

**Guide  
for  
Incorporating the SQSP in GEMS  
and  
Tracking Corrective Action Plans**

**The Monitoring module is used to:**

- Record the FPO's report of an on-site visit, desk audit, and SQSP.
- Track and maintain findings, observations, and promising practices as well as milestones.

**For the SQSP, the Monitoring module should be used to track CAPs and state narrative details**

✓ Click "ADD NEW" to enter CAPs/Narratives

## Monitoring: On-Site and Desk Audit History

The screenshot displays the GEMS web application interface. The browser window title is "GEMS - Microsoft Internet Explorer". The address bar shows "http://dol.saic-solutions.com/GEMS/main.cfm". The page header includes the U.S. Department of Labor logo and the text "U.S. Department of Labor Employment & Training Administration". The navigation menu includes "HOME", "REPORTS", "FEEDBACK", "OPTIONS", "ROLE", and "LOGOUT". The main content area is titled "Monitoring: On-Site and Desk Audit History". On the left, there is a "My Projects" list with items like "AR UI Base Admin Appeals" and "AR UI Base Admin Benefits". Below this is a calendar view for the month of September 2004. The main table displays the following data:

Type	Start	Exit	Report	Status
SQSP	09/16/2004			N/A
SQSP	09/17/2004			N/A

At the bottom of the table, there is an "ADD NEW" button. A blue callout bubble points to this button with the text "Click to add CAP/Narrative". On the right side of the page, there is a navigation menu with items like "Overview", "Contact Information", "Initial/Annual Risk", "Work Plan", "Budget", "Desk Review", "Monitoring", "Modifications", and "Log". A blue callout bubble points to the "Monitoring" link with the text "Monitoring Module".

## Entering Detail of a Corrective Action Plan/Narrative

- **Monitoring Type:**

✓ Select *SQSP* as the type of monitoring activity

- **Elements Monitored:**

✓ Select “*Other*” and type *SQSP* in the blank space.

✓ Click the “**SAVE**” button to save the monitoring details.

**NOTE:** To enter CAP/Narrative, findings, observations, or promising practices, you must first **SAVE** this page.

## Monitoring Details

The screenshot shows the GEMS3 web application interface. The browser window title is "GEMS - Microsoft Internet Explorer". The address bar shows "http://dol.saic-solutions.com/GEMS/main.cfm". The page header includes the U.S. Department of Labor logo and the text "U.S. Department of Labor Employment & Training Administration". The navigation menu includes "HOME", "REPORTS", "FEEDBACK", "OPTIONS", "ROLE", and "LOGOUT". The main content area is titled "Monitoring Details Page" and displays the following information:

- My Projects:** A list of projects including "AR UI Base Admin Appeals", "AR UI Base Admin Benefits", "AR UI Base Admin Claimant Reemployment", "AR UI Base Admin Integrity", "AR UI Base Admin Tax", "AR UI DUA", "AR UI TEUC", and "AR UI Trade ATAA".
- AR UI Base Admin Benefits:** "UI Benefits" for the "ARKANSAS EMPLOYMENT SECURITY DEPARTMENT".
- Monitoring Type:** A dropdown menu set to "SQSP".
- Coordinated Review?** A checkbox labeled "View/Edit List".
- Elements Monitored:** A list of checkboxes for "Governance", "Financial", "Performance", "Administration & Management", and "Service Delivery". The "Other" checkbox is checked, and a text input field next to it contains "SQSP".
- Prep Time/effort:** A dropdown menu set to "0 - 2 hours".
- On-Site Time/effort:** A dropdown menu set to "0 - 2 hours".
- Report Time/effort:** A dropdown menu set to "0 - 2 hours".
- Travel Expenditures:** A text input field with a dollar sign.
- Comments:** A text area for entering comments.
- Role:** A dropdown menu set to "FPO".
- SAVE:** A yellow button to save the details.

The right sidebar contains a "Support Systems" dropdown menu and a list of navigation links: "Overview", "Contact Information", "Initial/Annual Risk", "Work Plan", "Budget", "Desk Review", "Monitoring", "Modifications", and "Log". Below these links are sections for "Desk Review History", "Initial/Annual Risk History", "Manager(s)" (Bill Janes), and "Backup FPO(s)" (Saic5 Saic5).

Currently, GEMS language is general for use in all ETA programs; therefore it does not contain language specific to the SQSP.

### Findings ≈ CAP or Narrative

Click 'ADD NEW' to add new CAP/Narrative record

**NOTE:** 'ADD NEW' will take you to the screen, "Monitoring Findings and Findings Updates History"

## Monitoring Details (cont'd).

The screenshot displays the GEMS3 web application interface. At the top, the browser window shows the URL <http://dol.saic-solutions.com/GEMS/main.cfm>. The page header includes the U.S. Department of Labor logo and navigation links: HOME, REPORTS, FEEDBACK, OPTIONS, ROLE, LOGOUT, and HELP. The main content area is titled "Monitoring Details Page" and features several sections:

- My Projects:** A list of projects including "UI Base Admin Appeals", "UI Base Admin Benefits", "UI Base Admin Claimant Reemployment", "UI Base Admin Integrity", "UI Base Admin Tax", "UI DUA", "UI TEUC", and "UI Trade ATAA".
- Time/Effort:** Input fields for "Prep Time/effort", "On-Site Time/effort", and "Report Time/effort", all set to "0 - 2 hours". A "Total Time/effort" field shows "0 - 6 hours".
- Travel Expenditures:** A field for entering travel costs.
- Comments:** A text area for adding comments.
- Findings:** A section with a table header "Type | Title | Due | Status" and an "ADD NEW" button. A callout bubble points to this button with the text: "Findings is synonymous with CAP or Narrative".
- Observations:** A section with a table header "Type | Title" and an "ADD NEW" button. A callout bubble points to this button with the text: "Click to enter new CAP/Narrative".
- Promising Practices:** A section with a table header "Type | Title" and an "ADD NEW" button.

At the bottom of the page, there are "SAVE" and "CREATE REPORT" buttons. The browser's status bar shows the time as 3:18 PM.

## Entering CAPS

The details entered here are to be taken from the CAP submitted by the state.

- **Finding Type:**

✓ Select **Performance** as the type of finding when entering CAPs/Narrative for the SQSP

# Monitoring Findings and Finding Updates

The screenshot shows the GEMS3 web application interface. The main content area is titled "Monitoring Finding and Finding Updates History". It displays a table with the following data:

Type	Start	Exit	Report	Status
SQSP	09/21/2004			N/A

Below the table, there is a "Finding Type" dropdown menu with the following options: Select, Governance, Financial, Administrative/Management, Service Delivery, Performance, and Other. A callout box points to the "Performance" option with the text "Finding Type: for SQSP, choose Performance".

The page also includes a "My Projects" sidebar with a list of projects, a "Close Calendar View" section with a calendar, and a "SAVE" button at the bottom.

## Entering CAPs (cont'd.)

- **Title:**

√ Enter exact title of measure or area of deficiency for which a CAP has been submitted or area of deficiency described in the state narrative

- **Finding ≈ CAP Narrative**

√ For CAPs, enter the CAP Narrative as submitted by the state.

√ For deficiencies identified in state narratives, enter a brief description of the problem

# Monitoring Findings and Finding Updates

The screenshot shows the GEMS3 web application interface. The main content area is titled "Monitoring Finding and Finding Updates History". It features a table with columns for "Type", "Title", and "Status". The "Title" field is highlighted with a callout box that says "Enter title of Measure". Below the table, there is a "Finding" section with a "Narrative" field. The "Narrative" field contains the text: "During federal fiscal year (FFY) 2004, the ability to provide timely and accurate payments of unemployment insurance (UI) benefits was impacted by an unpredicted escalation in normal workload, decrease in fully trained staff, and the resource demands of the genesis Project. Within one to two years, Arkansas is committed to meeting the Tier I". A callout box points to this field with the text "Enter CAP Narrative". The interface also includes a "Required Action" field and a "SAVE" button at the bottom.

\*GEMS allows you to cut and paste from other documents on the network.

## Entering CAPs (cont'd.)

- Required Actions ≈ Milestones

√ For CAPs, enter the milestones associated with the CAP

√ For deficiencies identified in state narratives, enter the steps to be taken to correct the problem

# Monitoring Findings and Findings Updates

The screenshot shows the GEMS web application interface. The browser title is "GEMS - Microsoft Internet Explorer". The address bar shows "http://dol.saic-solutions.com/GEMS/main.cfm". The page header includes the U.S. Department of Labor logo and navigation links: HOME, REPORTS, FEEDBACK, OPTIONS, ROLE, LOGOUT, and HELP. The main content area is titled "Monitoring Finding and Finding Updates History". On the left, there is a "My Projects" list with items like "AR UI Base Admin Appeals" and "AR UI Base Admin Benefits". Below this is a calendar view for the month of September. The main form area contains fields for "Required Action:", "Due Date:", "Questioned Cost:", "Performance/Corrective Action Plan Required:", and "Comments:". A callout box with a blue background and white text says "Enter Milestones" and points to the "Required Action:" field. The "Due Date:" field has a date format "MM/DD/YYYY". The "Performance/Corrective Action Plan Required:" field has a dropdown menu set to "No". The "Comments:" field is a text area. On the right side, there is a "Manager(s):" field with "Bill Janes" and a "Backup FPO(s):" field with "Saic5 Saic5" and an "EDIT" button. At the bottom, there is a "Role: FPO" field and a "SAVE" button. The browser status bar shows the address "http://dol.saic-solutions.com/c" and the time "4:23 PM".

## Entering CAPs (cont'd.)

When a state submits a CAP, it uses the form in HB 336 which enables the state to include the dates it expects to complete the action.

Unfortunately, this form is not in GEMS; therefore, dates should be added accordingly:

- **Completion Date.** At the end of each milestone entered, add the quarter ending date the state expects to complete the action, as indicated on the CAP form.
- **Due Date.** Enter the quarter ending date of the quarter that all actions will be completed.
- **Comments.** Enter Performance Levels as indicated on CAP

## Monitoring Findings and Findings Updates

The screenshot shows the GEMS3 web application interface. The main content area is titled "Monitoring Finding and Finding Updates History". It displays a finding description: "accurate payments of unemployment insurance (UI) benefits was impacted by an unpredicted escalation in normal workload, decrease in fully trained staff, and the resource demands of the genesis Project. Within one to two years, Arkansas is committed to meeting the Tier I".

The "Required Action" section lists two items:

1. Identify individual and organizational training needs related to quality determinations, and provide training as appropriate. (6/30/2005)
2. Increase staff awareness and understanding of the importance of quality determinations; identify areas for improvement; utilize continuous-improvement (CI) processes; enhance ownership and accountability; and actively pursue performance enhancements. Performance will be reviewed quarterly with teams and individuals. (3/31/2005)

The "Due Date" field is set to 06/30/2005. The "Questioned Cost" field is empty. The "Performance/Corrective Action Plan Required" dropdown is set to "Yes".

The "Comments" section includes a "Performance Level" table:

Performance Level:	12/31/04	03/31/05	06/30/05	09/30/05	
Current	39.2%	45%	50%	55%	60%

Three callout boxes provide instructions:

- "Add Completion Date for Milestone" points to the "Due Date" field.
- "Enter Final Completion Date of Milestones" points to the "Performance Level" table.
- "Enter Performance Levels as indicated on CAP" points to the "Performance Level" table.

## Entering CAPs (cont'd.)

- **Comments, cont.** Also indicate if this is a Multi-year or Repeat CAP
- **Performance/Corrective Action Plan Required**

✓ If this is a CAP, select *Yes*

✓ If this is from state narrative, select *No*

✓ Click the 'SAVE' button to save the findings screen

**NOTE:** you must "SAVE" before **Updates** can be entered.

# Monitoring Findings and Findings Updates

**GEMS3 - Microsoft Internet Explorer**

File Edit View Favorites Tools Help

Address: http://dol.saic-solutions.com/GEMS/main.cfm

U.S. Department of Labor  
Employment & Training Administration

HOME REPORTS FEEDBACK OPTIONS ROLE LOGOUT

### Monitoring Finding and Finding Updates History

Support Systems

**My Projects**

- AR UI Base Admin Appeals
- AR UI Base Admin Benefits
- AR UI Base Admin Claimant Reemployment
- AR UI Base Admin Integrity
- AR UI Base Admin Tax
- AR UI DUA
- AR UI TEUC
- AR UI Trade ATAA

Primary All

Close Calendar View

S	M	T	W	T	F	S
			1	2	3	4
						11
						18
						5
	26	27	28	29	30	

Role: FPO

**SAVE**

Impacted by an unanticipated escalation in normal workload, decrease in fully trained staff, and the resource demands of the genesis Project. Within one to two years, Arkansas is committed to meeting the Tier 1

**Required Action:**

1. Identify individual and organizational training needs related to quality determinations, and provide training as appropriate. (6/30/2005)
2. Increase staff awareness and understanding of the importance of quality determinations; identify areas for improvement; utilize continuous-improvement (CI) processes; enhance ownership and accountability; and actively pursue performance enhancements. Performance will be reviewed quarterly with teams and individuals. (3/31/2005)

**Due Date:** 06/30/2005

**Questioned Cost:**

**Performance/Corrective Action Plan Required:** Yes

**Comments:**

- Multi-year CAP
- Repeat CAP

**Manager(s):** Bill Jones

**Backup FPO(s):** Saic5 Saic5

Indicate if CAP is Multi-year or Repeat

SAVE when complete

Address: http://dol.saic-solutions.com/c

Go Desktop 4:50 PM

Use the Updates screen to add monitoring activities.

Click “ADD NEW” to enter new Update.

**NOTE:** “ADD NEW” will take you to the Updates screen

# Monitoring Findings and Findings Updates



Use the Updates screen to record monitoring activities on CAPs/Narratives

- **Update Title:**

✓ Enter a title of the update.

- **Update:**

✓ Provide a detailed description of the update.

- **Resolves Finding:**

✓ Indicate whether or not the update resolves the finding or milestone.

✓ Click the 'SAVE' button to save the update entry.

# Updates

Update - Microsoft Internet Explorer

AR UI Base Admin Benefits  
"UI Benefits"  
ARKANSAS EMPLOYMENT SECURITY DEPARTMENT

History > Detail > Finding > Update

Type	Start	Exit	Report	Status
SGSP	09/21/2004			N/A

Finding Type Title  
Performance Nonmonetary determinations, quality weighted score

Update Title: \* 2nd qtr update provided by state

Update: \* Provided train-the-trainer training on February 2, 2005. Identified staff in need of training and sceduled their attendance at scheduled training.

Resolves Finding: No

SAVE

Address <http://dol.saic-solutions.com/c> Go Desktop 10:58 AM

Enter a title of the update

Enter a detailed description of the update

Indicate whether or not the update resolves the corrective action

Use the Electronic Case File to save and edit documents associated with the project on the DOL servers.

SQSPs should be stored in the Electronic Case File.

To access the Electronic Case File, click the folder next to the Log module as illustrated in the diagram.

- **Step 1:**

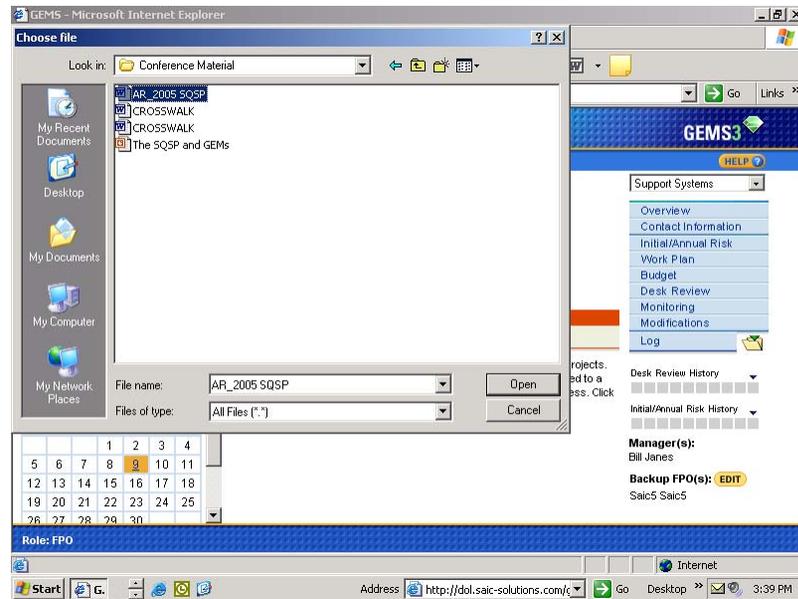
✓ Click the 'Browse' button to find a file to add to the case file.

# Project Electronic Case File

The screenshot shows the GEMS web application interface. The browser title is "GEMS - Microsoft Internet Explorer". The address bar shows "http://dol.saic-solutions.com/GEMS/main.cfm". The page header includes the U.S. Department of Labor logo and navigation links: HOME, REPORTS, FEEDBACK, OPTIONS, ROLE, LOGOUT. The main content area is titled "Project Electronic Case File" and shows details for the project "AR UI Base Admin Benefits". A "Browse..." button is visible next to the "Step 1:" label. Below this is a table with columns "File Name", "Uploaded", "Type", and "Size", and a message "No records found." A speech bubble points to the "Browse..." button with the text "Click the 'Browse' button to find a file to add to the case file". On the right side, there is a vertical menu with a folder icon circled, and a speech bubble pointing to it with the text "Electronic Case File". The footer shows the user's role as "FPO" and the time as 3:34 PM.

✓ Highlight the file to be attached, then click 'Open' to bring the file into GEMS.

# Project Electronic Case File



- Step 2:

✓ Click the 'Add' button to add the file displayed.

## Project Electronic Case File

The screenshot shows the GEMS web application interface. The browser title is "GEMS - Microsoft Internet Explorer". The address bar shows "http://dol.saic-solutions.com/GEMS/main.cfm". The page header includes the U.S. Department of Labor logo and navigation links: HOME, REPORTS, FEEDBACK, OPTIONS, ROLE, LOGOUT. The main content area is titled "Project Electronic Case File". On the left, there is a "My Projects" list with items like "AR UI Base Admin Appeals" and "AR UI Base Admin Benefits". The main content area shows "AR UI Base Admin Benefits" with a "Step 2: ADD" button highlighted. A blue callout bubble points to this button with the text "Click the 'ADD' button to add the file displayed". Below the button, there is a "File Name" field and a "No records found." message. The bottom of the page shows the role "FPO" and a calendar view.

Once the file has been added, click the arrow to view the document.

# Project Electronic Case File

The screenshot displays the GEMS web application interface within a Microsoft Internet Explorer browser window. The browser's address bar shows the URL <http://dol.saic-solutions.com/GEMS/main.cfm>. The page header includes the U.S. Department of Labor logo and the text "U.S. Department of Labor Employment & Training Administration" and "GEMS". Navigation links for HOME, REPORTS, FEEDBACK, OPTIONS, ROLE, and LOGOUT are visible. The main content area is titled "Project Electronic Case File" and features a "Support Systems" dropdown menu with options like Overview, Contact Information, Initial/Annual Risk, Work Plan, Budget, Desk Review, Monitoring, Modifications, and Log. On the left, a "My Projects" sidebar lists various project types such as "AR UI Base Admin Appeals" and "AR UI Base Admin Benefits". The central section, "AR UI Base Admin Benefits", shows a "Step 2: ADD" button and a table of uploaded files. The table has columns for File Name, Uploaded, Type, and Size. One file is listed: "AR\_2005 SQSP.doc", uploaded on "09/21/2004", with a size of "423 Kb" and a "REMOVE" button. Below the table, a text box explains that the Project E-Case File allows attaching files and that uploaded files are saved to a server for remote access. On the right, there are sections for "Desk Review History", "Initial/Annual Risk History", "Manager(s): Bill Janes", and "Backup FPO(s): Saic5 Saic5". The bottom of the browser window shows the Windows taskbar with the Start button, system tray icons, and the system clock displaying "3:41 PM".

File Name	Uploaded	Type	Size
AR_2005 SQSP.doc	09/21/2004		423 Kb