

Question #: RO-2 SOP #1

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

<u>ECM#</u>	<u>Perform Investigation (Task Receivedate)</u>	<u>Close Folder</u>	<u>Difference (Days)</u>	<u>Findings</u>
				No rapid responses conducted during this timeframe

Question #: RO-2 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
34007	11/5/2009	11/27/2009	22	
33428	10/19/2009	11/19/2009	30	
20586	7/9/2009	11/12/2009	123	
25831	9/28/2009	12/1/2009	63	
33784	10/28/2009	2/24/2010	116	
18694	10/23/2009	10/26/2009	3	
42414	2/17/2010	3/8/2010	21	
42151	2/16/2010	2/22/2010	6	
21644	10/14/2009	10/15/2009	1	
42415	2/26/2010	3/8/2010	12	
22064	7/27/2009	1/27/2010	180	
34071	11/6/2009	11/12/2009	6	
39961	12/14/2009	1/4/2010	20	
42108	2/12/2010	2/17/2010	5	
42742	3/8/2010	4/12/2010	34	
AVG:			43	

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Question #: RO-2 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
24912	9/13/2009	12/1/2009	78	
41432	1/26/2010	4/8/2010	72	
22510	7/31/2009	1/6/2010	156	A significant amount of time was spent re-routing the investigation (From 8/18/09 - 9/22/09), which includes several entries for "Perform Investigation."
34400	11/18/2009	12/1/2009	13	
24722	9/6/2009	10/30/2009	54	A significant amount of time was spent re-routing the investigation (From 9/17/09 - 10/2/09), which includes several entries for "Perform Investigation."
24936	9/14/2009	1/11/2010	117	
41792	2/2/2010	4/5/2010	63	
42785	3/9/2010	4/15/2010	36	
33158	10/13/2009	3/31/2010	168	
24583	9/2/2009	10/7/2009	35	
33199	10/14/2009	1/7/2010	83	
33646	10/23/2009	12/3/2009	40	
35033	12/10/2009	4/29/2010	139	
41555	1/27/2010	4/26/2010	89	
2557	3/6/2009	10/14/2009	218	
AVG:			91	

PSP Office
Business Premise

PSP Office
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Question #: RO-2 SBP #1

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

ECM #	Setup Folder	Assign Agent & Priority	Difference (Days)	Findings
				No rapid responses during this 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	Plddatereceived	Difference (Days)	Findings
R2						N/A. None in timeframe.

L1

Priority	Invclosereason	ECM #	Invcreatedate	Plddatereceived	Difference (Days)	Findings
L1	Formal Case	34801	12/03/2009	02/03/2010	60	For this failure to pay when due, subprocess module was not attached.
L1	Formal Case	34631	11/25/2009	01/22/2010	57	
L1	Formal Case	33774	10/28/2009	12/17/2009	49	
L1	Formal Case	34686	11/30/2009	12/11/2009	11	Synopsis of Facts on Investigative Report indicates the investigation was conducted on 11/16/09, however the folder in ECM was not setup in ECM until 11/30/09. Dates on folder do not match case file. No approval signature from Legal Specialist, Regional Director or Supervisor.
L1	Formal Case	34092	11/09/2009	01/04/2010	55	
					AVG:	46

Priority	Invclosereason	ECM #	Invcreatedate	Enfclosedate	Difference (Days)	Findings
L1	NOV	34091	11/09/2009	01/08/2010	59	
L1	NOV	34001	11/05/2009	01/11/2010	66	
L1	NOV	34155	11/10/2009	12/11/2009	31	For this custodial shortage investigation, no supporting documentation was included in folder.
L1	NOV	34006	11/05/2009	12/18/2009	43	For this delinquent custodial account, no supporting documentation was included in folder.
L1	NOV	41660	01/28/2010	04/12/2010	74	
					AVG:	50

L2

Priority	Invclosereason	ECM #	Invcreatedate	Plddatereceived	Difference (Days)	Findings
L2	Formal Case	33646	10/23/2009	02/05/2010	102	
L2	Formal Case	40497	01/11/2010	05/07/2010	116	Documentation provided, but it appears not all work is being captured in PSAS.
L2	Formal Case	41111	01/20/2010	05/10/2010	110	
L2	Formal Case	33676	10/26/2009	05/25/2010	209	
L2	Formal Case	42785	03/09/2010	05/13/2010	64	Failure to Remit When Due, supervisor did not sign subprocess module.
					AVG:	120

Priority	Invclosereason	ECM #	Invcreatedate	Enfclosedate	Difference (Days)	Findings
L2	NOV					N/A. None in timeframe.
					AVG:	

Question #: RO-2 SOP Checklist #2

Question: For complaints deemed "terminated", the AMS entry is closed with an explanation in the notes file

<u>EMC #</u>	<u>Closed with Notes</u>	<u>Findings</u>
25792	Yes	
44281	Yes	
41682	Yes	
34156	No	Folder was closed without proper descriptive note.
40337	Yes	
40168	Yes	
41425	Yes	
41785	Yes	
17457	Yes	
3096	Yes	

Question #: RO-2 PSAS Checklist #1

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

<u>EMC #</u>	<u>Outcome & Violation Tab Complete?</u>	<u>Findings</u>
18694	Yes	
42414	No	Outcome Field Blank
42151	No	Outcome Field Blank
21644	Yes	
42415	No	Outcome Field Blank
24936	Yes	
41792	Yes	
42785	Yes	
33158	Yes	
24583	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>
18694	Yes	
42414	No	Enforcement Field Blank
42151	Yes	
21644	Yes	
42415	No	Enforcement Field Blank
24936	Yes	
41792	Yes	
42785	Yes	
33158	Yes	
24583	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>
25792	Yes	
44281	Yes	
41682	Yes	
34156	Yes	
40337	Yes	
34156	Yes	
41425	Yes	
34211	Yes	
17457	Yes	
3096	Yes	