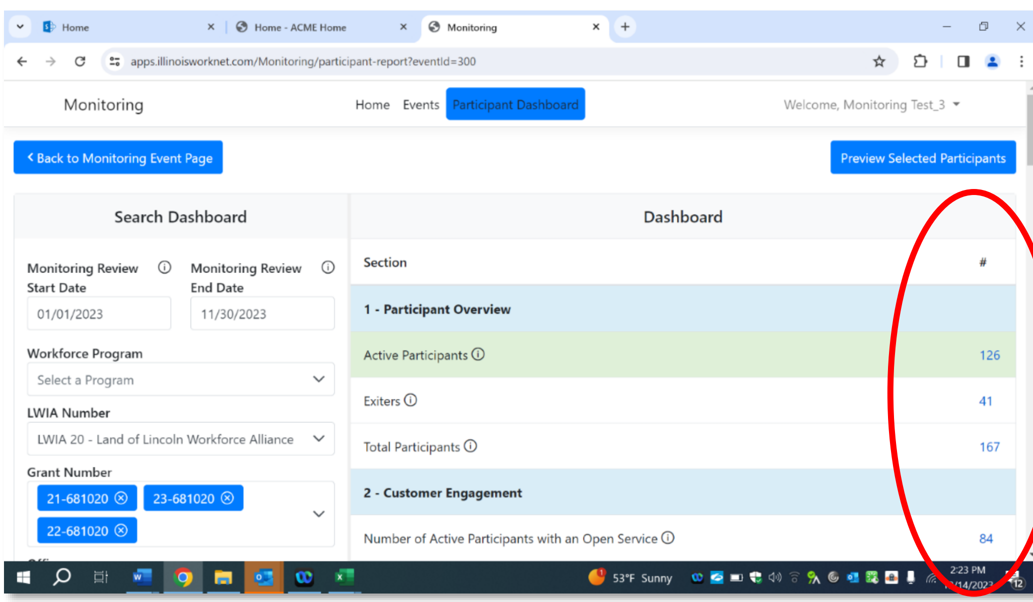
6. The Participant Dashboard will open. It will be preset with the data pulled from the event for Monitoring Review Start Date, Monitoring Review End Date, LWIA Number, and Grant Numbers

(with 68 as their third and fourth numbers).



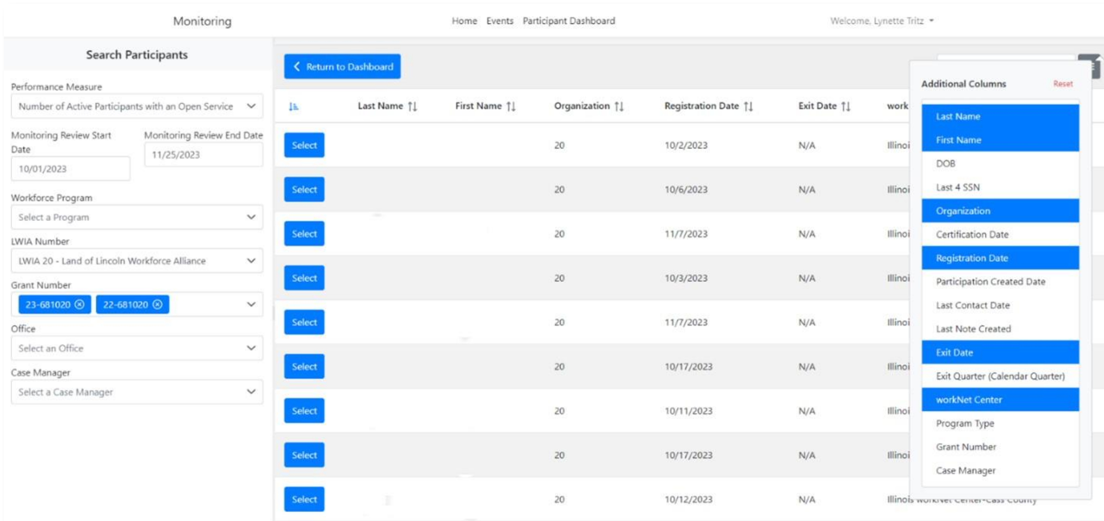
a. You can remove preset filters or add additional filters on the left-hand column to narrow or expand your search.
b. It may help to select the funding stream first (Adult, Dislocated, or Youth) prior to selecting the sample participants for each stream.

7. The dashboard contains several rows that include customer counts. Each customer count number is a clickable link that will take you to the list of customers that make up that row. You will click on a customer count for the specific row you want to look at to access a list of participants.



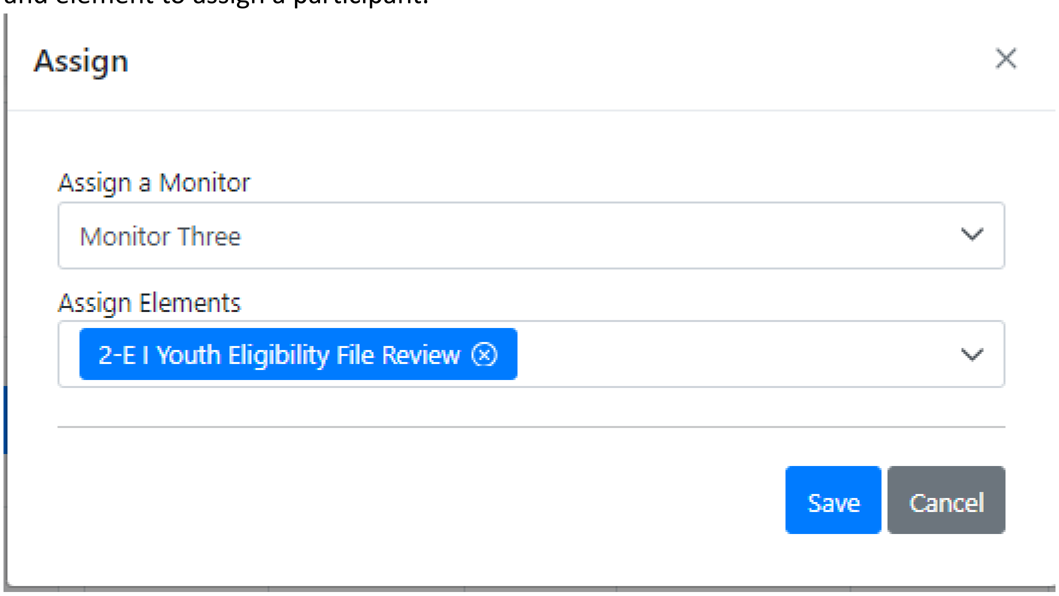
a. You can use the rows to find a specific subset of customers or select the Total Participants row and use Search feature to find a specific customer.

b. The Hamburger icon will allow you to add additional data columns to your customer list to help you select the customer meeting the criteria you need.



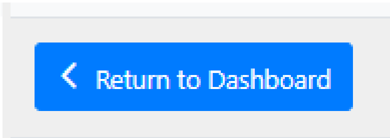
8. Use the search bar to search for applicant names. Click select to assign a participant.

9. A window with the word assign will be presented on the screen. Use the arrows next to monitor and element to assign a participant.

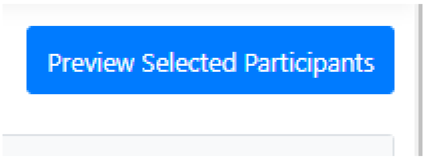


10. Click Save. Repeat steps for each participant.

11. To get back to the dashboard click the blue Return to Dashboard button.



12. To see a preview of the selected participants, click the blue Preview Selected Participants button.



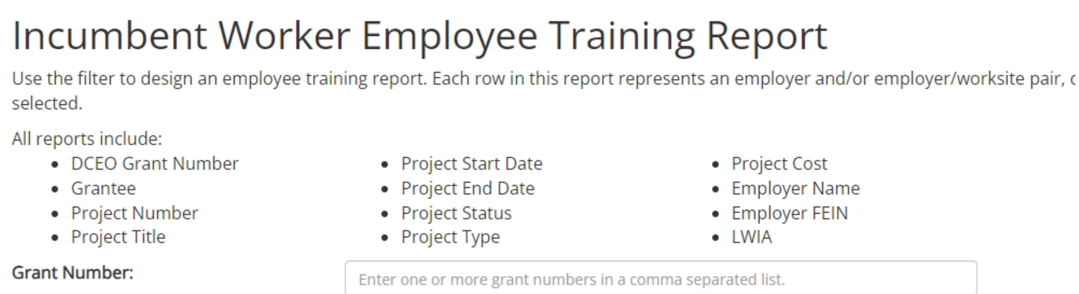
This workforce product was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration.

Selecting IWT File Samples in Illinois workNet

Before adding IWT to GMS, first go into IWTS and run a report to obtain all IWT contracts for your LWIA that fall between the review period for your monitoring event**. Monitoring is usually appropriate and applicable for any contracts that have been completed and/or are mostly complete.** To obtain this report, go into IWTS and search for the LWIA's projects. Make your selections and be sure you have the grant number, project Number and title available from this list as you will need it to identify the correct projects.

LEAD MONITOR

1. Go to **IWTS Reports** https://apps.illinoisworknet.com/wnTools/IWTS/Reports/Default
2. Login with your Illinois workNet account.
3. Access the Employee Training Report.
   https://apps.illinoisworknet.com/wnTools/IWTS/Reports/EmployeeTraining.aspx
4. Type in the Grant Number you are searching for.



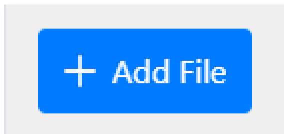
5. Open the Optional Fields section and select:

   a. Last Four SSN
   b. Session
   c. Completion Status
   d. Retained Employment
   e. Wage Increase
   f. Promotion

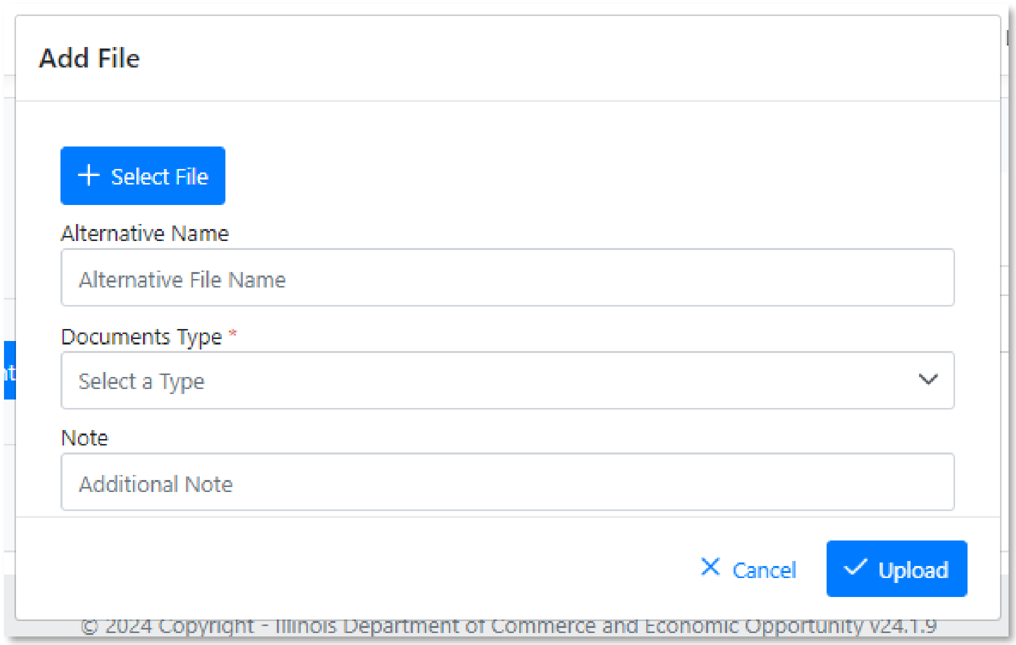
6. Select Export.
7. Use the exported excel sheet to identify which projects will be included in the monitoring event. Update the excel sheet to:
   a. Highlight selected projects to include in the event

   b. Include an "Assigned To" Column where you can identify which monitor each project is assigned to.

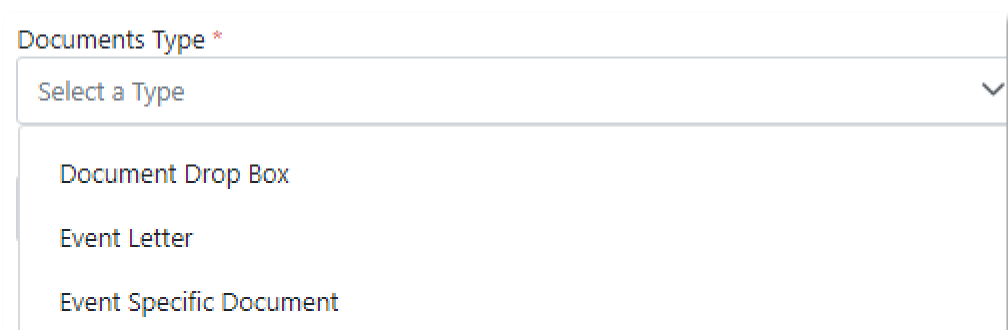
8. Save the updated excel sheet
   a. Upload the saved excel as a File to the event monitoring page by:
   b. Going to the event monitoring page.
   c. Navigating to the "File" section.
   d. Click on the Add File button



   e. The Add File modal is presented. Click on Select File



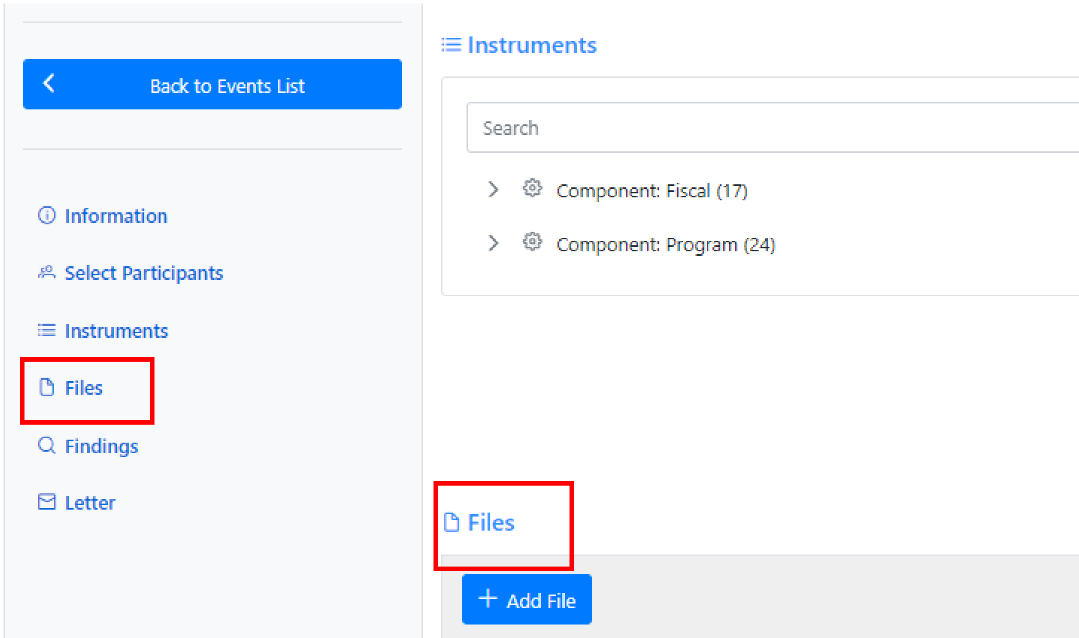
   f. Add an Alternate Name if needed to describe the file being uploaded.
   g. Select type Event Specific Document



   h. Add additional notes if needed in the Note field.
   i. Click Upload.

PROGRAMMATIC MONITORS

1. Go to GMS https://apps.illinoisworknet.com/Monitoring/events
2. Login with your Illinois workNet account.
3. From the Events page locate the event you are working on and click the event name.
4. Navigate to the File section.



5. Open the IWTS Employee Training file.
6. Review the file to see which projects you have been assigned. This will be identified under an Assigned To column.
7. If you have been assigned to a project, you will be responsible for selecting the same employees that will be monitored for this event. Follow section Completing a file review module. You will use this export to manually copy over the required information needed to complete section of:
    a. 2-D I Participating Employer Information
    b. 2-D II Incumbent Worker Eligibility

Selecting Samples for OJT and WEX in IWDS

The LWIA is directed in their Announcement letter to provide a list of OJT (On-the-job Training) and WEX files for the monitoring review period. Sometimes this list comes late in the process of file selection or LWIA's forget to send it with everything else going on for remote monitoring, so there is a way to get a jump start on this to review these files in IWDS and make file selections from your own lists. It is just an alternate method in the event the list from the LWIA is delayed. Since we send the sample file lists to the LWIA 7 working days before the Entrance Conference, it is easier to pull the lists myself from IWDS and make my selections so I can get the names on the sample list I send to the LWIA.

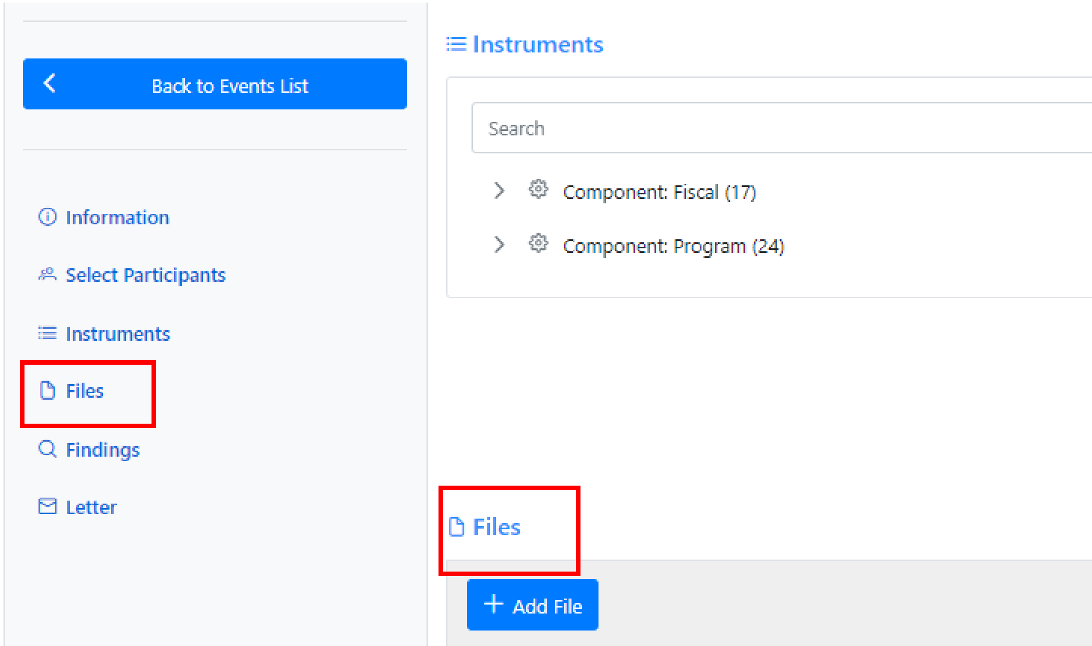
OJT-WEX FILE SELECTION IN IWDS

1. Go into IWDS to the Staff Menu page.
2. On bottom right of screen under the "Reporting" category, click on "Reporting Menu."
3. On the top right side of the page under "Participant" category, click on "Participant History."
4. On the "Participant History" screen, scroll down toward the bottom of the page until you see "Activity Start Date." Enter in the Start Date of the monitoring review period (this date is listed in the Announcement letter).
5. Right below is says "to:". Enter in the End Date of the monitoring review period (this date is listed in the Announcement letter).
6. Under the "Activity" line, drop down the menu and select #41-OJT-Private Sector (Note: The majority of OJT files will be under this number code).
7. Drop down the "LWIA:" to select the appropriate LWIA you will be monitoring.
8. Click "View Report."
9. Save this report to your desktop as you will be reviewing the names on the report, reviewing them in IWDS, and making your file selections from this list.
10. Go back into this report and leave all information exactly the same, but now change the Activity to "#40- OJT- Public Sector.
11. Click "View Report." (Note: Usually, there is nothing in this report, but I do run it just to be sure I am capturing all OJT files, both in the Public and Private sector.
12. If there are names on this report, save it to your desktop and make your file selections from this report.
13. Go back into this report and leave all information exactly the same, but now change the Activity to #46-WBL-Paid WEX/Internship (Not Limited to Summer Months)
14. Click "View Report."
15. Save this report to your desktop as you will be reviewing the names on the report, reviewing them in IWDS, and making your file selections from this list.

ENTERING OJT AND WEX INFORMATION INTO GMS

1. Go to GMS https://apps.illinoisworknet.com/Monitoring/events
2. Login with your Illinois workNet account.
3. From the Events page locate the event you wish to select files for & click the event name.

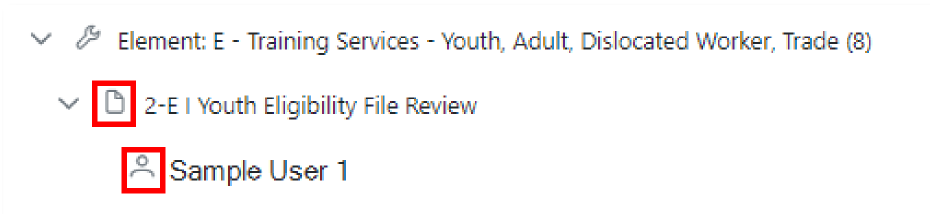
4. Navigate to the File section.



5. Review the file to see which projects you have been assigned. This will be identified under an Assigned To column.
6. If you have been assigned to a project, you will be responsible for selecting the same employees that will be monitored for this event. Follow section [Completing a file review module](). You will use this export to manually copy over the required information needed to complete section of:
   a. 2-C I OJT Contract Review
   b. 2-C II Training Contract Review

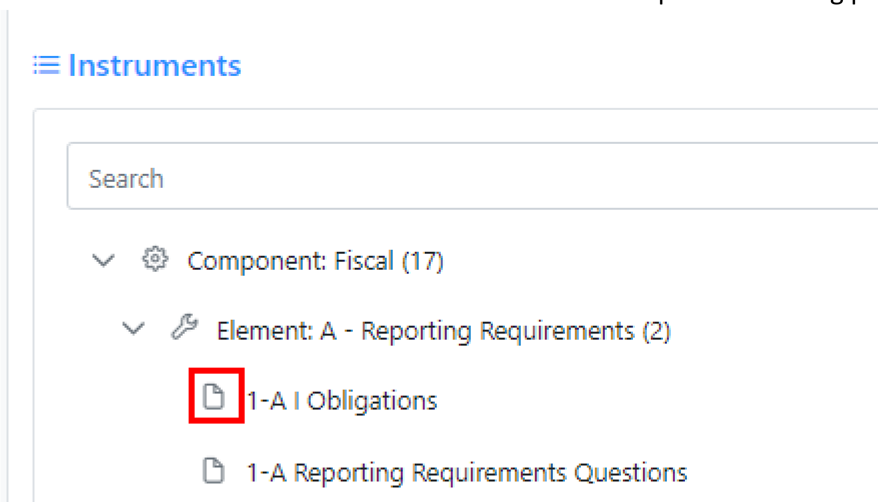
Completing a file review module

Completing a file review module is the same for all elements, other than 2-Program, Element E - Training Services - Youth, Adult, Dislocated Worker, Trade. For Program Component, Element E, click on the arrow to open the file review module, then click on the person icon next to the participant's name to review. After that, start following the below instructions starting at number 4.

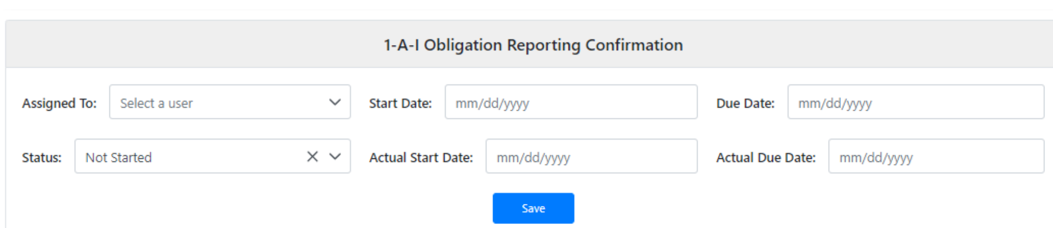


To complete a file review module:

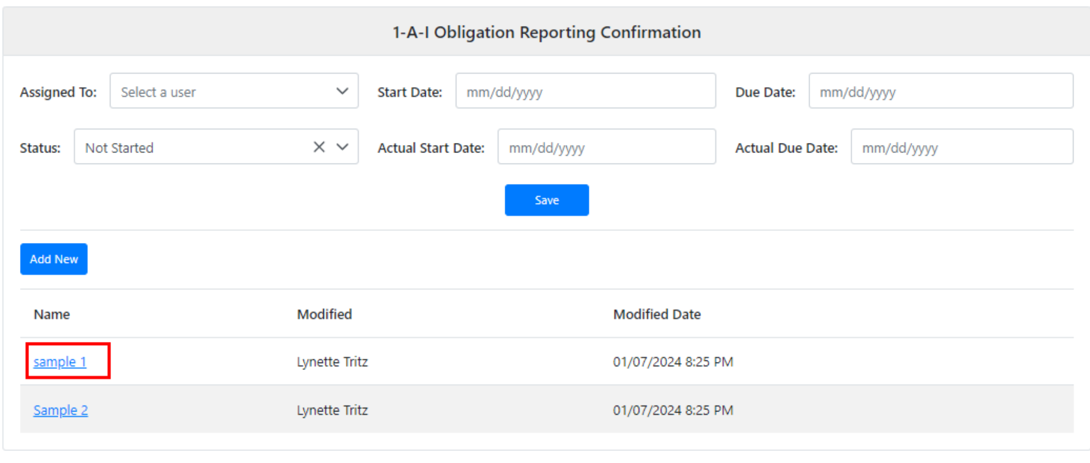
1. Click on the file icon next to the file review module to open the landing page



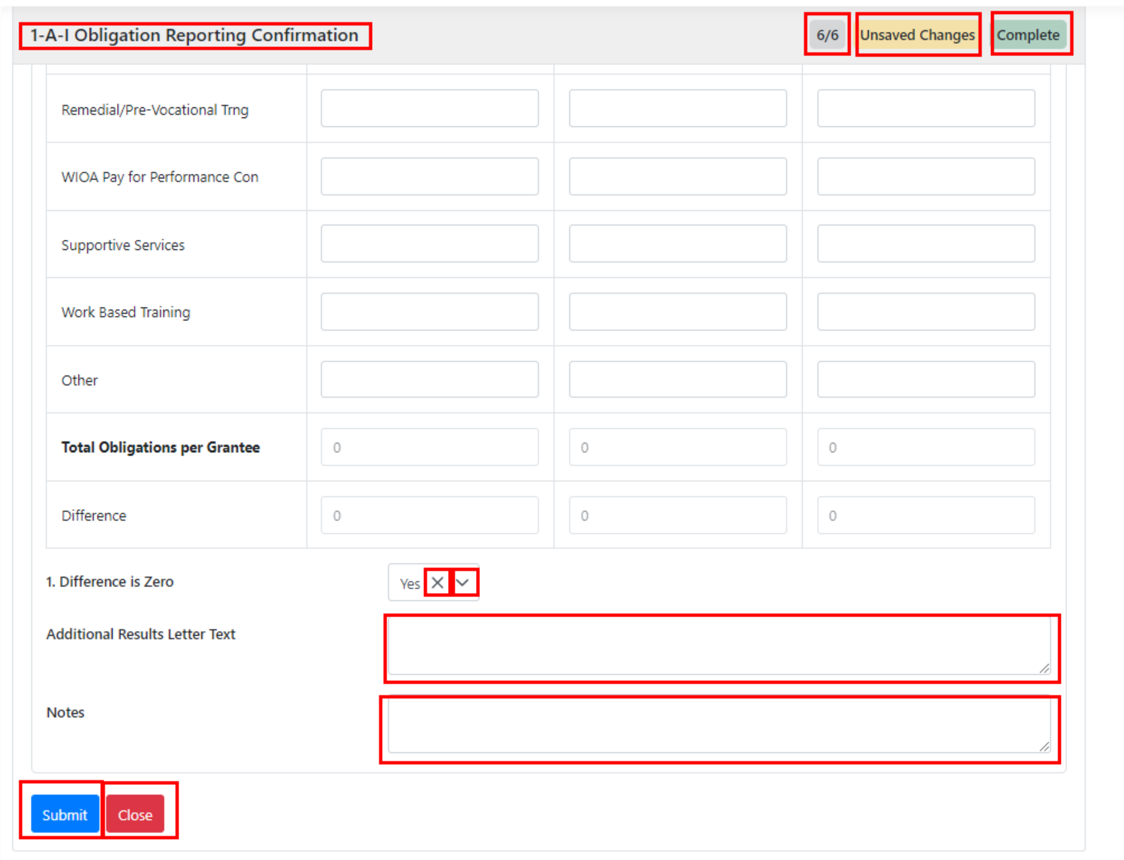
2. If needed, modify the Assigned To, Status, Start Date, Due Date, Actual Start Date, Actual Due Date and click Save.



3. Under the Save button, click on the link of the sample with the name that is being reviewed.



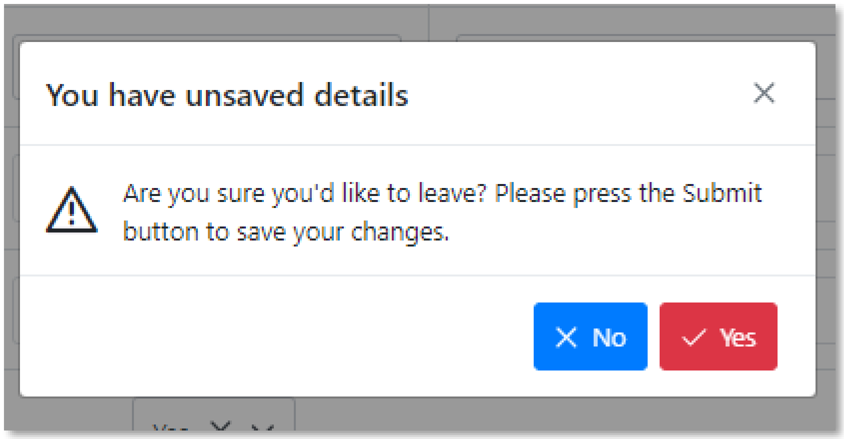
4. A file review page has the following fields:



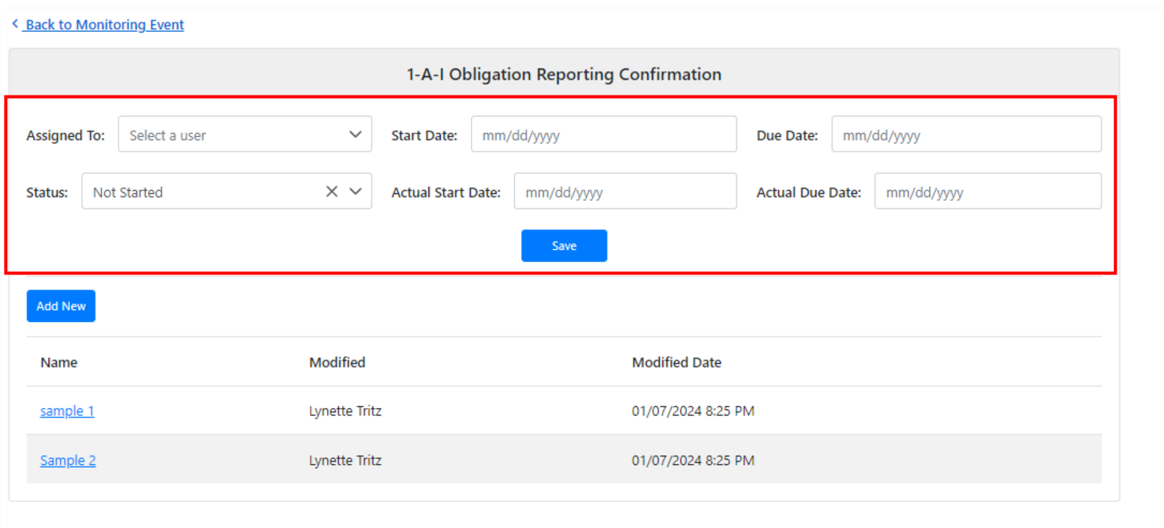
a. Title – this shows the name of the file review module being evaluated.
b. Completion status – the 6/6 refers to the required content being entered for the module.
c. Unsaved changes indicator – shows that content has been changed on the module since it was opened in this session.
d. Completion banner – shows if the mandatory content for the page has been fulfilled.

This workforce product was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration.

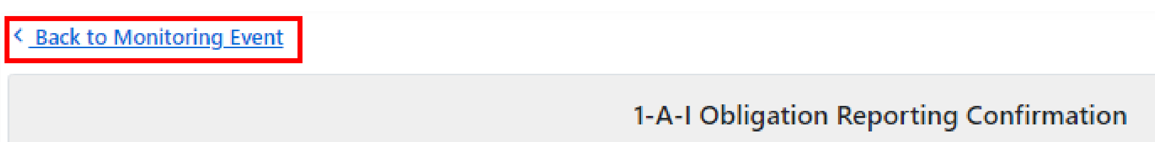
e. Question entry – use the down arrow to select, and the x button to edit a selection.
f. Additional Results Letter Text boxes are available to add additional information regarding results.
g. Notes text boxes are data entry text boxes to record any additional information to be saved with the file review sample.
h. Submit saves and returns to the module landing page.
i. Close returns to the module landing page without saving. A warning box will be presented to confirm.



5. Repeat step 4 for each sample.
6. After completing all the samples in the module, modify the Status, Start Date, Due Date, Actual Start Date, and Actual Due Date as needed and click Save.



7. Finally, click Back to Monitoring Event to return to the Instrument

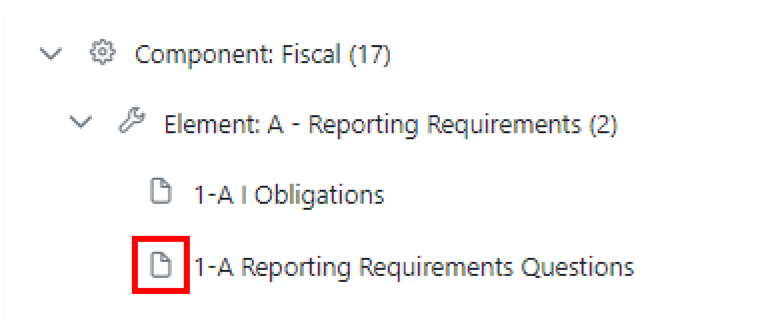


Completing a question worksheet module

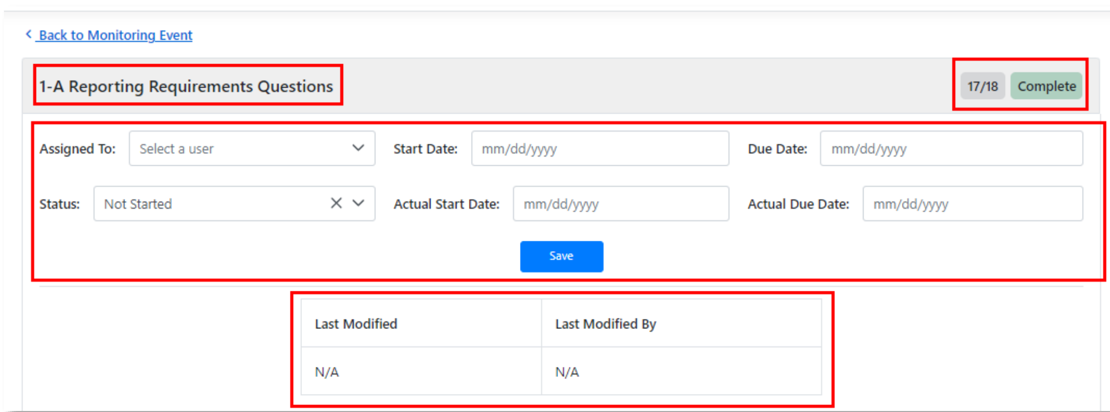
Unlike file review modules, there is only one instance of the question worksheet per element. Additionally, scored content from the file review modules are transferred dynamically to the question review worksheets.

To complete a question worksheet:

1. Click on the desired question module to open

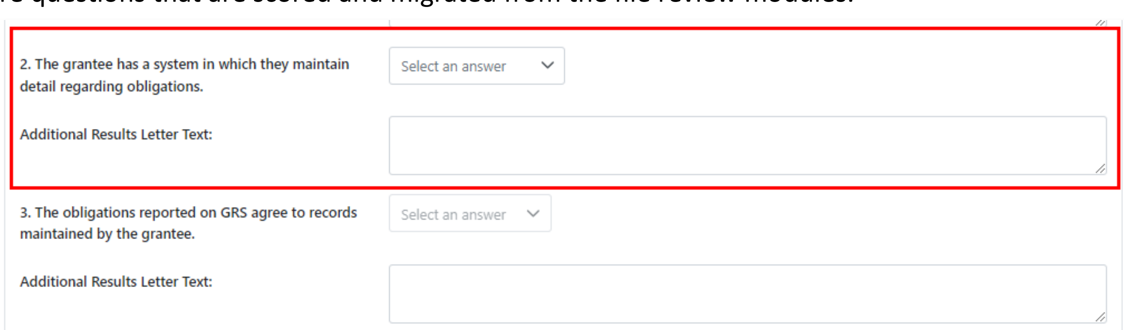


2. The top section of the page contains the module's name, completion status, assignment menu, and last modified status

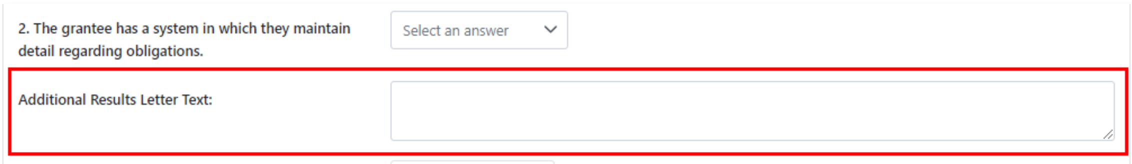


   a. Modify status, start date, due date, actual start date, and actual due date as needed and click the save button.

3. Complete the available questions. The arrows next to Select an answer are in black for items that need to be answered in the question module, as shown in the red box below. Greyed out boxes are questions that are scored and migrated from the file review modules.

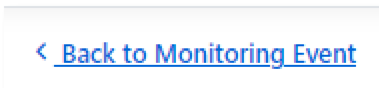


4. Add additional details to be used in the results letter in the Additional Results Letter Text box.



5. Each question review module has a summary text box at the end of the module to add any additional information to save with the event.

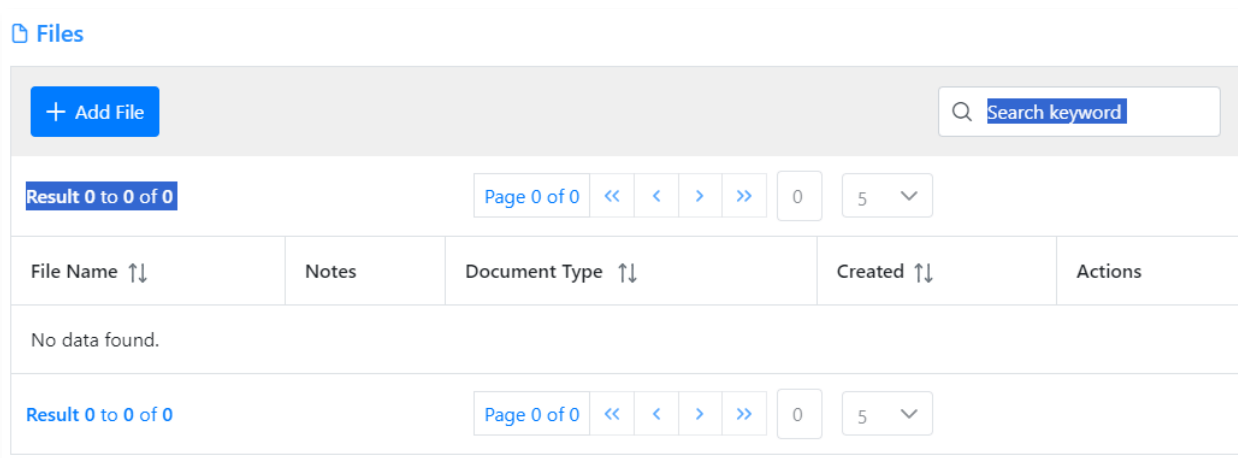
6. Click Submit to Save.
7. Finally, click Back to the Monitoring Event to return to the Instrument.



Files

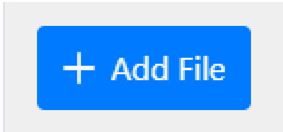
Files related to an event may be uploaded to the files section. This includes scanned documents, pictures, word processing documents, worksheet documents, and other file types. Files are encrypted and scanned for viruses upon upload.

TIP: *Maximum file upload size is 10 MB.*

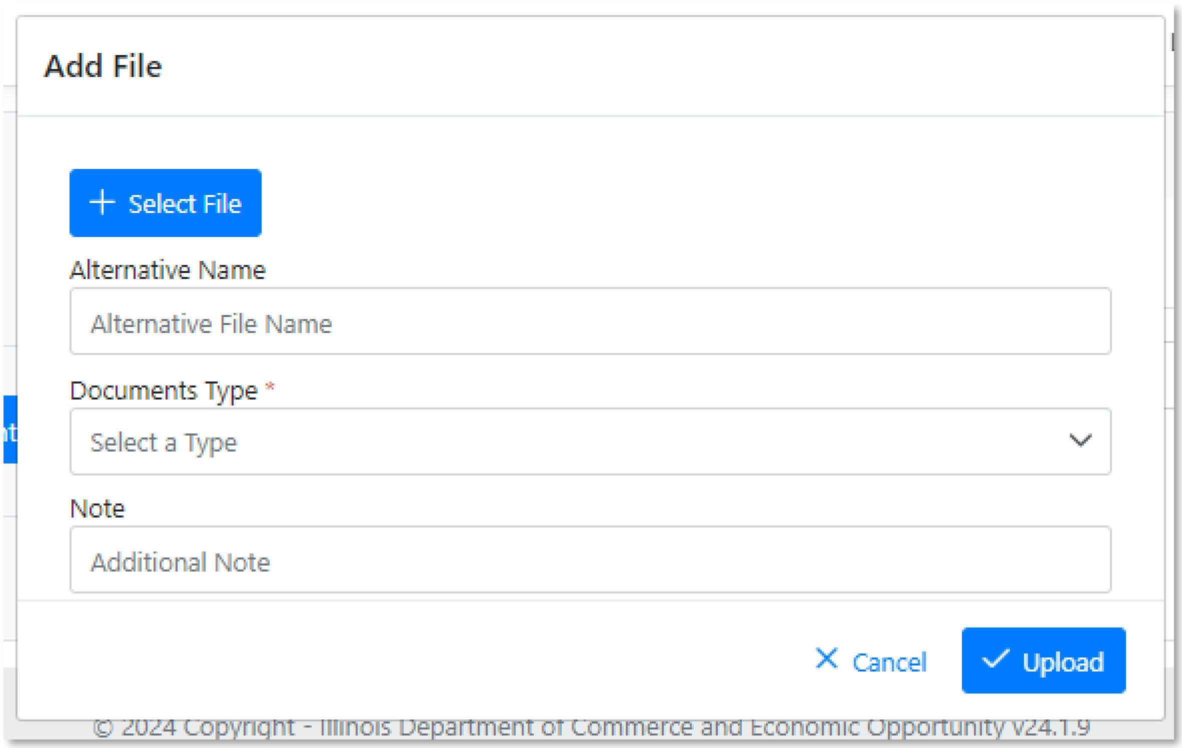


Add a file to an event

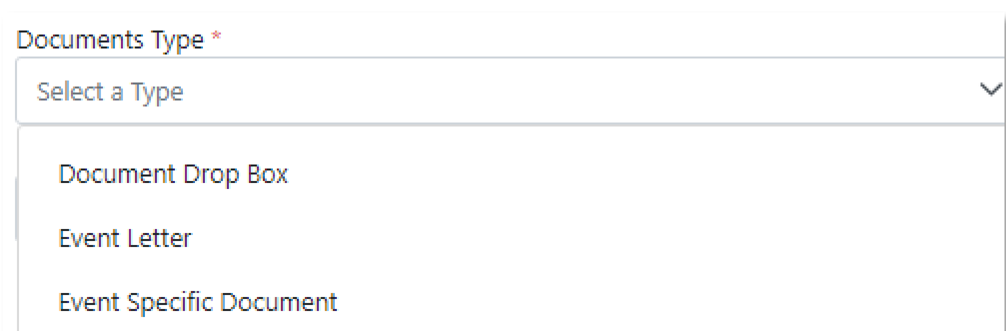
1. Click on the Add File button



2. The Add File modal is presented. Click on Select File



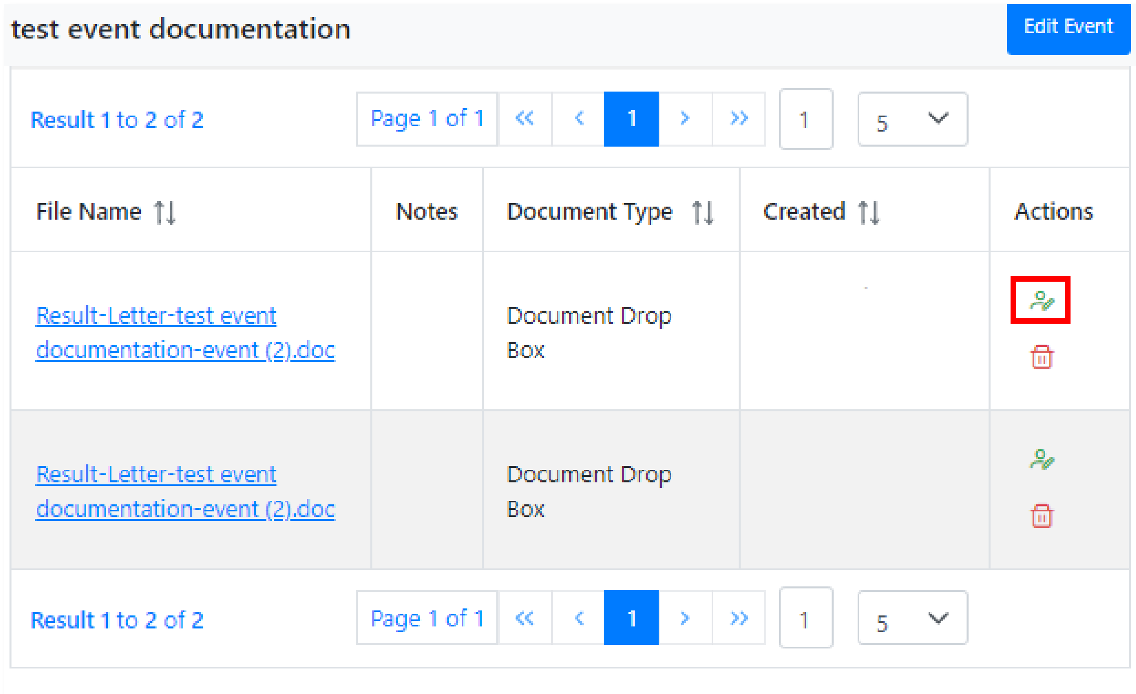
3. Add an Alternate Name if needed to describe the file being uploaded.
4. Select type



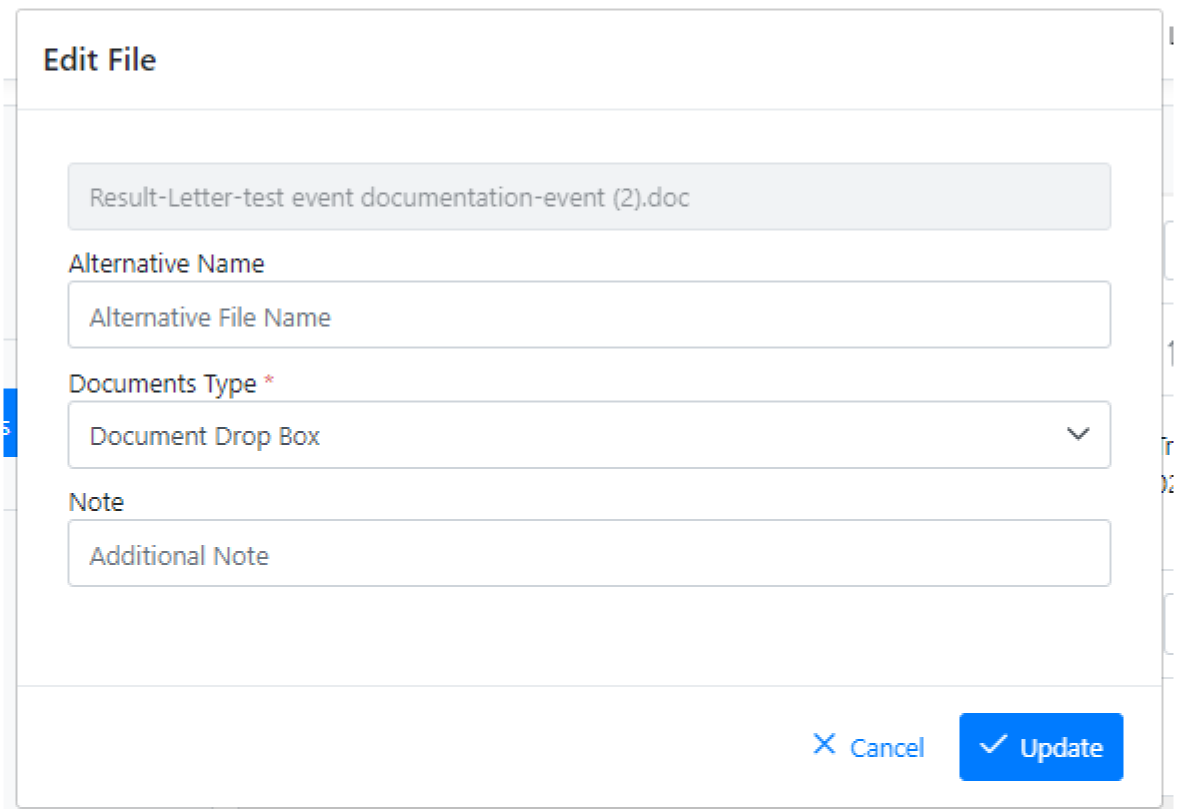
5. Add additional notes if needed in the Note field.
6. Click Upload.

Modify a file for an event

1. Click on the green edit icon in the Actions column.



2. The Edit File modal will be displayed.

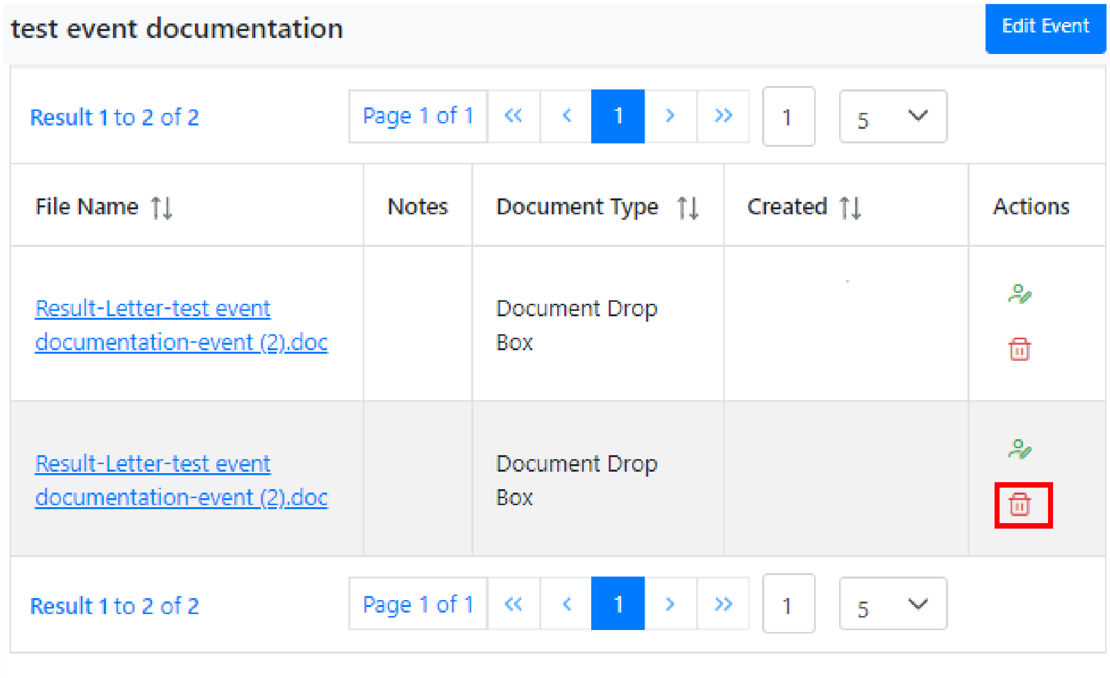


3. Make necessary changes to Alternative Name, Document Type, or Notes.

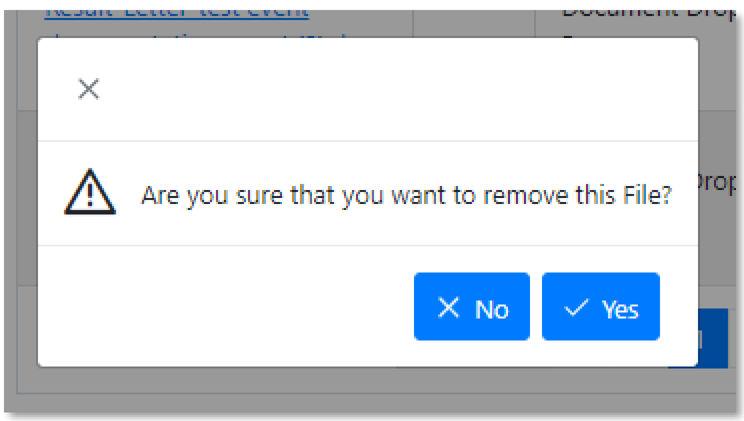
4. Click Update.

Remove a file for an event

1. Click on the red trash icon in the Actions column.



2. A message will appear asking if you want to remove the file. Click Yes.



3. File will be removed.

Findings

The findings section displays the Module, Question, Finding and Corrective Actions generated for an event and is updated as the instrument is completed. The findings section contains:

- Findings table – shows the current findings listed for the event.
- Keyword search – gives the ability to search for terms within the findings area.
- Paginated navigation – displayed at the bottom of the findings table, the navigation provides a way to view findings by page.

Findings

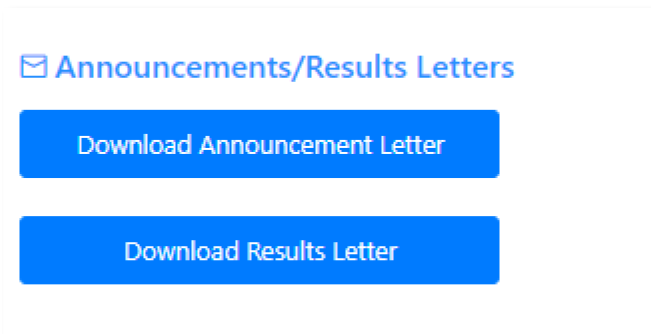
Search keyword

Component	Element	Question Reference	Question Text	Finding	Corrective Action
1-Fiscal	A - Reporting Requirements	1	The grantee is reporting on an accrual basis.	The grantee is not reporting on an accrual basis, which is a violation of 20 CFR 683.300. This impairs the state's ability to manage the program and avoid reallocation.	All expenditures and accruals must be reported accurately and on a timely basis.
1-Fiscal	B - Internal Controls	3	The grantee procurement policies and procedures prohibit solicitation or accepting gifts or anything of monetary value from contractors, potential contractors, or parties to sub-agreements.	The procurement policy does not prohibit solicitation or acceptance of gifts or anything of monetary value from contractors or parties to subagreements. Failure to have such a policy is a violation of 2 CFR 200.318(c)(1).	The grantee must develop and implement a policy which prohibits solicitation or acceptance of gifts or anything of monetary value from contractors or parties to subagreements
1-Fiscal	C - Bank Reconciliation	5	All outstanding checks are less than six (6) months old.	All outstanding checks are not less than six (6) months old. The agency must investigate stale-dated checks while it is still in a position to contact the payee, especially when the checks were issued to clients or former employees. The following checks have been outstanding for a significant period of time: (Monitor supplied text.)	The agency must investigate all outstanding checks older than 6 months. If necessary, the checks should be voided and reissued. If the grantee cannot locate the original payee, it must comply with the Uniform Disposition of Unclaimed Property Act at 765 ILCS 1025/.
2-Program	A - Contract Review/Procurement	1	The subaward narrative describes the participant activity and the time frame for completion.	The following subaward(s) did not describe the participant activity and the time frame for completion of activities	In the future, the LWIA must ensure that all subawards contain a narrative that describes the participant activity and the time frame for completion of activities. Failure to adhere to this requirement in the future may result in disallowed costs.
2-Program	A - Contract Review/Procurement	4	All subawards are monitored to ensure the subaward performance goals are achieved.	The grantee does not monitor all subwards to ensure subaward performance goals are achieved. This is a violation of the Uniform Guidance at 2 CFR 200.331(d).	The grantee must implement procedures to monitor all subawards to esnure subaward performance goals are achieved. Please provide a copy of your new or revised procedures.

5 of 5 Page 1 of 1 1 1 10

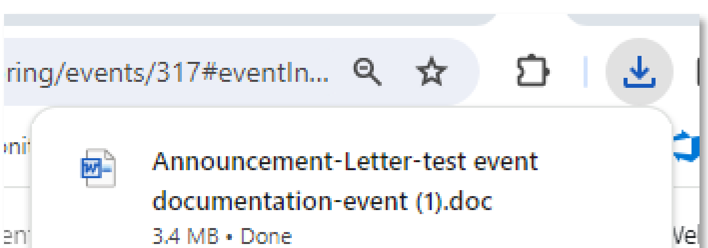
Letter

The letter section contains buttons to download a .doc version of the customized event announcement and results letter to the default download folder on a local computer.



Download Announcement Letter

1. Click on Download Announcement Letter
2. Letter will download via browser to the default download folder

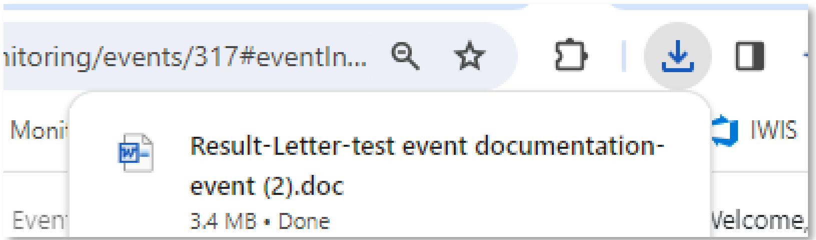


3. Open file in a word processing application to continue editing letter.

Download Results Letter

1. Click on Download Results Letter

2. Letter will download via browser to the default download folder



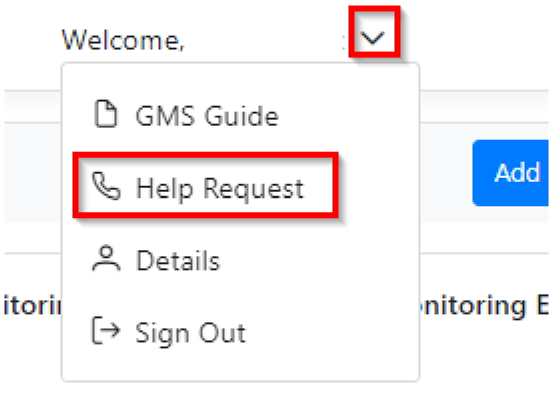
3. Open file in word processing application to continue editing letter.

Requesting Support Assistance

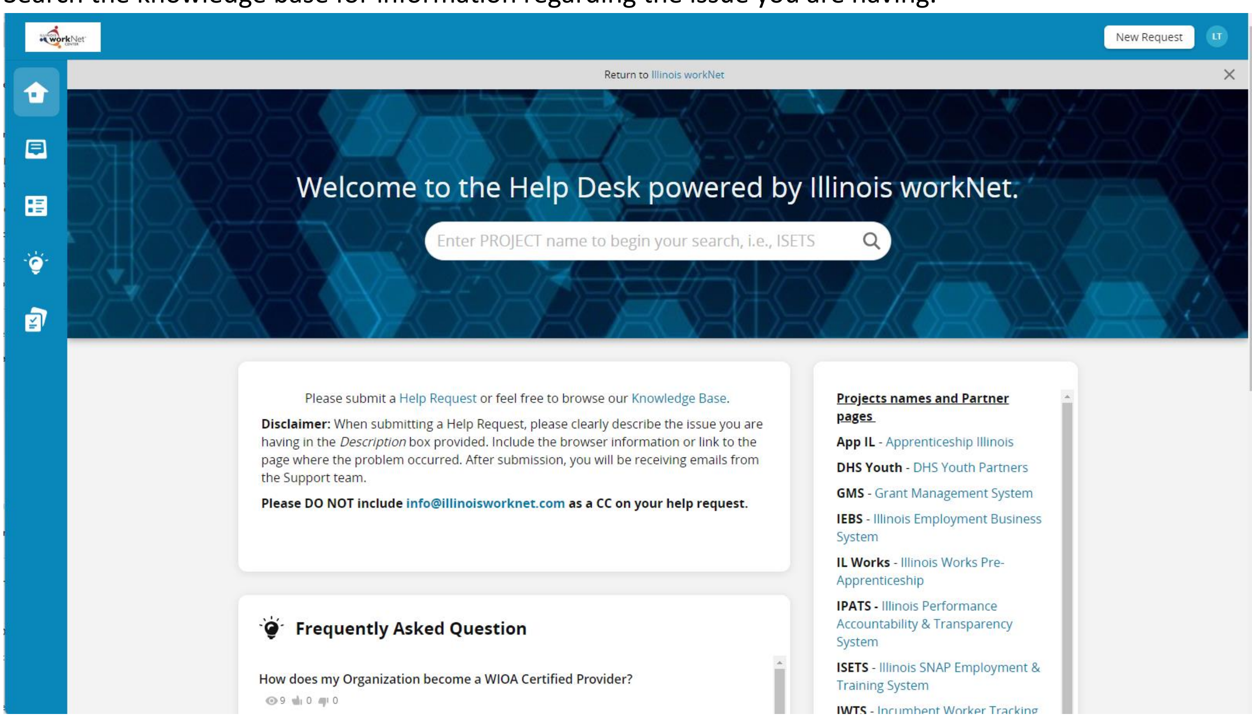
Submitting a Help Request

To submit a Help Request:

1. In the upper right corner of the application, click on the down arrow next to Welcome [Your Name] and choose Help Request.

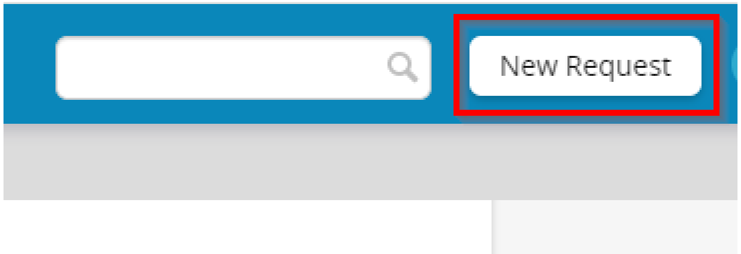


2. The Help Request link will take you to the Help Desk.
3. Search the knowledge base for information regarding the issue you are having.

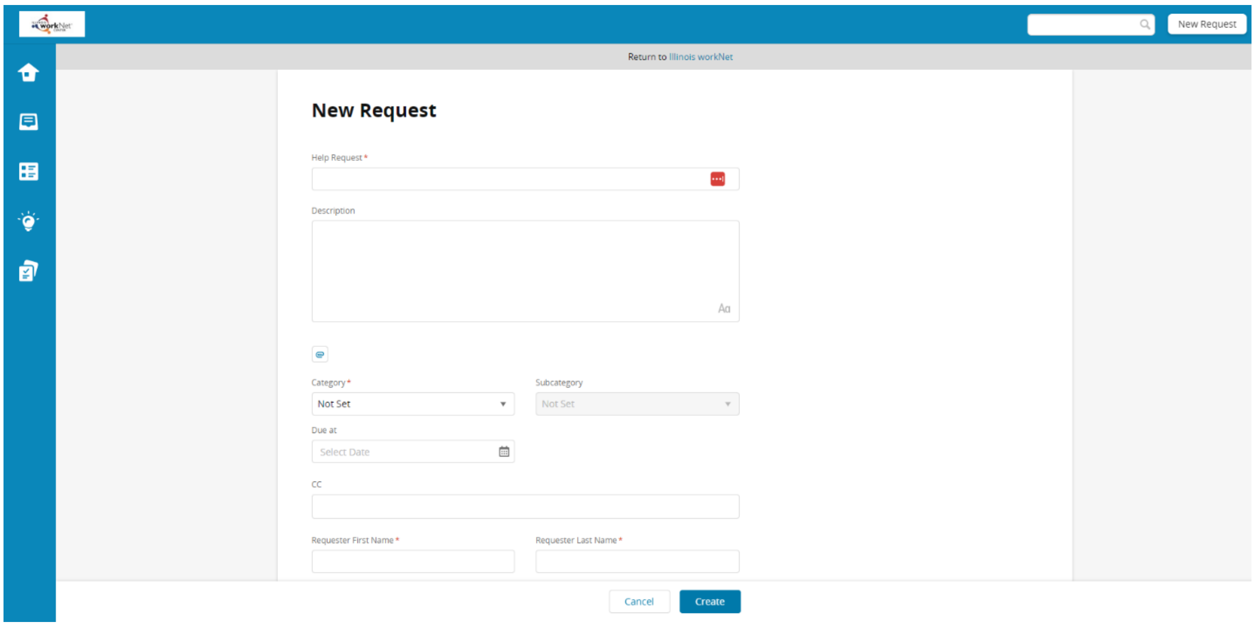


TIP: *Typing GMS in the search box will provide a list of current support documents.*

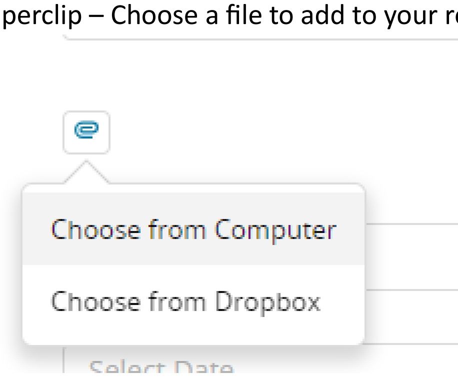
4. If there is not a search document for the issue, click on New Request in the top right corner.



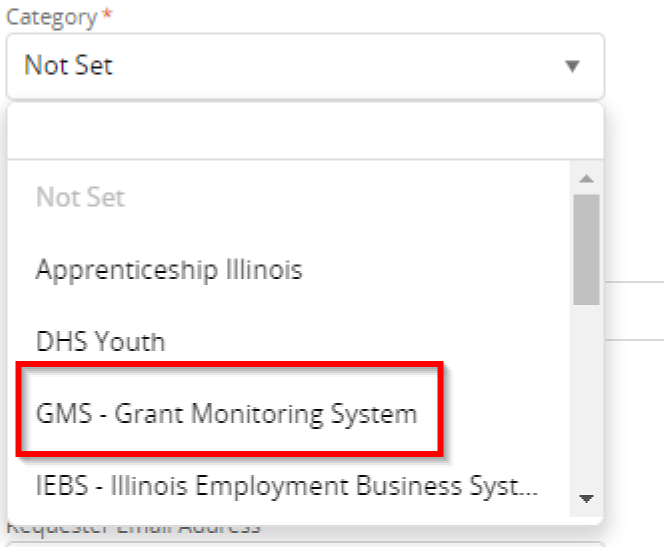
5. A New Request window will open.



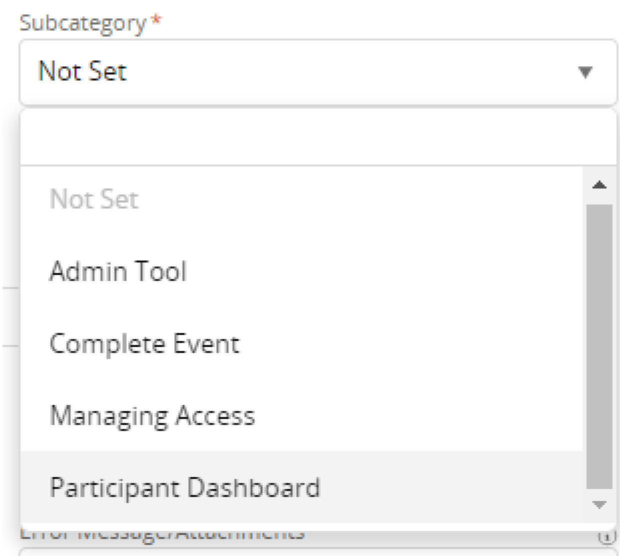
6. Fill out the following fields:
    a. Help Request – a quick summary of the issue.
    b. Description (optional) – further details regarding the issues and troubleshooting attempts.
    c. Paperclip – Choose a file to add to your request from computer or Dropbox



d. Category – Choose GMS – Grant Monitoring System



e. Subcategory – choose the closest topic to match the issue



f. Due at (optional) – select a date expected for resolution of the help request.
g. CC (optional) – add additional people other than the requestor to receive notifications regarding the status of the help request.
h. Requestor First Name
i. Requestor Last Name
j. Requestor Email Address
k. Error Message/Attachments (optional) – Add additional images to the request.
l. Are you a Partner/Provider?
m. Organization (optional)
n. Extension number (optional)
o. Phone number (optional)
p. Browser(optional)

    q. Is this issue keeping you from moving forward? – check box if issue is causing progress to be made until request is resolved.

7. Once completed, click Create