**Team Lead Checklist Guide for Remote Monitoring**

**(check when completed)**

1. Prepare for remote monitoring by creating a folder titled “LWIA XX” in the S Drive under PY 20 Monitoring. Create 2 subfolders, one for Programmatic, one for Fiscal. Run required reports and place them in the Programmatic folder for team members to review (you will add these to ACME later once the event has been set up).

**Run the following Reports in IWDS:**

[Training and Service Review](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|5~RpCriteria~RpTrnSvcReview&ISM_JSP_TS_RQST=20210511113416965&footerIdUser=4039892&footerScreenViewId=0)

[Target Pop Summary-WIOA by Funding Stream](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|257~RpCriteria~RpTargetPopWIAFundStream&ISM_JSP_TS_RQST=20210511113416965&footerIdUser=4039892&footerScreenViewId=0)

[Customers with Days Since Last Case Note](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|174~RpCriteria~RpCust_DaysSinceLastCN&ISM_JSP_TS_RQST=20210511113416965&footerIdUser=4039892&footerScreenViewId=0)

[Registrants Nearing 120 Day Exit Limit](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|175~RpCriteria~RpCustNearingExitLimit&ISM_JSP_TS_RQST=20210511113416965&footerIdUser=4039892&footerScreenViewId=0)

[Participants With No Career Planner](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|246~RpCriteria~RpParticipantNoCaseMgr&ISM_JSP_TS_RQST=20210511113752874&footerIdUser=4039892&footerScreenViewId=0)

[Participants Assign Inactive Career Planner](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|247~RpCriteria~RpParticipantInActvCaseMgr&ISM_JSP_TS_RQST=20210511113752874&footerIdUser=4039892&footerScreenViewId=0)

[Registrants W/O Selective Service](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|316~RpCriteria~RpSelectServiceReg&ISM_JSP_TS_RQST=20210511113752874&footerIdUser=4039892&footerScreenViewId=0)

[Exiters in Follow Up W/O Select Service](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|317~RpCriteria~RpSelectServiceFollowUp&ISM_JSP_TS_RQST=20210511113752874&footerIdUser=4039892&footerScreenViewId=0)

[Registrants With No Open Services](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|321~RpCriteria~RpNoOpenServices&ISM_JSP_TS_RQST=20210511113752874&footerIdUser=4039892&footerScreenViewId=0)

[Days Since Last Active Service](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|322~RpCriteria~RpCust_DaysSinceLastAS&ISM_JSP_TS_RQST=20210511113752874&footerIdUser=4039892&footerScreenViewId=0) (select 90 days)

[Active TAA Report](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|320~RpCriteria~RpActiveTAA&ISM_JSP_TS_RQST=20210511114008440&footerIdUser=4039892&footerScreenViewId=0)

[WIOA Exiters with Employment w/o Followup](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|395~RpCriteria~RpExitersWithoutFollowUp&ISM_JSP_TS_RQST=20210511114008440&footerIdUser=4039892&footerScreenViewId=0)

[WIOA Youth Exiters without Followup](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|396~RpCriteria~RpYouthExitersWithoutFollowUp&ISM_JSP_TS_RQST=20210511114008440&footerIdUser=4039892&footerScreenViewId=0)

[WIOA Plan vs Actual Summary](https://iwds.dceo.illinois.gov/iwds/CIS2154?command=SHOW|2~RpCriteria~RpPlanActSum&ISM_JSP_TS_RQST=20210511114008440&footerIdUser=4039892&footerScreenViewId=0)

IEBS Report (for State and Local employers in the LWIA with an assigned DETS number)

Note: Team Lead needs to establish how potential findings documents are to be stored during monitoring. I always set up a Programmatic subfolder called “Findings.” Team members are instructed to drop findings documents into this folder when monitoring. Once I validate the findings and documents, I upload the files to ACME as a permanent record. Each Team Lead will have his/her own preference. Some Team Leads just direct monitors to add everything to ACME. Either way is fine, as long as the team is clear what is expected of them.

1. Review supplemental monitoring report, prior monitoring year outcomes, Risk assessment (this is provided by fiscal monitor), Plan vs. Actual report, local and regional plan, etc.

1. Send email to team members to let them know the reports are on the S Drive for them to review and to be prepared to discuss at the upcoming team meeting.
2. Make early contact by phone with the LWIA prior to the Announcement letter being sent, mainly to explain the remote process on a more personal level rather than just sending the Announcement letter and leaving it to them for interpretation. This phone call helps greatly in assuring the LWIA we will “work together” during the process and greatly reduces the stress the LWIA may be feeling about a remote monitoring.

Mutually agree with the LWIA to an Entrance Conference time. The date of the Entrance Conference is already established on the Monitoring Schedule. This date will also be the actual start date of review of the uploads for remote monitoring (as it is specified on the PY Monitoring schedule).

Discuss the LWIA’s capabilities for remote monitoring (i.e. access to files, adequate scanner capabilities to handle large uploads, which offices may be closed or inaccessible due to Covid, etc.). In a situation where the LWIA has some offices open but others are closed in some areas due to Covid, try to accommodate if possible, and agree to pull samples from the areas in which the files are available. Provide date range of the monitoring event (as it is listed in the Announcement letter). Ask the LWIA if they currently have any Trade, Trade Out of Area Job Search or Relocation files that fall into the date range. Ask if they have any IWT, OJT, Customized Training, or Work Experience active files within the date range.

During this phone call, review the timeline in which the LWIA has scheduled to complete uploads. This timeline is typically 7 working days from the date of the Entrance Conference. This decreases the stress on the LWIA, knowing that adequate time will be allowed to complete this task. By explaining some of the processes upfront, the LWIA will feel more in control when they receive the Announcement letter as they have already prepared and can get started on their own preparations to gear up for remote monitoring.

1. Prepare Announcement Letter. Follow step-by-step instructions for how to complete an Announcement letter (This form is provided separately in the Team Lead toolbox).

Most Announcement letters go out on a Friday, so have the Announcement letter completed by the Monday of the same week so Tamika has plenty of time to review the letter and obtain John’s signature before the letter is sent to the LWIA. For example, if the Announcement letter is scheduled to be sent to the LWIA on Friday, April 16, 2021, you will need to have the Announcement letter completed and sent to Tamika on Monday, April 12, 2021.

Provide the LWIA staff email addresses to Tamika in your email when you send her the Announcement letter so she has these available when she sends out the letter to the LWIA. These email addresses are located on the LWIA Matrix.

1. The monitoring event will be set up in ACME by Tamika after the Announcement letter has been sent. Once the event is set up in ACME, you can add the reports there as well under “Documents” tab.
2. Once the event is set up in ACME, upload Announcement letter into ACME once received back from Tamika with John’s signature. To upload, go into ACME event and click Documents tab. Upload Announcement letter under “Letters” tab.

You can now also add the LWIA reports you ran at the beginning of the event from the S Drive into the 3rd section on the Documents Page.

1. Send WebEx meeting invitation for Entrance Conference to LWIA staff and monitoring team members, including Tamika and assigned supervisor (either Annie or Bryan). Typically, the invite to the LWIA will include the person the letter is addressed to and the LWIA and DCEO staff members who are listed in the “cc” section of the Announcement letter. Make sure the Webex meeting invitation you send out has the exact date and time for the Entrance Conference as the Announcement letter indicates.
2. Set up a Team Meeting with monitoring team to discuss preferences for monitoring, any issues found in reports, etc.
3. Highlight and add dates in PY20 Monitoring Schedule in S Drive as applicable.

**Set up Planned End Dates for remote monitoring in the ACME Work Plan.**

**a. Add Start/End dates for day that you contact the LWIA to discuss remote monitoring.**

**b. Add Start/End dates for the Announcement letter. Add the EXACT same date as what is indicated on the Announcement letter.**

**c.** **Add Start/End dates for the completion of assignment of instrument tasks in ACME.**

**d.** **Add Start/End dates for “Conduct Preliminary Desk Review”. This Start/End date will be one week prior to the Entrance Conference date. For example, if the Entrance Conference is scheduled for 4/12/2021, the preliminary desk reviews Start/End Date will be 4/5/2021 through 4/9/2021.**

**e. Add Start/End dates for sending the file sample list to the LWIA. The Start/End date for this will be the same date. Allow 7 working days prior to the Entrance Conference. For example, if the Entrance Conference is scheduled for 4/12/2021, the file sample lists will be sent to the LWIA on April 1, 2021, which will be 7 working days to allow the LWIA to gather all of their files, break down the files, and complete the uploads.**

**f. Add Start/End dates for the Entrance Conference. These will be the same date. For example, if the Entrance Conference is scheduled for April 12, 2021, the Start and End dates will both be 4/12/2021.**

**g. Add Start/End dates for “Conduct Field Work”. These dates begin on the Entrance Conference date (typically on a Monday) and the End Date is Friday of the same week. For example, when the Entrance Conference ends, the Field Work begins right after the meeting. If the Entrance Conference is on 4/12/2021, the Start date for “Conduct Field Work” is 4/12/2021 and the End Date is 4/16/2021.**

**h. Add Start/End dates for Final Desk Reviews. The Final Desk Review dates are the week AFTER the Field Work upload reviews have been completed. If the Field Work reviews ended on 4/16/2021 (on a Friday), then the Final Desk reviews will start the following Monday on 4/19/2021 and the End Date will be 4/23/2021.**

**i. Add Start/End dates for “Validate Monitoring Event”. After the Validation Report has been prepared and sent to Tamika, it may be a couple of weeks or more before you receive the Validation back. Once you receive the Validation Report back from Tamika, add the Start/End dates for the same day that Tamika has entered on the Validation Form.**

**j. Add Start/End dates for “Develop Results letter.” The results letter is simultaneously created at the same time the Validation Report is created. Once you have a rough draft of the Results letter, send to Tamika for her review along with the Validation report. There may be changes to this letter as you move through the process. Once the letter has been agreed upon by you and Tamika, she will send it to John for signature. The Start/End date for this category is the actual Date on the Results letter that John signs.**

**k. Add Start/End dates for “Exit Conference”. This Start/End date will be the same. For example, if the Exit Conference is scheduled for 5/10/2021, both dates will be 5/10/2021.**

**l. Add Start/End dates for “Collect Responses from Organization.” This Start/End date will be the same date. You will use the date at the top of the LWIA’s Response letter to complete these dates.**

**m. Add Start/End dates or “Conduct Follow-up Monitoring”. These dates are when the LWIA responds back with corrections from their results letter. You will be reviewing their responses and checking all additional documents the LWIA includes in their response. Once you have completed these, add your Start/End date for time spent completing the review. Typically, it is done in one day, so the Start/End dates will be the same.**

**n. Add Start/End dates for “Send Follow-up Monitoring letter”. Use the letter template to respond to the LWIA regarding your review of the findings resolutions. If all finding are acceptable, the coordinating letter will reflect that we have accepted their responses as adequate and the monitoring is complete. If there continues to be issues with the findings and the solutions are not acceptable to the State, please contact Tamika for further direction on this as there are other template letters to address this when some findings remain unresolved.**

**Complete Instrument page in ACME with required entries:**

**a. Go to the Instrument page in ACME.**

**b. Hover over each Component until the drop-down box appears.**

**c. Complete all Components in Elements A, B, C, D, E. Select “Edit Item” from each drop-down menu and fill in Status, Assigned to, Start Date and Due Date for all Program Elements.**

**d. Click “OK” to save each one.**

Select Sample Files for monitoring in ACME (Follow step-by-step instructions found in Team Lead toolbox). Minimum number of files to be reviewed is 5 per program. This number could vary depending on what the reports reflect.

Assign tasks to team members in ACME.

1. Send email to team members alerting them that files have been assigned in ACME to relay assignments have been completed in ACME. Also remind the team of deadlines in which the desk reviews are to be completed. Monitor the preliminary desk reviews to ensure they are getting done in a timely manner. Continue with Desk Review during the time period in which the LWIA is uploading documents into ACME. Desk reviews are scheduled for the week PRIOR to the Entrance Conference. Team members can start earlier than this if they want to, but they must have preliminary desk reviews competed by the deadline, which is typically the Friday prior to the Entrance Conference. Remind team members to start taking screen shots of potential findings during desk reviews.
2. Send LWIA the Sample List at least 7 working days prior to the Entrance Conference (follow step-by-step instructions on how to run this report). This allows a couple of extra days for LWIAs to gather the files due to Covid as some LWIA’s have limited staff availability on certain days of the week and provides ample time to complete uploads prior to the Entrance Conference.

In addition, send the Remote Monitoring Checklist Guides for all programs along with the ACME sample file list (see step-by-step instructions on how to get this report in the Team Lead Toolbox).

A separate sheet will also be sent with the OJT/IWT/Work Experience file selections (see toolbox for this form).

1. Continue with Preliminary Desk Reviews during the time period in which the LWIA is uploading documents into ACME.

1. Update ACME Work Plan to reflect completion of Desk Reviews.
2. Prepare Entrance Conference form and Entrance Conference Agenda (find these in Team Lead toolbox). During Covid, it has been difficult to get signatures, so type in names of attendees, then add a note to the Entrance Conference form and highlight it, stating “**NOTE: Due to COVID-19, all participants attended this meeting via WebEx from their homes or offices”.**

Email Entrance Conference form and Entrance Conference Agenda to LWIA staff and team members first thing the morning of the Entrance Conference.

Conduct Entrance Conference. Take attendance and make sure to write all names down as you will be adding these names later to the Entrance Conference form. Turn on Webex cameras so LWIA staff can see the monitoring team members. During this meeting any additional questions regarding processes for remote monitoring will be addressed.

Follow the agenda in order and complete all areas on the agenda if there are blanks to fill in. Ask fiscal monitor to review list of questions they typically discuss with the LWIA. Confirm with the LWIA how often they want to be contacted for updates during the monitoring process. The LWIA and the team leader must mutually agree, and the team leader must follow through. Very important! Simple communication may clear something up quickly if monitors have questions, so stay in touch with the LWIA, ask questions or ask for clarification as issues come up rather than waiting to hit them with everything at the end. It could potentially avoid findings if questions are asked along the way for clarification.

Offer the LWIA an “informal” soft exit just to wrap things up, get feedback from the LWIA on their experiences with remote monitoring and discuss concerns or potential findings. This step is optional, but consider doing this because sometimes, there is a significant amount of time that goes by while waiting on the Validation process to complete. Since monitoring staff is not on site to touch base with them, this step seems to be effective in providing some immediate feedback in the interim of waiting for Validation to complete so we can move forward with the Exit Conference. It is very important to reiterate to the LWIA this is NOT the formal Exit Conference.

If there are any issues from reviewing the LWIA reports (i.e. overdue case notes, etc.) this is the time to discuss areas that may need to be cleaned up. The LWIA’s are aware most of the time of issues in the reports, but not always. It is a good way to get them back on track and in compliance.

Send a copy of the Entrance Conference form with attendees’ names typed on it to the LWIA director after the meeting has concluded.

Update ACME Work Plan to add Entrance Conference Date.

1. Update PY Monitoring schedule in S Drive to highlight/add On-site Start Date.
2. Begin monitoring uploaded files in IWDS after the Entrance Conference is completed. Instruct team members on steps for obtaining additional documentation from the LWIA’s. I always have the team members go through me for requests to the LWIA rather than multiple team members emailing the LWIA. This cuts down on correspondence and confusion. Team Lead needs to clarify this process to the team members as to how he/she would like this process to work.
3. Communication needs to take place during this time period between the lead monitor and team members regarding the status of assigned tasks. In the event of delays, team members must communicate reason(s) for the delay to the team leader. Team meetings are important during monitoring to give team members an opportunity to receive guidance/feedback. Individual meetings may be necessary with team members if there is a specific issue with a file that needs attention. Schedule at least one team meeting during the week of monitoring uploads and one meeting at the end of the week to wrap things up.
4. Stay in contact with the LWIA and provide updates at the intervals in which you agreed to during the Entrance Conference.
5. Once it has been confirmed from team members that they have completed their assignments, the Team Lead will need to review all components in ACME to ensure all tasks have been appropriately completed.
6. Set up Team Meeting after monitoring completes to discuss concerns, findings, and resolve any issues.
7. Update ACME Work Plan and PY Monitoring Schedule in S Drive to reflect monitoring has been completed (highlight/add on-site end date)
8. Inform the LWIA the monitoring has been completed and that you will be in touch to arrange a soft exit if the LWIA indicated they wanted this.
9. Send WebEx meeting invitation for INFORMAL “soft exit” to LWIA staff and team members. This is just a brief overview of general findings, nothing specific. If there are issues that need further clarification, it can be discussed during this informal meeting.
10. During the final desk reviews, Team Lead reviews all ACME screens for all files to ensure completion. Team Lead reviews all findings and supportive documents to validate prior to sending to Tamika for official validation. Team Lead will then prepare Validation Report and send to Tamika for official validation (see step-by-step instructions on how to complete this form).

1. Start preparing Combined Monitoring Findings letter and work on this letter at the same time you are preparing the Validation Report. Use the newest format letter in the S Drive:

**LWIA XX PY19 Combined Monitoring Findings Letter.doc**

1. Once the Validation Report has been validated by Tamika and she has sent the Validation Report back, update ACME Work Plan and PY Monitoring Schedule. Also check in ACME to ensure Validation Report has been added by Tamika. If not, go ahead and add the report under “Documents” tab and then upload into “Document Drop Box.” Update ACME Work Plan and S Drive.
2. Send email to team members to ask availability for Exit Conference.
3. Send Combined Monitoring Findings letter to Tamika for her review and feedback.
4. Contact LWIA to schedule Exit Conference Meeting date and time.
5. Send out WebEx invitation for Exit Conference to LWIA staff and team members.
6. Prepare Exit Conference form.
7. Send out Exit Conference form to LWIA and team members early morning on the day of the Exit Conference. If the Exit Conference is scheduled early, you can send the Exit Conference form at the end of the workday the night before. Follow same format for documenting that due to Covid, no signatures are available (as you did on the Entrance Conference form).
8. Conduct Exit Conference and review any findings, management recommendations, etc. If the LWIA offers a valid reason for why a finding should be removed, it can be taken under advisement after further discussion with supervisory staff.
9. Follow up with LWIA for any outstanding issues discussed in the Exit Conference.
10. Update ACME Work Plan and PY Monitoring Schedule to reflect completion of Exit Conference.
11. Upload Exit Conference Form into ACME
12. Send final letter to Tamika for her to approve (once the Exit Conference is completed and any corrections made) and then Tamika will review and send to John for his signature.
13. When Tamika sends back signed Findings letter, upload the Findings letter into ACME by going to the Documents tab and uploading under “Letters”. Update ACME Work Plan and PY Monitoring Schedule.
14. If a response is required from the LWIA, once the letter is received, upload the Findings Letter Response into ACME under Document tab, then upload in “Letters”.
15. Update the ACME Work Plan and the PY Monitoring Schedule in S Drive to reflect the LWIA sent the Findings Letter Response.
16. Review the LWIA’s Findings Letter Response and complete reviews of all corrections/documentation the LWIA indicates they have corrected and/or provided documentation for in their response letter.

1. Prepare Results Letter Reply Response and send to Tamika for review and John’s signature.
2. Upload Results Letter Reply Response into ACME under Documents tab, then upload under “Letters”
3. Update Work Plan and PY Monitoring Schedule in S Drive.
4. If all has been resolved with no further correspondence needed with the LIWA, complete the ACME Work Plan and update any incomplete areas in PY Monitoring Schedule in S Drive.