

Question #: RO2 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>
24060	8/18/2009	10/26/2009	48	
42821	3/10/2010	4/1/2010	16	Documentation in investigation folder is complete
42691	3/5/2010	3/25/2010	14	Documentation in investigation folder is complete
AVG:			26	

Question #: 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
23191	8/7/2009	12/23/2009	136	
24206	8/24/2009	10/8/2009	44	
41445	1/26/2010	2/17/2010	21	Document type is incorrect; subprocess module not signed by Supervisor however, the approval field was checked as "approved", which seems to be the norm; (PMT decision does both have to be completed for approval)
42239	2/18/2010	4/1/2010	43	
33683	10/26/2009	12/31/2009	65	
20481	7/8/2009	12/14/2009	156	Document type is incorrect
34269	11/13/2009	2/8/2010	85	
24324	8/26/2009	3/22/2010	206	
34194	11/12/2009	1/28/2010	76	Notes incomplete
33541	10/21/2009	3/23/2010	152	
21633	7/22/2009	1/25/2010	183	
24392	8/28/2009	10/27/2009	59	
33912	11/2/2009	12/30/2009	58	
34560	11/23/2009	4/1/2010	128	
42201	2/17/2010	4/9/2010	52	
AVG:			98	

Business Premise

Business Premise

Business Premise

Business Premise

not listed

PSP Office

Business Premise

Question #: 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
26247	9/30/2009	3/19/2010	169	
26249	9/30/2009	1/26/2010	116	
33123	10/9/2009	2/3/2010	114	
33164	10/13/2009	1/15/2010	92	
33840	10/7/2009	3/11/2010	154	
35039	12/10/2009	12/11/2009	1	This Failure to Pay, appears to have been worked outside PSAS because there is no supporting documentation included in the folder (subprocess module, investigation case file). However, there was a one page abbreviated report that indicates the investigation started 11/23/09.
32033	10/8/2009	3/1/2010	143	
22253	7/28/2009	12/2/2009	124	
15402	5/7/2009	11/6/2009	179	
17542	6/3/2009	12/1/2009	178	
25196	9/18/2009	10/21/2009	33	
34056	11/6/2009	2/1/2010	85	
40200	12/29/2009	3/23/2010	84	
40312	1/6/2010	1/25/2010	19	
44090	4/12/2010	4/28/2010	16	
AVG:			100	

not listed
 Business Premise
 Business Premise
 Business Premise
 Business Premise

Business Premise
 Business Premise
 Business Premise
 Business Premise
 PSP Office
 Business Premise
 Business Premise
 Business Premise
 Business Premise

Question #: RO-2 SBP #1

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

<u>ECM #</u>	<u>Set Up Folder</u>	<u>Assign to Agent</u>	<u>Difference (Days)</u>	<u>Findings</u>
24060	8/18/2009	8/19/2009	1	Did not access PSAS to assign the work until after the investigation was conducted. Does not include notes to justify.
42821	3/10/2010	3/10/2010	0	Appear to be a delay in the time it took to reassign the investigation from MRO to WRO.
42691	3/5/2010	3/5/2010	0	Notes are not sufficient to validate why investigation was reassigned.

Question # RO-2 SBP #2

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

R2

Priority	Invclose reason	ECM #	Invcreatedate	Enclosedate	Difference (Days)	Findings
R2	NOV	24060	8/18/2009	11/18/2009	90	
					AVG:	90
Priority	Invclose reason	ECM #	Invcreatedate	Plddatereceived	Difference (Days)	Findings
R2	Formal	42821	3/10/2010	4/14/2010	34	
R2	Formal	42691	3/5/2010	4/29/2010	54	
					AVG:	44

L1

Priority	Invclose reason	ECM #	Invcreatedate	Plddatereceived	Difference (Days)	Findings
L1	Formal Case	33541	10/21/2009	03/19/2010	148	
L1	Formal Case	33852	10/30/2009	3/30/2010	150	
L1	Formal Case	34194	11/12/2009	2/4/2010	82	Notes incomplete
L1	Formal Case	23185	8/7/2009	2/24/2010	197	
L1	Formal Case	33196	10/14/2009	03/16/2010	152	
					AVG:	146
Priority	Invclose reason	ECM #	Invcreatedate	Enclosedate	Difference (Days)	Findings
L1	NOV	33912	11/02/2009	01/28/2010	86	
L1	NOV	34457	11/19/2009	01/27/2010	68	
L1	NOV	42035	02/10/2010	4/5/2010	55	Took 8 days to complete the investigation and 47 days to complete the enforcement (NOV)
L1	NOV	40112	12/23/2009	02/09/2010	46	Notes not included; only took one day to complete the investigation and 45 days to complete the enforcement (create/approve/mail NOV)
L1	NOV	22443	7/30/2009	12/2/2009	122	
					AVG:	75

L2

<u>Priority</u>	<u>Invcloseason</u>	<u>ECM #</u>	<u>Invcreatedate</u>	<u>Plddatereceived</u>	<u>Difference (Days)</u>	<u>Findings</u>
L2	Formal Case	24165	8/21/2009	2/22/2010	181	
L2	Formal Case	33256	10/15/2009	06/15/2010	240	Documentation complete
L2	Formal Case	33565	10/21/2009	02/04/2010	103	Documentation complete, however, the subprocess module was not signed by the Agent or Supervisor
L2	Formal Case	15402	5/7/2009	11/6/2009	179	
L2	Formal Case	15925	5/15/2009	10/6/2009	141	
				AVG:	175	
<u>Priority</u>	<u>Invcloseason</u>	<u>ECM #</u>	<u>Invcreatedate</u>	<u>Enclosedate</u>	<u>Difference (Days)</u>	<u>Findings</u>
L2	NOV	40312	1/6/2010	2/19/2010	43	Documentation complete
L2	NOV	44090	4/12/2010	5/26/2010	44	Document type incorrect
L2	NOV	24453	8/28/2009	1/21/2010	143	
L2	NOV	25697	9/28/2009	1/28/2010	120	Documentation complete
L2	NOV	19817	6/29/2009	12/7/2009	158	
				AVG:	102	

Question #: RO-2 SOP Checklist #2

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

Region	ECM Control #	Closed with Notes	Findings
WRO	29666	Yes	
WRO	20122	Yes	
WRO	40277	Yes	
WRO	13700	Yes	
WRO	33577	Yes	
WRO	32743	Yes	
WRO	33220	Yes	
WRO	15641	Yes	
WRO	33488	Yes	
WRO	33659	Yes	

Question #: RO-2 PSAS Checklist #1

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

<u>ECM #</u>	<u>Outcome & Violation Tab Complete?</u>	<u>Findings</u>
3232	No	Outcome & Violation Fields Blank
15402	Yes	
16452	No	Outcome Field Blank
18584	Yes	
20759	No	Outcome Field Blank
35039	Yes	
26249	Yes	
22253	No	Outcome Field Blank
15402	Yes	
17542	Yes	

Question #: RO-2 PSAS Checklist #2

Question: Species and Enforcement field complete?

<u>ECM#</u>	<u>Species & Enforcement Field Complete?</u>	<u>Findings</u>
3232	No	Enforcement Field Blank
15402	Yes	
16452	No	No Type and No Enforcement
18584	No	Enforcement Field Blank
20759	No	Enforcement Field Blank
35039	Yes	
26249	Yes	
22253	Yes	
15402	Yes	
17542	No	No Type and No Enforcement

Question #: RO-2 PSAS Checklist #3

Question: Are Notes tab clear and easy to understand?

<u>ECM #</u>	<u>Notes Tab Clear & Easy to understand?</u>	<u>Findings</u>
29666	Yes	
20122	Yes	
40277	Yes	
13700	Yes	
33577	Yes	
32743	Yes	
33220	Yes	
15641	Yes	
33488	Yes	
33659	Yes	