

Question #: ERO RO2 SOP #1

Question: Close Rapid Response within 75 calendar days of receipt of complaint/ event

<u>Entity #</u>	<u>Setup Folder</u>	<u>Close Folder</u>	<u>Difference (Days)</u>	<u>Findings</u>
				N/A

Question #: ERO RO2 SOP #2

Question: Close Level 1 Priority within 160 calendar days of receipt of complaint/ event

ECM #	Perform Investigation (Task Receivedate)	Close Folder	Difference (Days)	Findings
26938	10/2/2009	12/3/2009	61	
26007	9/29/2009	1/15/2010	106	
25088	9/17/2009	3/17/2010	180	
33104	10/9/2009	11/17/2009	38	
33737	10/27/2009	1/26/2010	89	
29255	11/23/2009	12/3/2009	10	
33306	10/16/2009	12/3/2009	47	
20328	7/7/2009	4/20/2010	283	
15167	5/5/2009	11/30/2009	205	
40284	1/5/2010	4/29/2010	114	
16939	5/28/2009	3/8/2010	280	
22943	8/5/2009	12/2/2009	117	
34653	11/27/2009	4/27/2010	150	
42192	2/17/2010	3/9/2010	22	
43039	3/17/2010	4/6/2010	19	
AVG:			115	

Business Premise
not listed
not listed
Business Premise
PSP Office
PSP Office
PSP Office
Business Premise
Business Premise
Business Premise
PSP Office
Business Premise
Business Premise
Business Premise
Business Premise
Business Premise

Question #: ERO RO2 SOP #3

Question: Close Level 2 Priority within 100 calendar days of receipt of complaint/ event

ECM#	Perform Investigation (Task Receivedate)	Close Folder	Difference (Days)	Findings	
18593	6/16/2009	10/21/2009	125		PSP Office
20760	7/13/2009	1/27/2010	194		PSP Office
18958	6/19/2009	3/23/2010	274		Business Premise
3460	4/2/2009	1/20/2010	288	A significant amount of time was spent re-routing the investigation (From 4/02/09 - 4/27/10).	PSP Office
33915	11/3/2009	11/23/2009	20		PSP Office
22831	8/4/2009	2/10/2010	186	According to the ECM Workflow status, a significant amount of time was spent re-routing the investigation (From 08/05/09 - 12/22/09). However, notes indicate preliminary investigation started on 10/07/2009. Additional information was provided from another agent on 12/22/09 and appears this investigation was being worked by prior to 2/9/10.	not listed
19032	6/20/2009	10/15/2009	115	According to the ECM Workflow status, a significant amount of time was spent re-routing the investigation (From 6/22/09 - 10/15/09). However, according to the notes, from 06/22/09 to 09/30/09 the agent repeatedly contacted the entity and insurance company by phone in an attempt to help the entity to secure his bond. It appears an investigation was not initiated because the corrected registration and bonding paper work was received at ERO on 10/15/10.	PSP Office
25249	9/18/2009	12/27/2009	99		Business Premise
20114	7/2/2009	2/4/2010	212	A significant amount of time was spent re-routing the investigation (From 7/02/09 - 2/04/10). According to ECM, there are two entries for "Performing Investigation," however, the notes do not support the huge delay between the two dates (7/27/09 - 2/4/10). It appears the first action taken was on 7/27/09 and no further action occurred until 2/04/10.	Business Premise
40209	12/29/2009	4/29/2010	120		PSP Office
33442	10/19/2009	3/22/2010	153		Business Premise
26318	10/1/2009	11/12/2009	41		Business Premise
25406	9/24/2009	2/11/2010	137		Business Premise
24658	9/3/2009	11/13/2009	70		Business Premise
20114	7/2/2009	2/4/2010	212		Business Premise
AVG:			150		

Question #: RO-2 SOP Checklist #2

For complaints deemed "terminated", the AMS entry is closed with an

Question: explanation in the notes file

EMC #	Closed with Notes	Findings
21277	Yes	
33795	Yes	
26830	Yes	
24599	Yes	
39932	Yes	
3465	Yes	
32745	Yes	
43112	Yes	
33221	Yes	
33864	Yes	

Question #: RO-2 SBP #1

Question: Initiate Rapid Response investigation within two business days from time of complaint/event

ECM #	Set Up Folder	Assign to Agent	Difference (Days)	Findings
				N/A. None in timeframe.

Question #: RO-2 SBP #2

Question: Investigation and its related Enforcement were completed within timeframes established by the SOPs

R2

Priority	Invclosereason	ECM #	Invcreatedate	Enclosedate	Difference (Days)	Findings
R2	NOV				N/A	N/A. None in timeframe.
					AVG:	
Priority	Invclosereason	ECM #	Invcreatedate	Plddatereceived	Difference (Days)	Findings
R2	Formal				N/A	N/A. None in timeframe.
					AVG:	

L1

Priority	Invclosereason	ECM #	Invcreatedate	Plddatereceived	Difference (Days)	Findings
L1	Formal Case	16867	05/27/2009	02/18/2010	261	
L1	Formal Case	19333	06/24/2009	12/23/2009	179	
L1	Formal Case	26938	10/02/2009	12/11/2009	69	Inadequate notes but other documentation appears to be complete.
L1	Formal Case	15267	05/06/2009	05/28/2010	382	Inadequate notes to justify extensive delay in completion. The agent took approximately 3 months to complete the transmittal letter and another 3 months for supervisor approval. Enforcement took 6 months. From NOV to May, there are no notes to indicate delay.
L1	Formal Case	16188	05/18/2009	12/01/2009	193	
					AVG:	217
Priority	Invclosereason	ECM #	Invcreatedate	Enclosedate	Difference (Days)	Findings
L1	NOV	34690	11/30/2009	03/05/2010	95	
L1	NOV	34072	11/06/2009	12/10/2009	34	Perform investigation appears to be only 1 day. Entire investigation process took only 13 days and the remained of time was spent completing enforcement process.
L1	NOV	34419	11/18/2009	06/04/2010	196	Notes indicate to refer to "Email Notes" but these notes are not found in folder.
L1	NOV	42377	02/23/2010	04/01/2010	38	Perform investigation appears to be only 6 days. No investigation subprocess module in folder. Appears investigation was handled by phone.
L1	NOV	35066	12/11/2009	03/05/2010	84	
					AVG:	89

L2

Priority	Invclosereason	ECM #	Invcreatedate	Plddatereceived	Difference (Days)	Findings
L2	Formal Case	18958	06/19/2009	04/05/2010	286	Document type is being used incorrectly for the documents in the folder. Inadequate notes to track the delayed process.
L2	Formal Case	33442	10/19/2009	04/09/2010	170	General Note - More investigations could have been used but the related enforcements were not completed/indicated. See 24658 as example.
					AVG:	228
Priority	Invclosereason	ECM #	Invcreatedate	Enclosedate	Difference (Days)	Findings
L2	NOV	18593	06/16/2009	11/16/2009	150	It appears to follow the standard process for investigations but the notes do not indicate why there is a delay in completion.
L2	NOV	25406	09/24/2009	02/19/2010	145	It appears to follow the standard process for investigations.
					AVG:	148

Question #: RO-2 PSAS Checklist #1

Question: Investigation data complete for Outcome tab and for complete Violation tab, if applicable?

EMC #	Outcome & Violation Tab Complete?	Findings
29255	No	Outcome Field Blank
34439	No	Outcome Field Blank
20328	No	Outcome Field Blank
34455	No	Outcome Field Blank
40284	No	Outcome Field Blank
22831	No	Outcome Field Blank
19032	Yes	
25249	No	Outcome Field Blank
20114	No	Violation Field Blank
40209	Yes	

Question #: RO-2 PSAS Checklist #2

Question: Species and Enforcement field complete?

<u>EMC #</u>	<u>Species & Enforcement Field Complete?</u>	<u>Findings</u>
29255	No	Species and Enforcement field Blank
34439	Yes	
20328	No	Enforcement field Blank
34455	Yes	
40284	No	Species and Enforcement field Blank
22831	No	Enforcement field Blank
19032	No	Species and Enforcement field Blank
25249	No	Enforcement field Blank
20114	No	Enforcement field Blank
40209	Yes	

Question #: RO-2 PSAS Checklist #3

Question: Are Notes tab clear and easy to understand?

<u>EMC #</u>	<u>Notes Tab Clear & Easy to understand?</u>	<u>Findings</u>
21277	Yes	
33795	Yes	
26830	Yes	
24599	Yes	
39932	Yes	
3465	Yes	
32745	Yes	
43112	No	
33221	Yes	
33864	Yes	