DWFS OPPORTUNITY PROCESSING OUTLINE: SELF-AUDITS

DWFS TEAM MEMBER	JOB POSITION	DAYS WITH THE COMPANY
Heather New Hire	**Case Manager**	**60 days**
STEP 1: HEATHER'S INTRODUCTION • WHO ARE YOU? • WHAT'S YOUR POSITION? • WHAT'S YOUR QUESTION?	**STEP 2: PARTICIPANT FEEDBACK** • CLARIFYING QUESTIONS • HEATHER'S IDEAL OUTCOME* • BARRIERS & CHALLENGES • SOLUTIONS	**STEP 3: BEST-PRACTICE SPEAKER** **TRAVIS ALLEN TALKS ABOUT THE BEST-PRACTICE BEHIND SELF-MONITORING**

HOW DO I: (PRESENTED BY HEATHER)

- **How can I effectively self-monitor?**

CLARIFYING QUESTIONS: (ASKED BY PARTICIPANTS)

- What is a self-audit?
- **What are your goals?** Meet performance expectations- expected to monitor 10% of her caseload each month and maintain an accuracy rate of 95% or better.
- **Are you familiar with all documents in the file?** Not all of them, no. I've only been here 60 days.
- **What are your priorities?** I have an extensive caseload and manage multiple programs; #1 priority is meeting with customers and their needs. #2 learn as much as I can.
- **How do you organize your caseload?** I was assigned certain cases. I have enrollment goals for WIOA cases.
- **How do I prioritize which cases to monitor?** I usually start with what I consider the 'hardest' ones – TANF files. I move from TANF to SNAP to WIOA.
- **Is there a particular area where you're most concerned about monitoring?** TANF files
- **What is the goal of a self-audit?** We are required to self-monitor so we can ensure the quality of our case files. Be prepared for other monitoring (state, board, etc.).
- **Who completes self-audits?** For us, it's case managers.
- **How do you define 'effectively'?** #1 meeting my deadlines; #2 maintain an accuracy rate of 95% or better; #3 complete the monitoring as quickly as possible.
- **How do you track progress?** I am not tracking my progress at the moment. I fill out the monitoring tool as I do the files…
- **How long does it take to audit one case?** For a WIOA case- 45 minutes to an hour. TANF- closer to 2 hours.
- **Do you schedule time to monitor ahead of time?** I've blocked off the last week of every month; blocked off 20 hours dedicated to monitoring.
- **Do you know how to find the information needed?** QPT added a column to the monitoring tool; most of the time YES. Sometimes I don't understand the clarification
- **Is there someone you can go to for assistance?** Asked my leads, QPT and program managers – whoever is available.

MY IDEAL OUTCOME IS: PRESENTED BY HEATHER)

- **That I spend as little time as possible on monitoring while still maintaining the accuracy rate of 95% or better.**

WHY IS IT SIGNIFICANT TO ANSWER HEATHER'S QUESTION? (ANSWERED BY PARTICIPANTS)

- **To keep errors down**
- **Better case management**
- **Increase productivity**
- **Make sure we are putting in accurate information**
- **Meet performance goals and maintainable error rate**
- **Help as many people as possible**
- **She can affect monitoring outcomes**
- **Maintain funding***

- Learn what our typical mistakes are so we can avoid them
- Provide better services
- Identify is more training is needed
- So we can hold ourselves accountable – more placements and more services
- Keep our contracts as DYNAMIC
- So if we transfer cases, the next case manager can proceed without the client having to retell their story*

BARRIERS & CHALLENGES – WHAT ARE HEATHER'S BARRIERS & CHALLENGES?

- Not having a full understanding of the questions on the self-audit
- Time management*****
- Lack of training on self-monitoring
- High caseloads*****
- Inherited a file from another case worker that did not self-monitor; missing data
- Not knowing who the best person is to ask for help
- Balancing time- supporting clients VS time to audit
- Unrealistic expectations
- Special programs and grants product knowledge
- Lack of support
- Finding mistakes you made in the past
- Non person centered planning for the case manager to effectively grow
- Technical issues; not understanding the monitoring tool
- Loss of internet connection

SOLUTIONS – WHAT ARE SOLUTIONS TO HEATHER'S POTENTIAL BARRIERS AND CHALLENGES?

- USING A CHECKLIST
- STICKING TO A TIMELINE
- SCHEDULING: DAILY TIME TO MONITOR
- FINDING A MENTOR
- CLARIFYING EXPECTATIONS WITH A LEAD OR SUPERVISOR
- SETTING WEEKLY COMPLETION GOALS
- ASKING FOR MORE TRAINING
- TALK TO YOUR LEADER DURING YOUR 1-ON-1
- UTILIZING A CALENDAR
- SETTING REMINDERS
- TRAIN WITH FELLOW CASE MANAGERS
- KEEPING YOUR POLICIES CLOSE AT HAND
- BEING WELL RESTED WHILE ENGAGING IN TEDIOUS TASKS
- STAY CAUGHT UP
- COMMUNICATE!
- TRY TO REDUCE INTERRUPTIONS
- ADVISE LEADERSHIP IF YOU FEEL OVERWHELMED
- TRY TO MAKE IT FUN
- CLOSE OUT CASES TO REDUCE CASE LOAD SIZE
- ANALYZE PREVIOUS MISTAKES; LOOKING AT PAST TRENDS
- BE HONEST ABOUT MISTAKES AND FAILURES
- DON'T MULTI-TASK WHILE MONITORING

Best Practice Speaker: (Travis Allen answers Heather's question)

- Background:
  - Been in workforce for 15 years
  - Started our as disabled veterans outreach specialist
  - Worked as a youth program manager
  - Current quality manager for certain projects
  - Had several opportunities to be in different positions within workforce development
- Current role:
  - Corporate quality specialist
  - Previously worked with El Paso, OK projects, and currently working in Kansas, Pittsburgh, Florida, and more…. 😊
  - Commitment to helping our internal and external customers
- What makes you an expert?
  - Had to do monitoring or auditing in every position I've had
  - I've monitored myself and specific employees; now I monitor programs, etc.
  - I get to see challenges and best practices of different projects and identify best practices
- What is the best practice?
  - Closing out cases
    - Reduces caseload
  - Blocking off time each week
    - Might be more effective to block of time each day?
  - Use a calendar; setting reminders
    - Utilizing the outlook calendar
    - With growing caseloads, it's easy to lose track of things
    - Outlook is a great tool to set reminders and customize your day/week/etc.
    - Color coding*
  - Finding a mentor
    - Ask the QPT who has had the best error rate for a long period of time
    - Try to work with this person as a mentor- whatever they do is working!
  - Monitor as you go
    - Either develop a spreadsheet (or use project developed tool)
    - Update customer information using the tool throughout the day
  - Learn your state and local systems (MIS systems)
    - Learn how to pull your own reports on your cases
    - Ask your team how data is pulled?
    - If you can pull reports yourself, you can identify issues yourself and address issues before it teaches the supervisor – proactive instead of reactive

- Additional questions:
  - How often do I self-audit?
    - At a minimum, 25% of what you're required to do each week…
    - Travis recommends doing 33% of what is required so that way, the last week of the month, you don't have to do any monitoring.
    - If you have hiccups or interruptions, this won't hurt you.
  - Is there an audit tool available for all projects?
    - ***Yes- every project has their own tool***; no corporate tool at the moment.
    - Each state is different with federal policy; each local area is different, etc.
  - Do you have to be a manager to have access to the reports?
    - Depends on your state system and your access level
    - Reach out to local QPT and find our what your state system allows
  - How can a lead monitor case managers (other than random checks)?

- Monitor the files that the case manager self-monitored the previous month
- Hopefully you find the same things they found – or nothing needs corrected
- Do this in addition to random checks if time allows

- What happens if I find an error? Do I correct immediately or wait till a later date?
  - Correct it on the spot!
  - Self-monitoring does not count towards monthly error rate. Management wants to know what your accuracy rate is so we can focus on areas to train, but when we look at a projects overall accuracy rate, we do not include self-monitoring results – So, if you correct it on the spot, it is not going to have any impact on your accuracy rate
- How do you guard against bias when auditing files?
  - More importantly than accuracy rate is identifying our issues and challenges so we can correct them
  - Trying to protect our jobs and protect the whole company
- Self-auditing during COVID-19
  - Review information in the state systems instead of the physical files
  - Communicate with partners, board members, and be solutions driven
  - Stick with the information in your state system (most likely)
- Should I list errors, corrections, or both?
  - Depends on the tool you are using
  - Ideally, you'd do both***
- How long should it take to do a self-audit?
  - Depends on your experience…
  - Depends on caseload size and the percentage you have to review based on quality plan
- How often should a project re-train?
  - Any time an audit element changes, implement training (at least the specific element)
  - Any time you have a program (ex: TANF or SNAP) that has an accuracy rate that is below 95% for three consecutive months, you have an issue and need to re-train
  - Root-cause analysis – is this specific individuals or the entire project?
  -