



State of Florida
Agency for Workforce Innovation

State of Florida
Unemployment Compensation Project – Phase 2

As-Is Business Process – Disaster Unemployment Assistance

Document Control

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Table of Contents

1	PURPOSE AND OBJECTIVES OF THE DISASTER UNEMPLOYMENT ASSISTANCE (DUA) CORE PROCESS OVERVIEW	1
1.1	BEGINNING AND ENDING POINTS	1
1.2	DISASTER UNEMPLOYMENT ASSISTANCE (DUA) CORE PROCESS DIAGRAM.....	3
1.3	DISASTER UNEMPLOYMENT ASSISTANCE (DUA) CORE PROCESS ACTIVITIES.....	4
1.4	DISASTER UNEMPLOYMENT ASSISTANCE (DUA) CORE PROCESS - PROCESS ATTRIBUTES	4
2	PURPOSE AND OBJECTIVES OF THE DUA MOBILIZATION SUB-PROCESS.....	5
2.1	BEGINNING AND ENDING POINTS	5
2.2	DUA MOBILIZATION DIAGRAM.....	6
2.3	DUA MOBILIZATION ACTIVITIES	8
2.4	PROCESS ATTRIBUTES.....	11
2.4.1	Elapsed Time	12
2.4.2	Paper Documentation.....	12
2.4.3	Business System Data Entry & Data Transfer	13
2.4.4	Communication.....	15
2.4.5	Opportunities	17
3	PURPOSE AND OBJECTIVES OF THE ELIGIBILITY DETERMINATION SUB-PROCESS	18
3.1	BEGINNING AND ENDING POINTS	18
3.2	ELIGIBILITY DETERMINATION SUB-PROCESS DIAGRAM	19
3.3	ELIGIBILITY DETERMINATION SUB-PROCESS ACTIVITIES	22
3.4	PROCESS ATTRIBUTES.....	23
3.4.1	Elapsed Time	23
3.4.2	Paper Documentation.....	25
3.4.3	Business System Data Entry & Data Transfer	26
3.4.4	Communication.....	27
3.4.5	Opportunities	28
4	PURPOSE AND OBJECTIVES OF THE PROCESS DUA CERTIFICATIONS SUB-PROCESS	29
4.1	BEGINNING AND ENDING POINTS	29
4.2	PROCESS DUA CERTIFICATIONS SUB-PROCESS DIAGRAM	30
4.3	PROCESS DUA CERTIFICATIONS SUB-PROCESS ACTIVITIES	31
4.4	PROCESS ATTRIBUTES.....	32
4.4.1	Elapsed Time	32
4.4.2	Paper Documentation.....	32
4.4.3	Business System Data Entry & Data Transfer	33
4.4.4	Communication.....	34
4.4.5	Opportunities	35
5	PURPOSE AND OBJECTIVES OF THE AMEND DECLARATION SUB-PROCESS	

5.1 BEGINNING AND ENDING POINTS37

5.2 AMEND DECLARATION SUB-PROCESS DIAGRAM.....38

5.3 AMEND DECLARATION SUB-PROCESS ACTIVITIES.....38

5.4 PROCESS ATTRIBUTES.....39

5.4.1 Elapsed Time39

5.4.2 Paper Documentation.....39

5.4.3 Business System Data Entry & Data Transfer40

5.4.4 Communication.....41

5.4.5 Opportunities42

1 PURPOSE AND OBJECTIVES OF THE DISASTER UNEMPLOYMENT ASSISTANCE (DUA) CORE PROCESS OVERVIEW

The Disaster Unemployment Assistance (DUA) program provides payments and reemployment assistance to eligible persons (including the self-employed). Eligible recipients of this assistance are those citizens who:

- (1) Have lost employment as a direct consequence of a major disaster, and
- (2) Are not eligible for other unemployment compensation benefits.

Disasters are defined as hurricanes, tornados, wild fires, floods, and the like. In order for this process to be carried out in response to a particular disaster, the President of the United States must issue a disaster declaration at the request of the Governor of the State of Florida.

The DUA program's assistance does not begin until a claimant provides acceptable proof of:

- Prior wages and/or employment,
- Ineligibility for (or exhaustion of all remaining) unemployment compensation, and
- That their need for assistance is a direct result of the disaster.

In order to qualify for Disaster Unemployment Assistance (DUA) the claimant must satisfy one of the following conditions:

- The unemployment is the direct result of the major disaster
- The individual is unable to reach the place of employment as a direct result of the major disaster
- The individual was to commence employment and does not have a job or is unable to reach the job as a result of the major disaster
- The individual has become the breadwinner or major support for a household because the head of the household has died as a result of the major disaster
- The individual cannot work because of an injury caused as a result of the major disaster.

The objectives for the Disaster Unemployment Assistance (DUA) Core Process include:

- Documenting DUA claims processes as distinct from other claims processes.

The Disaster Unemployment Assistance Process includes the following sub-processes:

- DUA Mobilization
- Eligibility Determination
- Process DUA Certifications
- Amend Declaration

1.1 BEGINNING AND ENDING POINTS

Beginning Point:

- A disaster occurs, and

- The Governor asks the President to issue a disaster declaration, and
- The President issues the requested declaration, and
- The disaster causes a claimant to apply for DUA benefits.

Ending Point:

- Claimant is determined to be ineligible, and is denied DUA benefits, or
- Claimant is approved for, and receives DUA benefits, and
- Current files are sent to Imaging.

1.2 DISASTER UNEMPLOYMENT ASSISTANCE (DUA) CORE PROCESS DIAGRAM

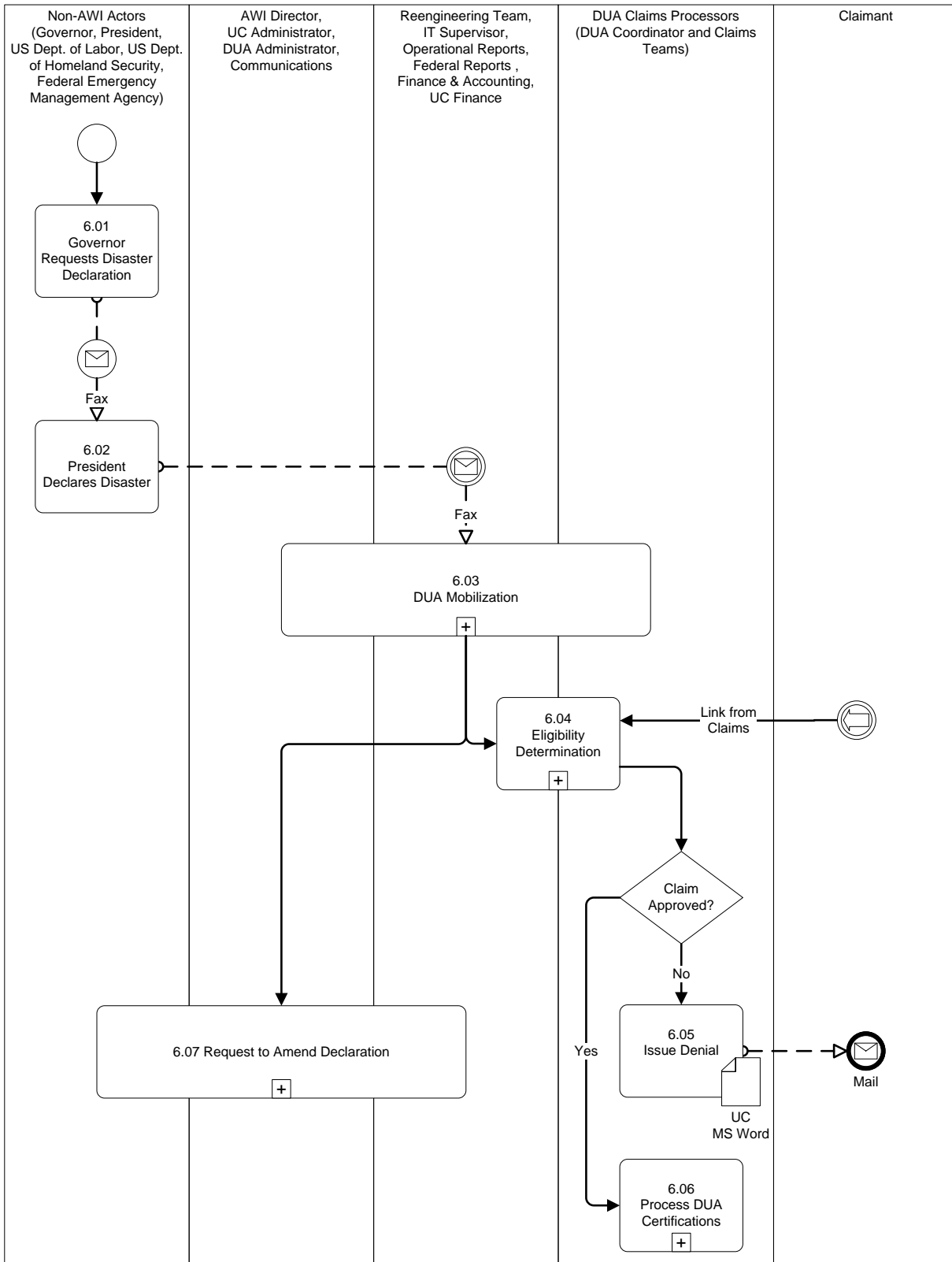


Exhibit 1 – High Level Disaster Unemployment Assistance (DUA) Core Process - Process Flow

1.3 DISASTER UNEMPLOYMENT ASSISTANCE (DUA) CORE PROCESS ACTIVITIES

Exhibit 2 – Disaster Unemployment Assistance (DUA) Core Process Activities lists the activities that make up the Disaster Unemployment Assistance (DUA) Core Process. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity.
Actors	The job or role title of the individuals having a primary role for that activity.

Index	Activity Label	Activity Description	Actors
6.01	Governor Requests Disaster Declaration	Requests that the President declare that a natural disaster has occurred.	Governor
6.02	President Declares Disaster	Issues declaration of natural disaster. The declaration establishes the date the disaster occurred (identifies the beginning of the benefit period), and specifies the counties affected (one factor used in determining eligibility of claimants).	President
6.03	DUA Mobilization	Responds to the President’s declaration by activating the DUA response effort within the agency. Teams assemble, IT systems go on-line, reporting structures activate, and financial monitoring begins.	AWI Director, UC Administrator, DUA Administrator, Communications, Reengineering Team, IT Supervisor, Operational Reports, Federal Reports, Finance & Accounting, UC Finance, DUA Claims Processors (DUA Coordinator and Claims Teams)
6.04	Eligibility Determination	Claims Processing Teams respond to potential DUA claims.	Operational Reports, Federal Reports, Finance, DUA Claims Processors
6.05	Issue Denial	Sends claimant notice when claim does not meet DUA criteria.	DUA Claims Processors
6.06	Process DUA Certifications	Process certifications of weeks when claimant meets criteria for DUA.	DUA Claims Processors
6.07	Amend Declaration	As response to the disaster unfolds, UC may request an amended declaration	UC Finance, US Dept. of Labor Regional Office

Exhibit 2 – Disaster Unemployment Assistance (DUA) Core Process Activities

1.4 DISASTER UNEMPLOYMENT ASSISTANCE (DUA) CORE PROCESS - PROCESS ATTRIBUTES

The following sections present the recorded details about specific activities in the Disaster Unemployment Assistance (DUA) Core Process. The information is arranged in this way to support analysis of these activities; both individually and collectively.

2 PURPOSE AND OBJECTIVES OF THE DUA MOBILIZATION SUB-PROCESS

The DUA Mobilization Sub-Process is composed of the Agency's activities that are carried out to initiate DUA operations in the event the President issues an official disaster declaration. Teams are assembled, systems are brought on-line, and communications are established in preparation for processing claims for disaster unemployment assistance.

Objectives for this sub-process include:

- Publishing key dates and other essential data for claimants, claims takers, and claims processors
- Estimating benefits and administrative costs associated with the disaster
- Activating DUA processes in AWI-UC computing and claims taking systems
- Activating organizational and federal reporting structures

2.1 BEGINNING AND ENDING POINTS

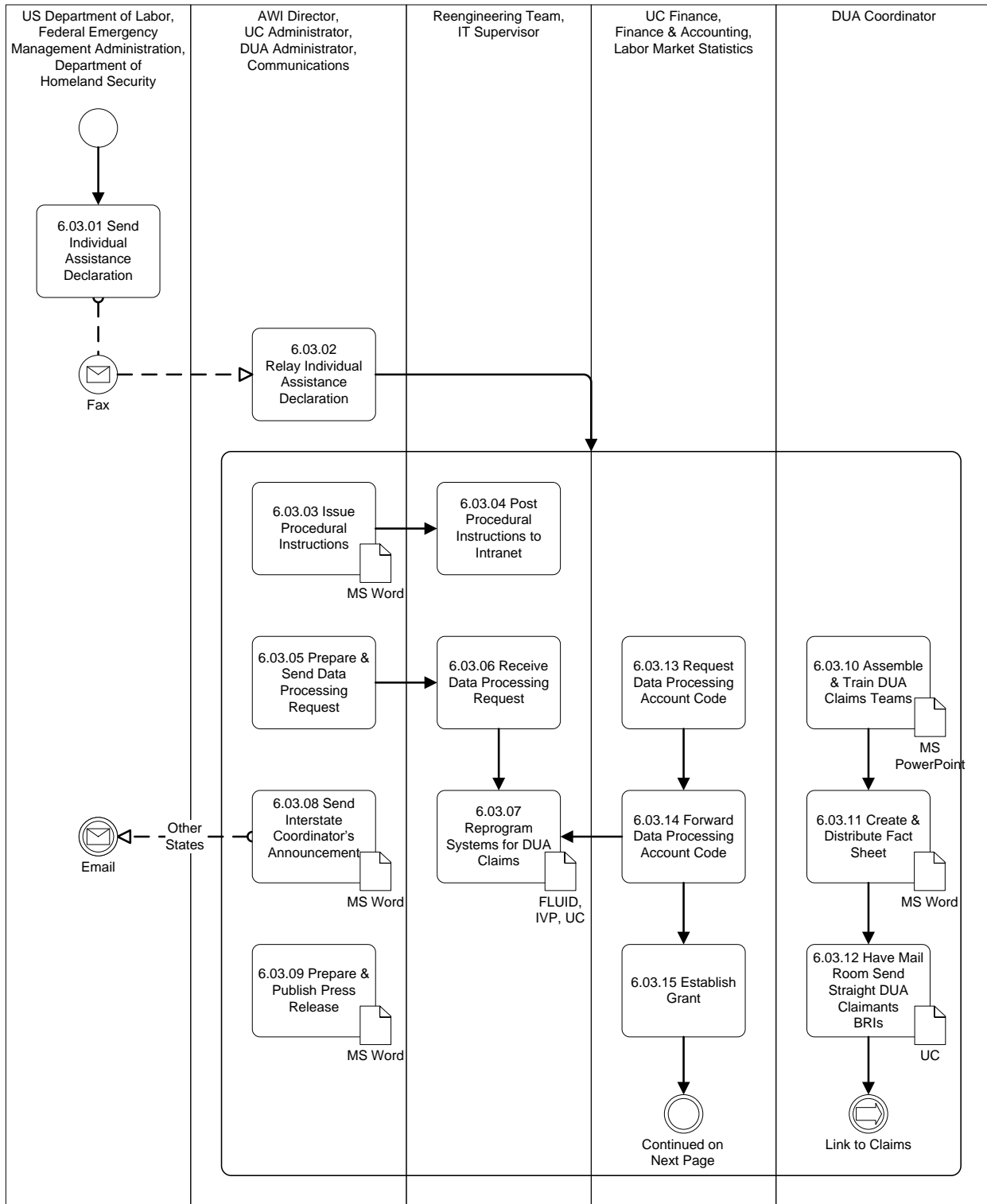
Beginning Point:

- AWI UC receives the President's declaration of a natural disaster;
- AWI UC receives the US Department of Labor's declaration of Individual Assistance.

Ending Point:

- All DUA systems are operational and teams are ready to process DUA claims.

2.2 DUA MOBILIZATION DIAGRAM



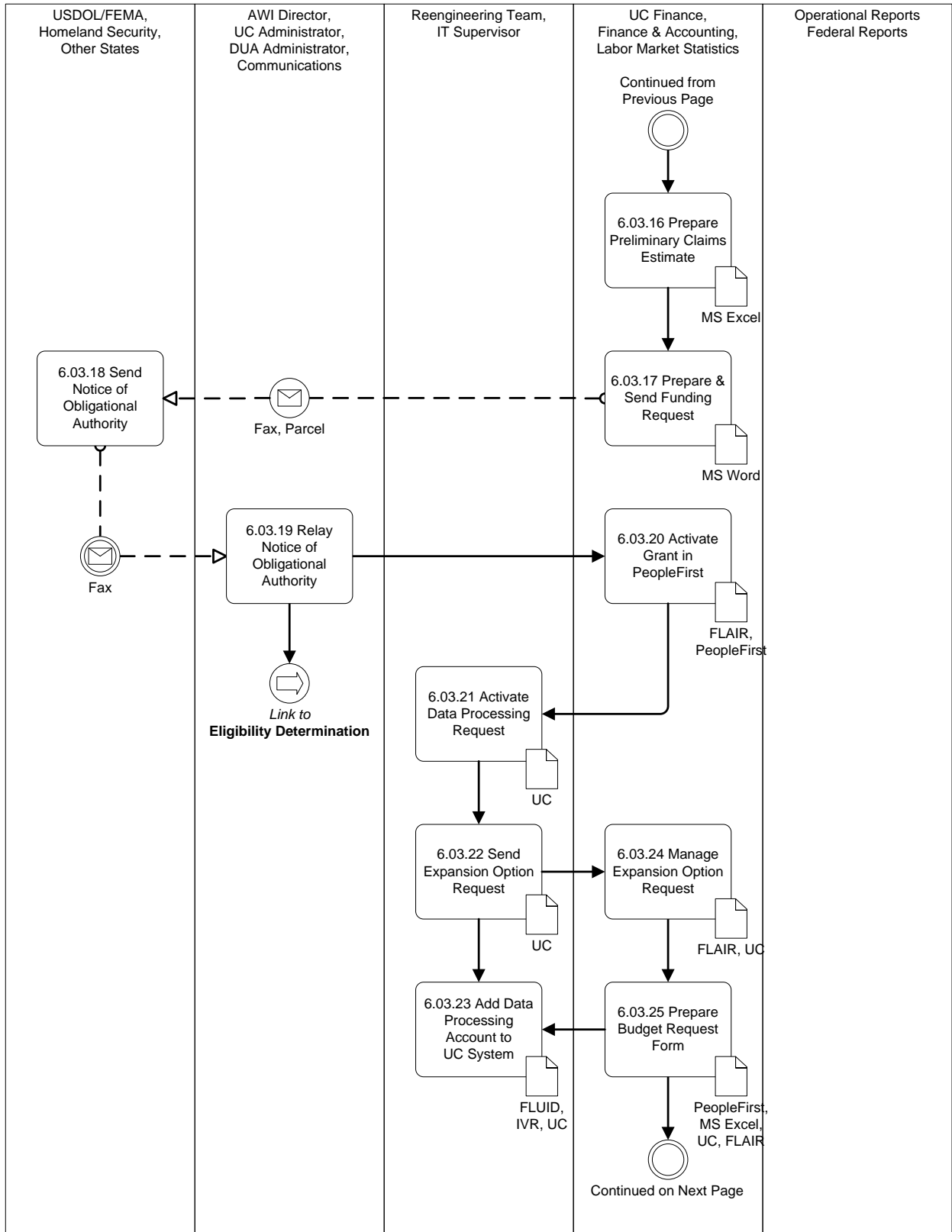


table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity.
Actors	The job or role title of the individuals having a primary role for that activity.

Index	Activity Label	Activity Description	Actors
06.03.01	Send Individual Assistance Declaration	Sends the Individual Assistance Declaration. US Dept. of Labor sends this in confirmation of the President's declaration of disaster.	Regional Office, US Dept. of Labor
06.03.02	Relay Individual Assistance Declaration	Receives the Individual Assistance Declaration from the Regional Office of the US Dept. of Labor. This the official document authorizing AWI to mobilize for DUA claims. Distributes the Individual Assistance Declaration appropriately throughout AWI, authorizing DUA mobilization work to begin.	DUA Administrator
06.03.03	Issue Procedural Instructions	Prepare Procedural Instructions, providing guidance for DUA claims taking, DUA claims processing, and administration. The document lists all pertinent dates, as well as the forms to use.	DUA Administrator
06.03.04	Post Procedural Instructions to the Intranet	Post Procedural Instructions to the Intranet so appropriate parties may access them.	Federal Reports Unit
06.03.05	Prepare & Send Data Processing Request	Also known as the Mainframe Programming Request, this compiles data needed to activate DUA in the UC system, FLUID, and IVR. Data includes, but is not limited to: FEMA Number, Date of Disaster, Declaration Date, Announcement Date, Effective Start Date, Effective End Date, First Compensable Week End Date, and Last Compensable Week End Date. Forwards to Reengineering Team and IT Supervisor.	Reengineering Team, IT Supervisor
06.03.06	Receive Data Processing Request	Reengineering Team and IT Supervisor receive data to reprogram the UC system to handle DUA claims.	Reengineering Team, IT Supervisor
06.03.07	Reprogram Systems for DUA Claims	After gathering all account codes and requisite data, reprogram all systems for DUA claims.	IT Supervisor
06.03.08	Send Interstate Coordinator's Announcement	Announce pertinent disaster details (counties affected, as well as the key dates) to other states regarding their citizens who may qualify as Florida DUA claimants.	Interstate Coordinator
06.03.09	Prepare & Publish Press Release	Prepare and publish the Press Release, which includes the Disaster Number and the Disaster Date, and establishes the 30 day claim filing period.	Communications
06.03.10	Assemble & Train DUA Claims Teams	Assemble and train teams of specialists to take and process DUA claims.	DUA Coordinator
06.03.11	Create & Distribute Fact Sheet	Prepare Fact Sheet, to include the FEMA Disaster Number, Disaster Announcement Date, Disaster Declaration Date, Filing Period, Effective Date of DUA Claims, Assistance Period, and First Payable Week.	DUA Coordinator
06.03.12	Have Mail Room Send Straight DUA Claimants BRIs	Instruct Pitney-Bowes to send Benefit Rights Information to claimants believed in advance to be affected by the disaster.	DUA Coordinator
06.03.13	Request Data Processing Account Code	All DUA systems already exist within the UC infrastructure. UC Finance completes the Data Processing Account Code Request Form (on the Intranet) and sends it to Finance and Accounting to authorize the account. They typically respond within two days.	UC Finance, Finance and Accounting

Index	Activity Label	Activity Description	Actors
06.03.14	Forward Data Processing Account Code	When Finance and Accounting responds with the Account Code, UC Finance sends it to IT, which activates account.	UC Finance, Finance and Accounting
06.03.15	Establish Grant	Prepare Establish Grant form, requesting Finance and Accounting establish two (2) accounts: Administrative Grant, and Benefit Payments. Attach the Notice of Declaration, and send to Finance and Accounting. Response time is usually two (2) hours.	UC Finance, Finance and Accounting
06.03.16	Prepare Preliminary Claims Estimate	Labor Market Statistics (LMS) produces an estimate of the workload for each county in the declaration, which LMS emails to UC Finance. UC Finance prepares the Resource Justification Model (RJM), using the MS Excel spreadsheet < Pat's Process for DUA.xls > Tabs: <u>Summary</u> , <u>ET Handbook 356-2</u> , <u>TornadoesFeb2007</u> , <u>Budget Estimates</u> , <u>Grant Request</u> , <u>People First Request</u> , <u>Budget Request</u> . It provides the parameters for Minutes Per Unit (MPU) calculations, generating the initial estimate of claims processor staff time costs. UC Finance then uses this data to prepare the Preliminary Claims Estimate.	Labor Market Statistics, UC Finance
06.03.17	Prepare & Send Funding Request	Build the Budget from Preliminary Claims Estimate. Budget and Cover Letter are from MS Word template. Send Budget with Cover Letter via Fax and Overnight Parcel Service to the US Dept. of Labor Regional Office in Atlanta..	UC Finance
06.03.18	Send Notice of Obligational Authority	Send Notice of Obligational Authority, establishing an account against which AWI UC draws. Typical response time is three (3) weeks or less.	Dept. of Labor/Federal Emergency Management Agency/Dept. of Homeland Security
06.03.19	Relay Notice of Obligational Authority	The Agency Director receives the Notice of Obligational Authority (usually within three (3) weeks, and forwards the notice to the UC Director, and to UC Finance. The Notice includes the DOL-assigned Payment Management System Account Number.	Agency Director, UC Director, UC Finance
06.03.20	Activate Grant in PeopleFirst	Request Finance and Accounting to establish the FLAIR Charge Object, and activate grant for personnel management. This establishes who can charge, as well as the Org Codes, the Beginning Date, the Ending Date, and Activities Chargeable.	UC Finance
06.03.21	Activate Data Processing Request	Turn on the programming changes so the UC system can accommodate DUA claims.	Reengineering Team, IT Supervisor
06.03.22	Send Expansion Option Request	Prepare and send data necessary to establish or update the Organization Code (Org Code) and Expansion Option (EO) for accounting for disaster costs.	Reengineering Team, IT Supervisor
06.03.23	Add Data Processing Account to UC System	Activate Data Processing Account for DUA.	Reengineering Team, IT Supervisor
06.03.24	Manage Expansion Option Request	Manage and maintain Organization Code and Expansion Option for disaster-related costs.	UC Finance

Index	Activity Label	Activity Description	Actors
06.03.25	Prepare Budget Request Form	Populate Budget Request Form from MS Excel spreadsheet (< Pats Process for DUA.xls >). Budget Request Form documents the: Originating Unit, Description and Justification for Internal Action Requested, Requested Action Detail (Budget Entity Title, Budget Entity Code, Appropriation Category Code, Fund Code, Organization Code, Grant Code, Grant Title, Operating Budget Amount, FCO Year, Budget/Grant Analyst Review), Approvals (Originating Process Area Analyst, Originating Process Area Manager, Grants Unit Supervisor, Grants Unit Manager, Lead Budget Unit Analyst, Budget Manager, Deputy Director/Assistant Director (if applicable). Send to FLAIR via the Budget Office.	UC Finance
06.03.26	Close Grant for Administrative Costs	Once the claims window closes, close the grant to initial claims activity with the exception of managerial requests in order to avoid wrong charges given allotment parameters (e.g. Appeals).	UC Finance
06.03.27	Monitor Budgets	As UC draws from the Payment Management System account UC Finance monitors budgets for expenditures deviating either high or low from the Preliminary Estimate. Expenditures cannot exceed what is “justifiable.” UC Finance must adjust allotments in FLAIR and in PeopleFirst throughout the life of the award in order to stay below the award amount.	UC Finance
06.03.28	Activate Reporting Structure	Prepare to pull the following for reports as indicated: UPS 810-M-DUA (for the monthly ETA90-2 report) UPS 810-W-DUA (for the weekly DARIS report) SU 05782M-R19 (for overpayments) DCGR08F4 (for FLAIR reports)	Federal Reporting Unit
06.03.29	Update Monetary Minimums	Review federally-provided data for current quarter’s monetary benefit minimum.	Federal Reporting Unit
06.03.30	Activate Ad Hoc Reports	Ad Hoc operational reports activate with receipt of the FEMA number. Modify as circumstances dictate.	Operational Reporting Unit
06.03.31	Produce & Send Ad Hoc Reports	Prepare reports for the media and others, and post them to the internet.	Operational Reporting Unit
06.03.32	Prepare & Send Weekly DARIS Report	Produce weekly, cumulative report per disaster of estimated program cost, number of expected claims, number of claims to date for this disaster, number of claims approved, number of claims denied, monies paid out, number of weeks of DUA benefits paid, number of exhausted claims, and administrative costs. Incorporate data from Financial Management, FLAIR, and Benefit Payment Control. Send Weekly DARIS report to Dept. of Labor, Dept. of Homeland Security, and key agency personnel.	Federal Reporting Unit
06.03.33	Prepare & Send ETA90-2 Report	Send Dept. of Labor monthly report per disaster of Number of Claims, Weeks, Benefits Paid, Appeals, Over-Payments, and Administrative Costs. Incorporate data from Financial Management, FLAIR, and Benefit Payment Control.	Federal Reporting Unit

Exhibit 4 – DUA Mobilization Sub-Process Activities

2.4 PROCESS ATTRIBUTES

The following sections present the recorded details about specific of the activities in the DUA Mobilization Sub-Process. The information is arranged in this way to support analysis of these activities; both individually and collectively.

2.4.1 ELAPSED TIME

Exhibit 5 – DUA Mobilization Sub-Process Activity Elapsed Time lists the time required to complete specific activities that make up the DUA Mobilization Sub-Process. The times are estimated except where noted. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Process Time	The “hands-on” time it takes to complete the activity (does not include mail, transport, or time spent waiting for another activity to complete).
Cycle Time	The total elapsed time from the beginning of the activity until it is complete, inclusive of all delays from transport, mail, other processes, and work load.
Limit or Goal Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, AWI policy, etc.).
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Index	Activity Label	Process Time	Cycle Time	Limit or Goal Time	Limit or Goal Source	Speed Bumps
06.03.10	Assemble & Train DUA Claims Teams	--	2 Days	--	--	--
06.03.17	Prepare & Send Funding Request	--	2 days	--	--	This response time depends on who is available in the Director’s office to review and approve the Funding Request.
06.03.18	Send Notice of Obligational Authority	--	3 weeks	--	--	Send Notice of Obligational Authority, establishing an account against which AWI UC draws. Typical response time is three (3) weeks or less.
06.03.32	Prepare & Send Weekly DARIS Report	--	7 Days	--	--	--
06.03.33	Prepare & Send ETA90-2 Report	--	1 Month	--	--	--

Exhibit 5 – DUA Mobilization Sub-Process Activity Elapsed Time

2.4.2 PAPER DOCUMENTATION

Exhibit 6 – DUA Mobilization Sub-Process Paper Documentation lists the paper documents required to complete specific activities that make up DUA Mobilization Sub-Process. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document. More than one document may be required to carry out a single activity, so each is listed. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Originator and title of the source instruction or policy.

Index	Activity Label	Document Title	Document Description	Reference or Source
06.03.12	Have Mail Room Send Straight DUA Claimants BRIs	Benefit Rights Information	Provides DUA claimants with essential information about qualifying for and applying for disaster unemployment assistance.	Intranet

Exhibit 6 – DUA Mobilization Sub-Process Paper Documentation

2.4.3 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

Exhibit 7 – DUA Mobilization Sub-Process Data Entry & Data Transfer lists the business systems that are employed directly (touched) or indirectly (data transfer) in the course of the DUA Mobilization Sub-Process. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one; entry is made by a person, transfers are from system to system.

Index	Activity Label	Business System	Program or Intent	Mode
06.03.03	Issue Procedural Instructions	MS Word	Prepare Procedural Instructions for federal reports.	Entry
06.03.07	Reprogram Systems for DUA Claims	FLUID, IVP, UC	After gathering all account codes and requisite data, reprogram all systems for DUA claims.	Entry
06.03.08	Send Interstate Coordinator’s Announcement	MS Word	Prepare the Interstate Coordinator’s Announcement.	Entry
06.03.09	Prepare & Publish Press Release	MS Word	Prepare and publish the Press Release, which includes the Disaster Number and the Disaster Date, and establishes the 30 day claim filing period.	Entry
06.03.10	Assemble & Train DUA Claims Teams	MS PowerPoint	Present training to DUA Claims Teams.	Output
06.03.11	Create & Distribute Fact Sheet	MS Word	Prepare Fact Sheet with dates and other data pertinent to the current disaster.	Entry
06.03.12	Have Mail Room Send Straight DUA Claimants BRIs	UC System	Produce SAR Reports of DUA Claimants to receive BRIs.	Output
06.03.16	Prepare Preliminary Claims Estimate	MS Excel	Labor Market Statistics (LMS) produces an estimate of the workload for each county in the declaration, which LMS emails to UC Finance. UC Finance prepares the Resource Justification Model (RJM), using the MS Excel spreadsheet < Pat’s Process for DUA.xls > Tabs: <i>Summary</i> , <i>ET Handbook 356-2</i> , <i>TornadoesFeb2007</i> , <i>Budget Estimates</i> , <i>Grant Request</i> , <i>People First Request</i> , <i>Budget Request</i> . It provides the parameters for Minutes Per Unit (MPU) calculations, generating the initial estimate of claims processor staff time costs. UC Finance then uses this data to prepare the Preliminary Claims Estimate.	Transfer

Index	Activity Label	Business System	Program or Intent	Mode
06.03.17	Prepare & Send Funding Request	MS Word	Build the Budget from Preliminary Claims Estimate. Budget and Cover Letter are from MS Word template. Send Budget with Cover Letter via Fax and Overnight Parcel Service to the US Dept. of Labor Regional Office in Atlanta.	Entry
06.03.20	Activate Grant in PeopleFirst	FLAIR, PeopleFirst	Request Finance and Accounting to establish the FLAIR Charge Object, and activate grant for personnel management. This establishes who can charge, as well as the Org Codes, the Beginning Date, the Ending Date, and Activities Chargeable.	Entry
06.03.21	Activate Data Processing Request	UC	Turn on the programming changes so the UC system can accommodate DUA claims.	Entry
06.03.22	Send Expansion Option Request	UC	Prepare and send data necessary to establish or update the Organization Code (Org Code) and Expansion Option (EO) for accounting for disaster costs.	Entry
06.03.23	Add Data Processing Account to UC System	FLUID, IVR, UC	Activate Data Processing Account for DUA.	Entry
06.03.24	Manage Expansion Option Request	FLAIR, UC	Manage and maintain Organization Code and Expansion Option for disaster-related costs.	Entry
06.03.25	Prepare Budget Request Form	PeopleFirst, MS Excel, FLAIR, UC	Populate Budget Request Form from MS Excel spreadsheet (< Pats Process for DUA.xls >). Budget Request Form documents the: Originating Unit, Description and Justification for Internal Action Requested, Requested Action Detail (Budget Entity Title, Budget Entity Code, Appropriation Category Code, Fund Code, Organization Code, Grant Code, Grant Title, Operating Budget Amount, FCO Year, Budget/Grant Analyst Review), Approvals (Originating Process Area Analyst, Originating Process Area Manager, Grants Unit Supervisor, Grants Unit Manager, Lead Budget Unit Analyst, Budget Manager, Deputy Director/Assistant Director (if applicable)). Send to FLAIR via the Budget Office.	Entry, Output
06.03.26	Close Grant for Administrative Costs	PeopleFirst, FLAIR, UC	Once the claims window closes, close the grant to initial claims activity with the exception of managerial requests in order to avoid wrong charges given allotment parameters (e.g. Appeals).	Entry, Output
06.03.27	Monitor Budgets	PeopleFirst, FLAIR, UC	As UC draws from the Payment Management System account UC Finance monitors budgets for expenditures deviating either high or low from the Preliminary Estimate. Expenditures cannot exceed what is "justifiable." UC Finance must adjust allotments in FLAIR and in PeopleFirst throughout the life of the award in order to stay below the award amount.	Entry, Output
06.03.28	Activate Reporting Structure	FLUID, IVR, UC	Prepare to pull the following for reports as indicated: UPS 810-M-DUA (for the monthly ETA90-2 report) UPS 810-W-DUA (for the weekly DARIS report) SU 05782M-R19 (for overpayments) DCGR08F4 (for FLAIR reports)	Output
06.03.29	Update Monetary Minimums	FLUID, IVR, UC	Review federally-provided data for current quarter's monetary benefit minimum.	Output

Index	Activity Label	Business System	Program or Intent	Mode
06.03.30	Activate Ad Hoc Reports	FLUID, IVR, UC	Ad Hoc operational reports activate with receipt of the FEMA number. Modify as circumstances dictate.	Entry
06.03.31	Produce & Send Ad Hoc Reports	FLUID, IVR, UC	Prepare reports for the media and others, and post them to the internet.	Entry, Output
06.03.32	Prepare & Send Weekly DARIS Report	FLUID, IVR, UC	Produce weekly, cumulative report per disaster of estimated program cost, number of expected claims, number of claims to date for this disaster, number of claims approved, number of claims denied, monies paid out, number of weeks of DUA benefits paid, number of exhausted claims, and administrative costs. Incorporate data from Financial Management, FLAIR, and Benefit Payment Control. Send Weekly DARIS report to Dept. of Labor, Dept. of Homeland Security, and key agency personnel.	Output
06.03.33	Prepare & Send ETA90-2 Report	FLUID, IVR, UC	Send Dept. of Labor monthly report per disaster of Number of Claims, Weeks, Benefits Paid, Appeals, Over-Payments, and Administrative Costs. Incorporate data from Financial Management, FLAIR, and Benefit Payment Control.	Output

Exhibit 7 – DUA Mobilization Sub-Process Data Entry & Data Transfer

2.4.4 COMMUNICATION

Exhibit 8 – DUA Mobilization Sub-Process Communication lists the messages, such as the US mail, emails, phone calls and any other correspondence, *regularly used in the normal course* of the DUA Mobilization Sub-Process. Messages are sent to convey required documentation, inform recipients about the status of an activity, to trigger the start or end of other activities, to grant or withdraw authorization, etc. This section only concerns messages sent during normal (as intended) operations. There may be more than one message associated with any activity in this process. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Message Type	US mail, email, phone call, etc.
Message Sender	The organization or role of the message sender.
Message Purpose	The intended purpose for sending the message.
Message Recipient	The organization or role of the intended recipient.
Occasion	Event or action that triggers the requirement to send the message.

Index	Activity Label	Message Type	Sender	Message Purpose	Message Recipient	Occasion
06.03.01	Send Individual Assistance Declaration	Fax	US Dept. of Labor	Confirmation of the President's declaration of disaster.	AWI Director	President has declared disaster in response to Governor's request.
06.03.17	Prepare & Send Funding Request	Fax, Parcel	UC Finance	Communicate data regarding funding needed for disaster benefits and administration.	Atlanta Regional Office of the US Dept. of Labor	UC Finance has calculated the initial estimate of disaster-related costs.

Index	Activity Label	Message Type	Sender	Message Purpose	Message Recipient	Occasion
06.03.18	Send Notice of Obligational Authority	Fax	Atlanta Regional Office of the US Dept. of Labor	Establishing an account against which AWI UC draws.	UC Finance	Acceptance of initial estimate of disaster related costs.
06.03.30	Activate Ad Hoc Reports	Email	Operational Reports	Activate Ad Hoc operational reporting structure.	Reengineering Team, IT Supervisor	Operational Reporting Unit receives FEMA number.
06.03.31	Prepare & Send Ad Hoc Reports	Email	Operational Reports	Provide reporting data for the media and others.	AWI Director, UC Administrator, DUA Administrator, Communications, Reengineering Team, IT Supervisor	Data is available per request.
06.03.32	Prepare & Send DARIS Report	Email	Federal Reports	Provide weekly cumulative report of disaster-related costs.	Dept. of Labor, Dept. of Homeland Security, AWI Director, UC Administrator, DUA Administrator, Communications, Reengineering Team, IT Supervisor	Weekly cumulative report is due.
06.03.33	Prepare & Send ETA90-2 Report	Email	Federal Reports	Provide monthly recap report of disaster-related claims and administration costs.	US Dept. of Labor, Dept. of Homeland Security	Monthly recap report is due.

Exhibit 8 – DUA Mobilization Sub-Process Communication

2.4.5 OPPORTUNITIES

The purpose of this section is to capture general overall improvement suggestions that can apply as an improvement to multiple areas under the function and responsibility of DUA Mobilization Sub-Process. Since UC recently updated the entire DUA process for a more efficient business flow, there are very few short-term opportunities for improving the existing system.

The following is a description and definition of each of the columns in this table.

Origin	The area of the improvement such as: Central Office, Hub, etc.
Problem Statement	Description of the problem or opportunity identified.
Recommendation	Description of the proposed recommendation, including expected result.
Value Added	Description of the expected value received if the recommendation to the problem statement is identified.

Short Term Opportunities for Improvement			
Origin	Problem Statement	Recommendation	Value Added

Exhibit 9 – Short Term Opportunities for Improvement

Long Term Opportunities for Improvement			
Origin	Problem Statement	Recommendation	Value Added

Exhibit 10 – Long Term Opportunities for Improvement

3 PURPOSE AND OBJECTIVES OF THE ELIGIBILITY DETERMINATION SUB-PROCESS

The Eligibility Determination Sub-Process identifies the primary activities and attributes of the process of determining a claimant's eligibility for Disaster Unemployment Compensation Benefits. The claimant must meet specific criteria to be eligible.

Objectives for this sub-process include:

- Identifying appropriate claimants for DUA
- Screening out inappropriate claimants for DUA
- Appropriately determining what if any DUA monetary benefits the claimant is due

3.1 BEGINNING AND ENDING POINTS

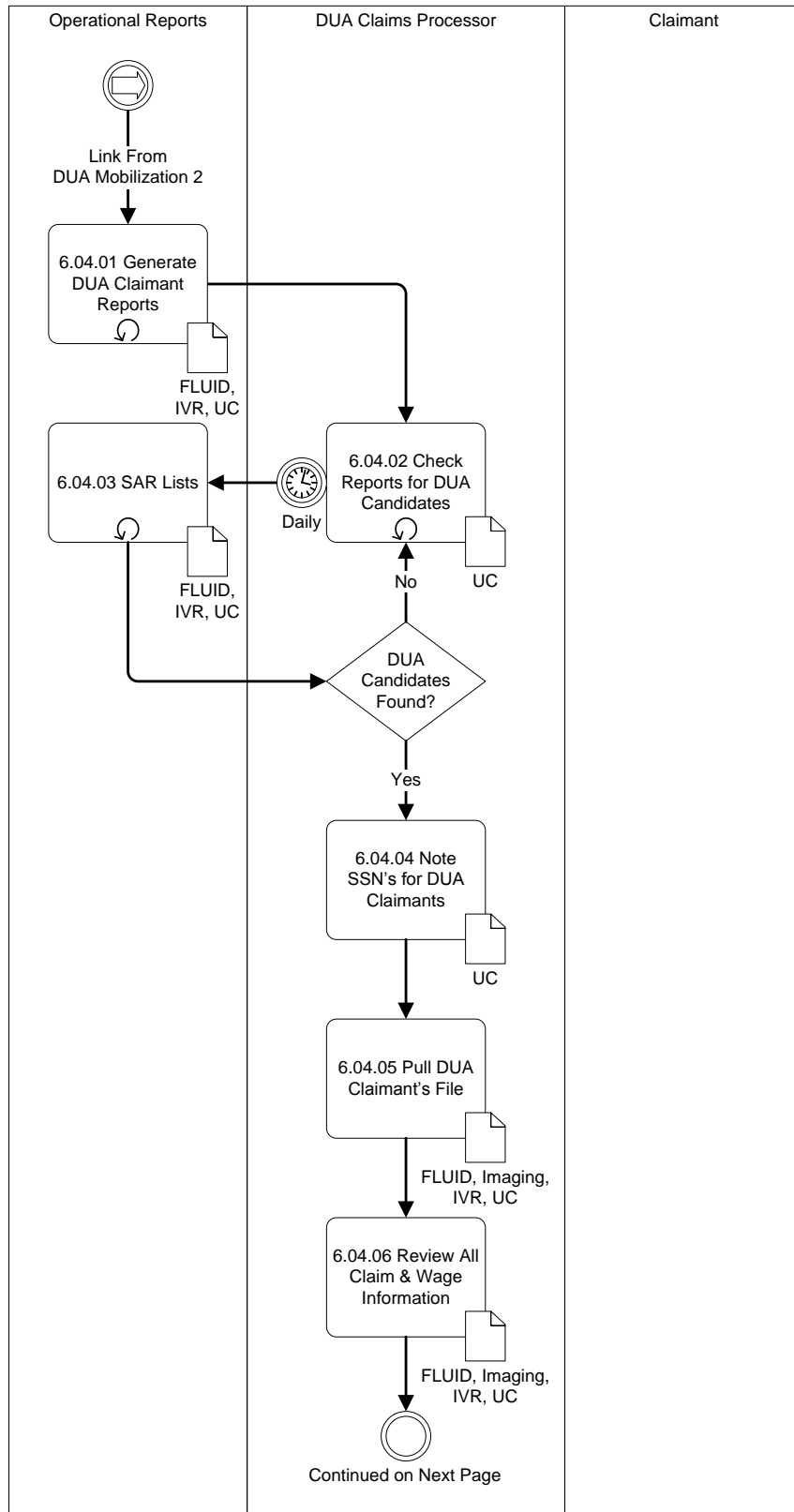
Beginning Point:

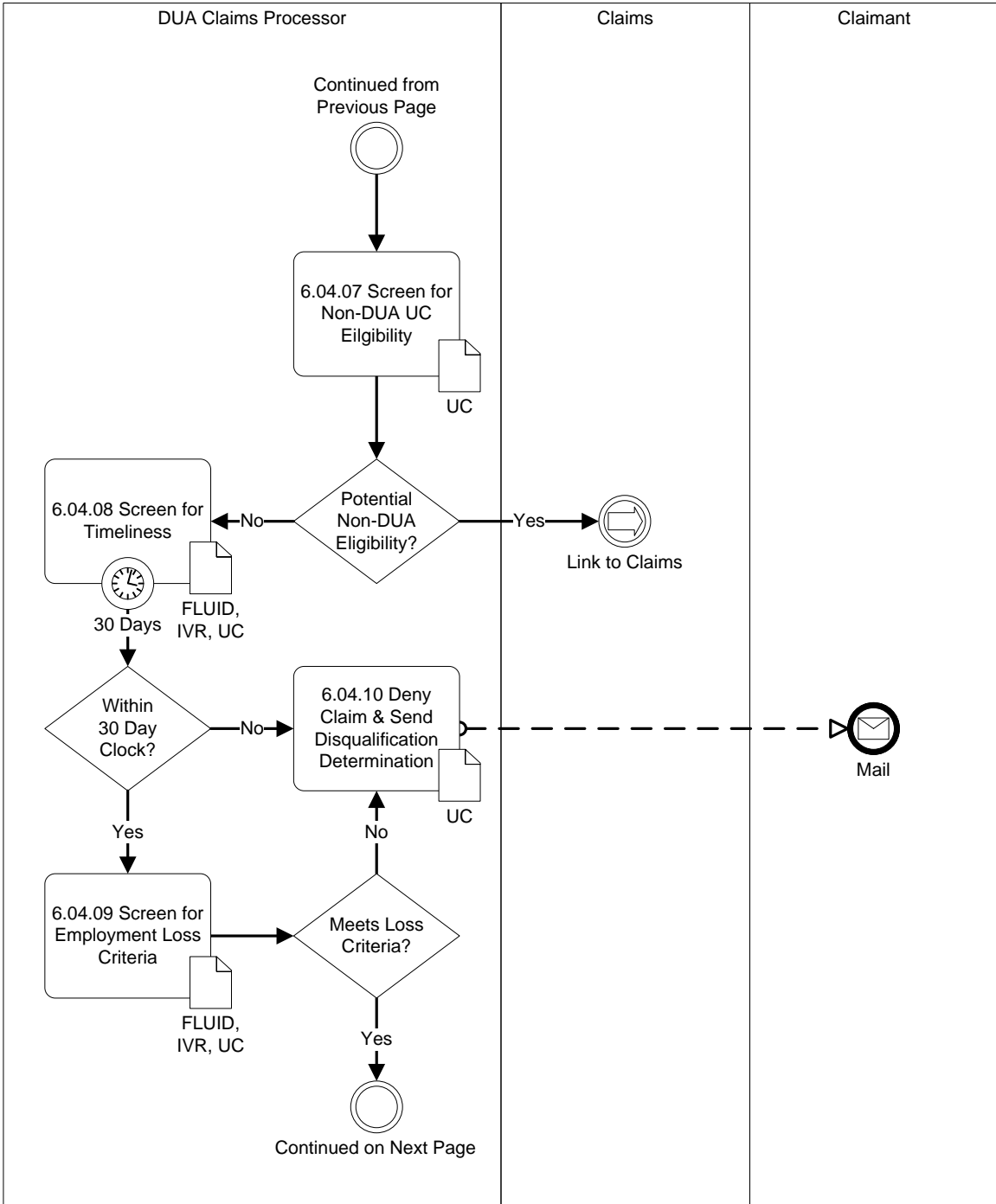
- The Operational Reports Unit generates reports identifying potential claimants for Disaster Unemployment Assistance

Ending Point:

- The DUA Claims Processor issues a monetary determination regarding the claim, resulting in denial of DUA benefits, approval of DUA benefits payments, or a redetermination that establishes overpayments

3.2 ELIGIBILITY DETERMINATION SUB-PROCESS DIAGRAM





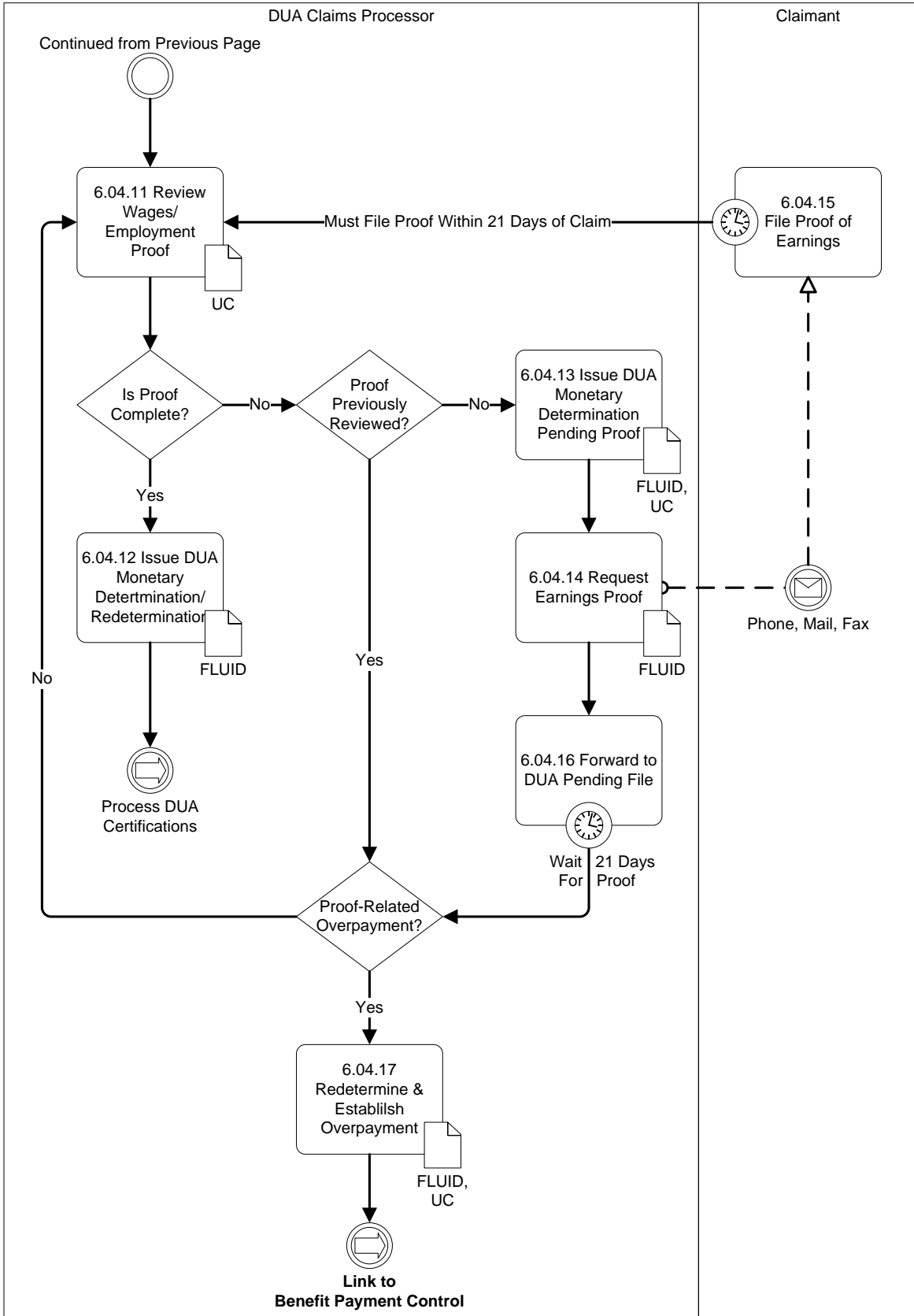


Exhibit 11 – Eligibility Determination Sub-Process Flow

3.3 ELIGIBILITY DETERMINATION SUB-PROCESS ACTIVITIES

Exhibit 12 – Eligibility Determination Sub-Process Activities lists the activities that make up the Eligibility Determination Sub-Process. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity.
Actors	The job or role title of the individuals having a primary role for that activity.

Index	Activity Label	Activity Description	Actors
6.04.01	Generate DUA Claimant Reports	Generate SAR Lists of potential DUA claimants. These are persons who do not qualify for other UC, or whose benefits are exhausted.	Operational Reports
6.04.02	Check Reports for DUA Candidates	Check SAR Lists for potential DUA claimants.	DUA Claims Processor
6.04.03	SAR Lists	The following SAR lists will include possible DUA claimants, and must be checked daily: UBDDUAUD4590, UBSDUARD1426, and UBDDUAED4580.	DUA Claims Processor
6.04.04	Note SSNs for DUA Claimants	Most Claims Processors print the SAR lists out, and highlight the Social Security Numbers of each possible DUA claimant.	DUA Claims Processor
6.04.05	Pull DUA Claimant’s File	Having identified a possible DUA claimant, pull the claimant’s file.	DUA Claims Processor
6.04.06	Review All Claim & Wage Information	Review the work of the original claims taker by evaluating all claim and wage information in the files.	DUA Claims Processor
6.04.07	Screen for Non-DUA UC Eligibility	Determine whether or not the claimant is eligible for any non-DUA unemployment compensation, to include regular UC Wages, out-of-state unemployment compensation, and military or federal civilian employee unemployment compensation. If the claimant qualifies for any other form of unemployment compensation, send the claim back to Claims for determination.	DUA Claims Processor
6.04.08	Screen for Timeliness	Determine whether or not the claimant filed within the 30 day timeliness window (which begins with the Disaster Announcement Date).	DUA Claims Processor
6.04.09	Screen for Employment Loss Criteria	Determine whether or not the claimant’s loss meets the criteria of being a direct result of the disaster. Federal Regulations provide that the unemployment of an unemployed worker is caused by the disaster if: 1. The unemployment is the direct result of the major disaster; or 2. The individual is unable to reach the place of employment as a direct result of the major disaster; or 3. The individual was to commence employment and does not have a job or is unable to reach the job as a direct result of the major disaster; or 4. The individual has become the breadwinner or major support for a household because the head of the household has died as a direct result of the major disaster; or 5. The individual cannot work because of an injury caused as direct result of the major disaster.	DUA Claims Processor

Index	Activity Label	Activity Description	Actors
6.04.10	Deny Claim & Send Disqualification Determination	If the claimant's application does not pass each of the screens, deny the claim and send the disqualification determination. The Denial Form is UCB-200. Enter the Denial Transaction BQ51 in the UC system with a BDUA flag.	DUA Claims Processor
6.04.11	Review Wages/Employment Proof	Determine whether or not the claimant has sufficient wages /proof of employment to qualify under DUA. The claimant has 21 days after filing the claim to provide sufficient proof.	DUA Claims Processor
6.04.12	Issue DUA Monetary Determination/Redetermination	If proof is complete and sufficient when the claim was submitted (and claim qualifies on all other criteria), issue a monetary determination for the appropriate amount in the claimant's favor. If claimant provided complete and sufficient proof after Monetary Determination Pending Proof (and claim qualifies on all other criteria), issue a monetary redetermination for the appropriate amount in the claimant's favor.	DUA Claims Processor
6.04.13	Issue DUA Monetary Determination Pending Proof	If the proof is incomplete or insufficient, issue an appropriate monetary determination for the minimum allowable benefit pending proof.	DUA Claims Processor
6.04.14	Request Earnings Proof	If the proof is incomplete or insufficient, and monetary determination pending proof is authorized, request the claimant provide proof that is complete and sufficient.	DUA Claims Processor
6.04.15	File Proof of Earnings	The claimant has 21 days from filing the claim in which to file proof that is complete and sufficient. Else, a redetermination may disqualify the claim and establish overpayment.	Claimant
6.04.16	Forward to DUA Pending File	If the proof is incomplete or insufficient, and monetary determination pending proof is authorized, and proof has been requested, forward the claimant's file to the DUA Pending File for the 21 day wait for proof.	DUA Claims Processor
6.04.17	Redetermine & Establish Overpayment	If the claimant fails to provide proof that is complete and sufficient, hold a redetermination, disqualify the claim, and establish overpayment.	DUA Claims Processor

Exhibit 12 – Eligibility Determination Sub-Process Activities

3.4 PROCESS ATTRIBUTES

The following sections present the recorded details about specific activities in the Eligibility Determination process. The information is arranged in this way to support analysis of these activities; both individually and collectively.

3.4.1 ELAPSED TIME

Exhibit 13 – Eligibility Determination Sub-Process Activity Elapsed Time lists the time required to complete specific activities that make up the Eligibility Determination. The times are estimated except where noted. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Process Time	The “hands-on” time it takes to complete the activity (does not include mail, transport, or time spent waiting for another activity to complete).
Cycle Time	The total elapsed time from the beginning of the activity until it is complete, inclusive of all delays from transport, mail, other processes, and work load.
Limit or Goal Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, AWI policy, etc.).
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Index	Activity Label	Process Time	Cycle Time	Limit or Goal Time	Limit or Goal Source	Speed Bumps
6.04.02	Check Reports for DUA Candidates	--	--	Once each day.	--	--
6.04.08	Screen for Timeliness	--	--	30 days from Disaster Announcement Date.	--	Claimant’s ability to file timely may be hindered by damage the disaster caused to the claims delivery infrastructure.
6.04.15	File Proof of Earnings	--	--	Claimant must file complete and sufficient proof of employment and wages within 21 days of the claim filing date.	--	Claimant’s ability to file timely may be hindered by damage the disaster caused to the proof records as well as to the claims delivery infrastructure.
6.04.16	Forward to DUA Pending File	--	--	If Claimant has not provided complete and sufficient proof of employment and wages, DUA Claims Processor places Claimant’s file in DUA Pending File where it remains until (a) Claimant provides complete and sufficient proof of wages and employment, or (b) until 21 days after the claimant filed for DUA, whichever comes first. If the latter, 6.04.17 Redetermine & Establish Overpayment is the next activity.	--	--

Exhibit 13 – Eligibility Determination Sub-Process Activity Elapsed Time

3.4.2 PAPER DOCUMENTATION

Exhibit 14 – Eligibility Determination Sub-Process Paper Documentation lists the paper documents required to complete specific activities that make up Eligibility Determination Sub-Process. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document. More than one document may be required to carry out a single activity, so each is listed. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Originator and title of the source instruction or policy.

Index	Activity Label	Document Title	Document Description	Reference or Source
6.04.06	Review All Claim & Wage Information	Initial DUA Claim, AWI UC310	The claim application itself may be paper.	AWI
6.04.11	Review Wages/ Employment Proof	Initial Application for DUA, Form ETA-81	Initial application for DUA.	AWI
6.04.11	Review Wages/ Employment Proof	Supplement for Self-Employed Applicants, Form ETA-81A	Record any covered employment in the base period.	AWI
6.04.11	Review Wages/ Employment Proof	Proof of wages/employment	Documentation of employment or self-employment and/or wages may consist of W-2's, State or Federal tax returns, income tax preparer copies of documents, bank records of accounts, employer statement of earnings, a statement from a bank showing the individual has a business account or an account with payroll deposit, or a copy of title or deed to a business property.	AWI
6.04.14	Request Earnings Proof	Initial Application for DUA, Form ETA-81	Initial application for DUA.	AWI
6.04.14	Request Earnings Proof	Supplement for Self-Employed Applicants, Form ETA-81A	Record any covered employment in the base period.	AWI
6.04.14	Request Earnings Proof	Proof of wages/employment	Documentation of employment or self-employment and/or wages may consist of W-2's, State or Federal tax returns, income tax preparer copies of documents, bank records of accounts, employer statement of earnings, a statement from a bank showing the individual has a business account or an account with payroll deposit, or a copy of title or deed to a business property.	AWI
6.04.15	File Proof of Earnings	Initial Application for DUA, Form ETA-81	Initial application for DUA.	AWI

Index	Activity Label	Document Title	Document Description	Reference or Source
6.04.15	File Proof of Earnings	Supplement for Self-Employed Applicants, Form ETA-81A	Record any covered employment in the base period.	AWI
6.04.15	File Proof of Earnings	Proof of wages/employment	Documentation of employment or self-employment and/or wages may consist of W-2's, State or Federal tax returns, income tax preparer copies of documents, bank records of accounts, employer statement of earnings, a statement from a bank showing the individual has a business account or an account with payroll deposit, or a copy of title or deed to a business property.	AWI

Exhibit 14 – Eligibility Determination Sub-Process Paper Documentation

3.4.3 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

Exhibit 15 – Eligibility Determination Sub-Process Data Entry & Data Transfer lists the business systems that are employed directly (touched) or indirectly (data transfer) in the course of the Eligibility Determination Sub-Process. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one; entry is made by a person, transfers are from system to system.

Index	Activity Label	Business System	Program or Intent	Mode
6.04.01	Generate DUA Claimant Reports	FLUID, IVR, UC	Generate SAR lists of potential DUA claimants from these systems.	Query
6.04.02	Check Reports for DUA Candidates	UC	Use UC system to review SAR lists of potential DUA claimants.	Query
6.04.03	SAR Lists	FLUID, IVR, UC	Generate SAR lists of potential DUA claimants from these systems.	Query
6.04.04	Note SSNs for DUA Claimants	UC	Use UC system to identify Social Security Numbers of potential DUA claimants on SAR lists.	Query
6.04.05	Pull DUA Claimant's File	FLUID, IVR, UC, Imaging	Search all claims systems and archives for pertinent history for the potential DUA claimant.	Query
6.04.06	Review All Claim & Wage Information	FLUID, IVR, UC, Imaging	Review all claims systems and archives for pertinent claim and wage information, to include the UC system's BH10 – Claims History in reverse order and BD01 – Unofficial Wage Transcript, etc.	Query
6.04.07	Screen for Non-DUA UC Eligibility	UC	Determine whether or not the claimant is eligible for non-DUA unemployment compensation.	Query
6.04.08	Screen for Timeliness	FLUID, IVR, UC	Determine whether or not the claimant filed for DUA timely.	Query

Index	Activity Label	Business System	Program or Intent	Mode
6.04.09	Screen for Employment Loss Criteria	FLUID, IVR, UC	Determine whether or not the claimant's employment loss meets the disaster-caused criteria.	Query
6.04.10	Deny Claim & Send Disqualification Determination	UC	Communicate the claimant's disqualification for DUA.	Entry
6.04.11	Review Wages/ Employment Proof	UC	Determine whether or not the claimant's wages/employment proof is complete and sufficient.	Query
6.04.12	Issue DUA Monetary Determination/ Redetermination	FLUID	Issue a DUA monetary determination or a DUA monetary redetermination, as may be appropriate.	Entry
6.04.13	Issue DUA Monetary Determination Pending Proof	FLUID, UC	If the claim lacks complete and sufficient proof of wages/employment but qualifies for DUA on all other criteria, enter a monetary determination for the minimum benefit amount pending claimant providing complete and sufficient proof.	Entry
6.04.14	Request Earnings Proof	FLUID	When requesting earnings proof, make an appropriate note in the claimant's history in FLUID.	Entry
6.04.17	Redetermine & Establish Overpayment	FLUID, UC	If the claimant fails to provide complete and sufficient proof of wages/employment within the 21 day limit, complete a monetary redetermination disqualifying the claim and establishing overpayment.	Entry

Exhibit 15 – Eligibility Determination Sub-Process Data Entry & Data Transfer

3.4.4 COMMUNICATION

Exhibit 16 – Eligibility Determination Sub-Process Communication lists the messages, such as the US mail, emails, phone calls and any other correspondence, *regularly used in the normal course* of the Eligibility Determination. Messages are sent to convey required documentation, inform recipients about the status of an activity, to trigger the start or end of other activities, to grant or withdraw authorization, etc. This section only concerns messages sent during normal (as intended) operations. There may be more than one message associated with any activity in this process. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Message Type	US mail, email, phone call, etc.
Message Sender	The organization or role of the message sender.
Message Purpose	The intended purpose for sending the message.
Message Recipient	The organization or role of the intended recipient.
Occasion	Event or action that triggers the requirement to send the message.

Index	Activity Label	Message Type	Sender	Message Purpose	Message Recipient	Occasion
6.04.10	Deny Claim & Send Disqualification Determination	Mail	DUA Claims Processor	Provide claimant notice of denial of claim and disqualification for DUA.	Claimant	Claim does not qualify for DUA
6.04.14	Request Earnings Proof	Phone, Mail, Fax	DUA Claims Processor	Request claimant provide complete and sufficient proof of wages/employment.	Claimant	DUA Claims Processor has issued a DUA Monetary Determination Pending Proof

Exhibit 16 – Eligibility Determination Sub-Process Communication

3.4.5 OPPORTUNITIES

The purpose of this section is to capture general overall improvement suggestions that can apply as an improvement to multiple areas under the function and responsibility of the Eligibility Determination Sub-Process. Since UC recently updated the entire DUA process for a more efficient business flow, there are very few short-term opportunities for improving the existing system.

The following is a description and definition of each of the columns in this table.

Origin	The area of the improvement such as: Central Office, Hub, etc.
Problem Statement	Description of the problem or opportunity identified.
Recommendation	Description of the proposed recommendation, including expected result.
Value Added	Description of the expected value received if the recommendation to the problem statement is identified.

Short Term Opportunities for Improvement			
Origin	Problem Statement	Recommendation	Value Added

Exhibit 17 – Short Term Opportunities for Improvement

Long Term Opportunities for Improvement			
Origin	Problem Statement	Recommendation	Value Added

Exhibit 18 – Long Term Opportunities for Improvement

4 PURPOSE AND OBJECTIVES OF THE PROCESS DUA CERTIFICATIONS SUB-PROCESS

The Process DUA Certifications Sub-Process is composed of the activities carried out while processing a DUA claimant's certifications of weeks. The certifications attest to the claimant's work-related efforts during the period specified in the certification.

Objectives for this sub-process include:

- Resolving any errors on the claimant's certifications of weeks
- Resolving any errors that occur during the processing of the certifications
- Processing the claimant's certifications of weeks for payment under DUA

4.1 BEGINNING AND ENDING POINTS

Beginning Point:

- The claimant submits a completed initial certification of weeks.

Ending Point:

- The claimant and the DUA Coordinator and Claims Teams work in tandem as the claimant submits subsequent certifications of weeks;
- Certifications of weeks are confirmed or rejected.

4.2 PROCESS DUA CERTIFICATIONS SUB-PROCESS DIAGRAM

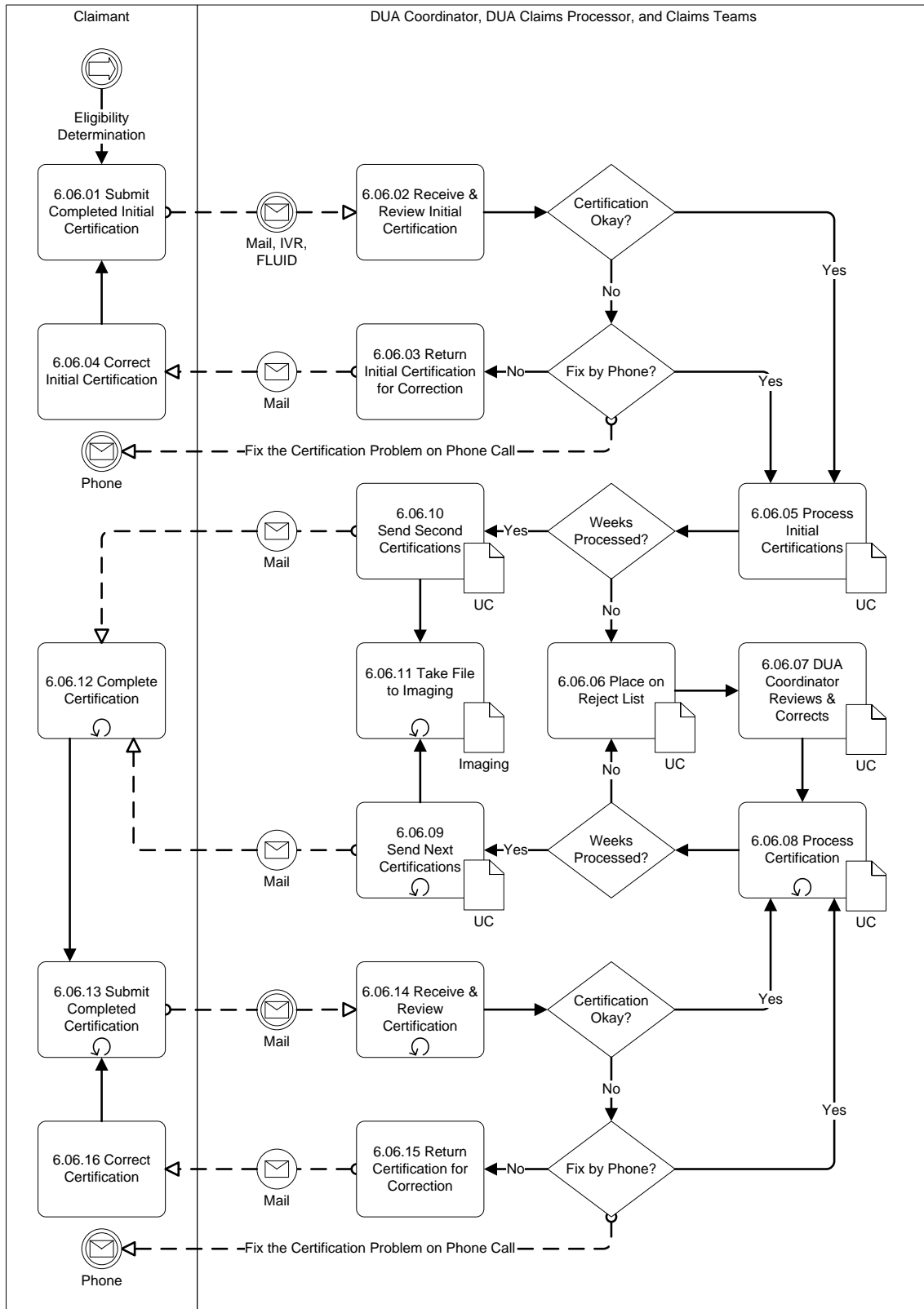


Exhibit 19 – Process DUA Certifications Sub-Process Flow

4.3 PROCESS DUA CERTIFICATIONS SUB-PROCESS ACTIVITIES

Exhibit 20 – Process DUA Certifications Sub-Process Activities lists the activities that make up the Process DUA Certifications Sub-Process. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity.
Actors	The job or role title of the individuals having a primary role for that activity.

Index	Activity Label	Activity Description	Actors
6.06.01	Submit Completed Initial Certification	Claimant completes and submits initial certification of weeks. May also claim weeks through IVR and FLUID.	Claimant
6.06.02	Receive & Review Initial Certification	Claims Processor receives paper initial certification of weeks to process for payment.	DUA Claims Processor
6.06.03	Return Initial Certification for Correction	Claims Processor returns initial certification of weeks containing errors the Claims Processor was unable to resolve with the Claimant by phone.	DUA Claims Processor
6.06.04	Correct Initial Certification	The Claimant corrects the errors in the initial certification of weeks.	Claimant
6.06.05	Process Initial Certifications	The Claims Processor processes initial certification of weeks which do not contain Claimant errors.	DUA Claims Processor
6.06.06	Place on Reject List	Certification of weeks fails to process due to errors which are not the Claimant's responsibility.	DUA Claims Processor
6.06.07	DUA Coordinator Reviews & Corrects	DUA Coordinator reviews the Claimant's history and claim, and corrects errors with the processing of the certifications.	DUA Coordinator
6.06.08	Process Certification	The Claims Processor processes certification of weeks which had included errors which were not the Claimant's responsibility.	DUA Claims Processor
6.06.09	Send Next Certifications	When processing certification of weeks, the Claims Processor indicates for the system to send the Claimant the next set of certification of weeks.	DUA Claims Processor
6.06.10	Send Second Certifications	When processing certification of weeks, the Claims Processor indicates for the system to send the Claimant the next set of certification of weeks.	DUA Claims Processor
6.06.11	Take File to Imaging	After processing the certification of weeks, take the file to Imaging.	DUA Claims Processor
6.06.12	Complete Certification	Claimant completes subsequent certification of weeks.	Claimant
6.06.13	Submit Completed Certification	Claimant submits subsequent certification of weeks.	Claimant
6.06.14	Receive & Review Certification	Claims Processor receives paper subsequent certification of weeks to process for payment.	DUA Claims Processor
6.06.15	Return Certification for Correction	Claims Processor returns certification of weeks containing errors the Claims Processor was unable to resolve with the Claimant by phone.	DUA Claims Processor
6.06.16	Correct Certification	The Claimant corrects the errors in the certification of weeks.	Claimant

Exhibit 20 – Process DUA Certifications Sub-Process Activities

4.4 PROCESS ATTRIBUTES

The following sections present the recorded details about specific activities in the Process DUA Certifications Sub-Process process. The information is arranged in this way to support analysis of these activities; both individually and collectively.

4.4.1 ELAPSED TIME

Exhibit 21 – Process DUA Certifications Sub-Process Activity Elapsed Time lists the time required to complete specific activities that make up the Process DUA Certifications Sub-Process. The times are estimated except where noted. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Process Time	The “hands-on” time it takes to complete the activity (does not include mail, transport, or time spent waiting for another activity to complete).
Cycle Time	The total elapsed time from the beginning of the activity until it is complete, inclusive of all delays from transport, mail, other processes, and work load.
Limit or Goal Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, AWI policy, etc.).
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Index	Activity Label	Process Time	Cycle Time	Limit or Goal Time	Limit or Goal Source	Speed Bumps
6.06.04	Correct Initial Certification	Varies with Claimant.	Varies with Claimant.	--	--	Claimant may not correct the certification of weeks, resulting in stopped benefits.
6.06.16	Correct Certification	Varies with Claimant.	Varies with Claimant	--	--	Claimant may not correct the certification of weeks, resulting in stopped benefits.

Exhibit 21 – Process DUA Certifications Sub-Process Activity Elapsed Time

4.4.2 PAPER DOCUMENTATION

Exhibit 22 – Process DUA Certifications Sub-Process Paper Documentation lists the paper documents required to complete specific activities that make up Process DUA Certifications Sub-Process. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document. More than one document may be required to carry out a single activity, so each is listed. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Originator and title of the source instruction or policy.

Index	Activity Label	Document Title	Document Description	Reference or Source
6.06.01	Submit Completed Initial Certification	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.02	Receive & Review Initial Certification	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.03	Return Initial Certification for Correction	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.04	Correct Initial Certification	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.05	Process Initial Certifications	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.06	Place on Reject List	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.07	DUA Coordinator Reviews & Corrects	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.08	Process Certification	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.09	Send Next Certifications	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.10	Send Second Certifications	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.11	Take File to Imaging	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.12	Complete Certification	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.13	Submit Completed Certification	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.14	Receive & Review Certification	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.15	Return Certification for Correction	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI
6.06.16	Correct Certification	AWI UCB/DUA-60 AWI UCB/DUA-61	DUA Weekly Claim Certification DUA Local Office Weekly Claim Certification	AWI

Exhibit 22 – Process DUA Certifications Sub-Process Paper Documentation

4.4.3 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

Exhibit 23 – Process DUA Certifications Sub-Process Data Entry & Data Transfer lists the business systems that are employed directly (touched) or indirectly (data transfer) in the course of the Process DUA Certifications Sub-Process. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one; entry is made by a person, transfers are from system to system.

Index	Activity Label	Business System	Program or Intent	Mode
6.06.05	Process Initial Certifications	UC	Process initial certification of weeks for payment of benefits.	Entry
6.06.05	Process Initial Certifications	UC	Claims Processor processes initial certification of weeks which do not contain Claimant errors.	Entry?
6.06.06	Place on Reject List	UC	Certification of weeks fails to process due to errors which are not the Claimant's responsibility.	Entry
6.06.07	DUA Coordinator Reviews & Corrects	UC	DUA Coordinator reviews the Claimant's history and claim, and corrects errors with the processing of the certifications.	Query
6.06.08	Process Certification	UC	The Claims Processor processes certification of weeks which had included errors which were not the Claimant's responsibility.	Entry
6.06.09	Send Next Certifications	UC	Generate next certification of weeks subsequent to processing previous certification of weeks.	Entry
6.06.10	Send Second Certifications	UC	Generate next certification of weeks subsequent to processing previous certification of weeks.	Entry
6.06.11	Take File to Imaging	Imaging	Scan image of processed certifications of weeks for archival storage.	Entry

Exhibit 23 – Process DUA Certifications Sub-Process Data Entry & Data Transfer

4.4.4 COMMUNICATION

Exhibit 24 – Process DUA Certifications Sub-Process Communication lists the messages, such as the US mail, emails, phone calls and any other correspondence, *regularly used in the normal course* of the Process DUA Certifications Sub-Process. Messages are sent to convey required documentation, inform recipients about the status of an activity, to trigger the start or end of other activities, to grant or withdraw authorization, etc. This section only concerns messages sent during normal (as intended) operations. There may be more than one message associated with any activity in this process. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Message Type	US mail, email, phone call, etc.
Message Sender	The organization or role of the message sender.
Message Purpose	The intended purpose for sending the message.
Message Recipient	The organization or role of the intended recipient.
Occasion	Event or action that triggers the requirement to send the message.

Index	Activity Label	Message Type	Sender	Message Purpose	Message Recipient	Occasion
6.06.01	Submit Completed Initial Certification	Mail, IVR, FLUID	Claimant	Submit Completed Initial Certification of Weeks.	DUA Claims Processor	Claimant has completed Initial Certification of Weeks

Index	Activity Label	Message Type	Sender	Message Purpose	Message Recipient	Occasion
6.06.03	Return Initial Certification for Correction	Mail	DUA Claims Processor	Initial certification of weeks containing errors the Claims Processor was unable to resolve with the Claimant by phone.	Claimant	Claims Processor identified Claimant-responsible errors initial certification of weeks, and was unable to resolve with the Claimant by phone.
6.06.09	Send Next Certifications	Mail	DUA Claims Processor	Indicates for the system to send the Claimant the next set of certification of weeks.	Claimant	Certification of weeks processed successfully.
6.06.10	Send Second Certifications	Mail	DUA Claims Processor	Indicates for the system to send the Claimant the next set of certification of weeks.	Claimant	Certification of weeks processed successfully.
6.06.13	Submit Completed Certification	Mail	Claimant	Claimant submits subsequent certification of weeks.	DUA Claims Processor	Claimant completes subsequent certification of weeks.
6.06.15	Return Certification for Correction	Mail	DUA Claims Processor	Claims Processor returns certification of weeks containing errors the Claims Processor was unable to resolve with the Claimant by phone.	Claimant	Claims Processor identified Claimant-responsible errors initial certification of weeks, and was unable to resolve with the Claimant by phone.

Exhibit 24 – Process DUA Certifications Sub-Process Communication

4.4.5 OPPORTUNITIES

The purpose of this section is to capture general overall improvement suggestions that can apply as an improvement to multiple areas under the function and responsibility of Process DUA Certifications Sub-Process. Since UC recently updated the entire DUA process for a more efficient business flow, there are very few short-term opportunities for improving the existing system.

The following is a description and definition of each of the columns in this table.

Origin	The area of the improvement such as: Central Office, Hub, etc.
Problem Statement	Description of the problem or opportunity identified.
Recommendation	Description of the proposed recommendation, including expected result.
Value Added	Description of the expected value received if the recommendation to the problem statement is identified.

Short Term Opportunities for Improvement			
Origin	Problem Statement	Recommendation	Value Added
	Paper certifications of weeks are prone to errors, and labor intensive to process.	Find a way to enable all certifications of weeks to process electronically.	Improved customer service and reduced delays in payments.

Exhibit 25 – Short Term Opportunities for Improvement

Long Term Opportunities for Improvement			
Origin	Problem Statement	Recommendation	Value Added

Exhibit 26 – Long Term Opportunities for Improvement

5 PURPOSE AND OBJECTIVES OF THE AMEND DECLARATION SUB-PROCESS

The Amend Declaration Sub-Process consists of activities that are carried out in response to an amended Individual Assistance Declaration. Such an amendment may be made based on the empirical claims data gathered since the AWI began providing DUA benefits for current specific disaster.

Objectives for this sub-process include:

- Preparing and submitting a revised claims estimate to the US Department of Labor;
- Receiving and applying an amended DUA benefits award.

5.1 BEGINNING AND ENDING POINTS

Beginning Point:

- UC Finance prepares a revised claims estimate.

Ending Point:

- UC Finance receives an amended award from the US Dept. of Labor.

5.2 AMEND DECLARATION SUB-PROCESS DIAGRAM

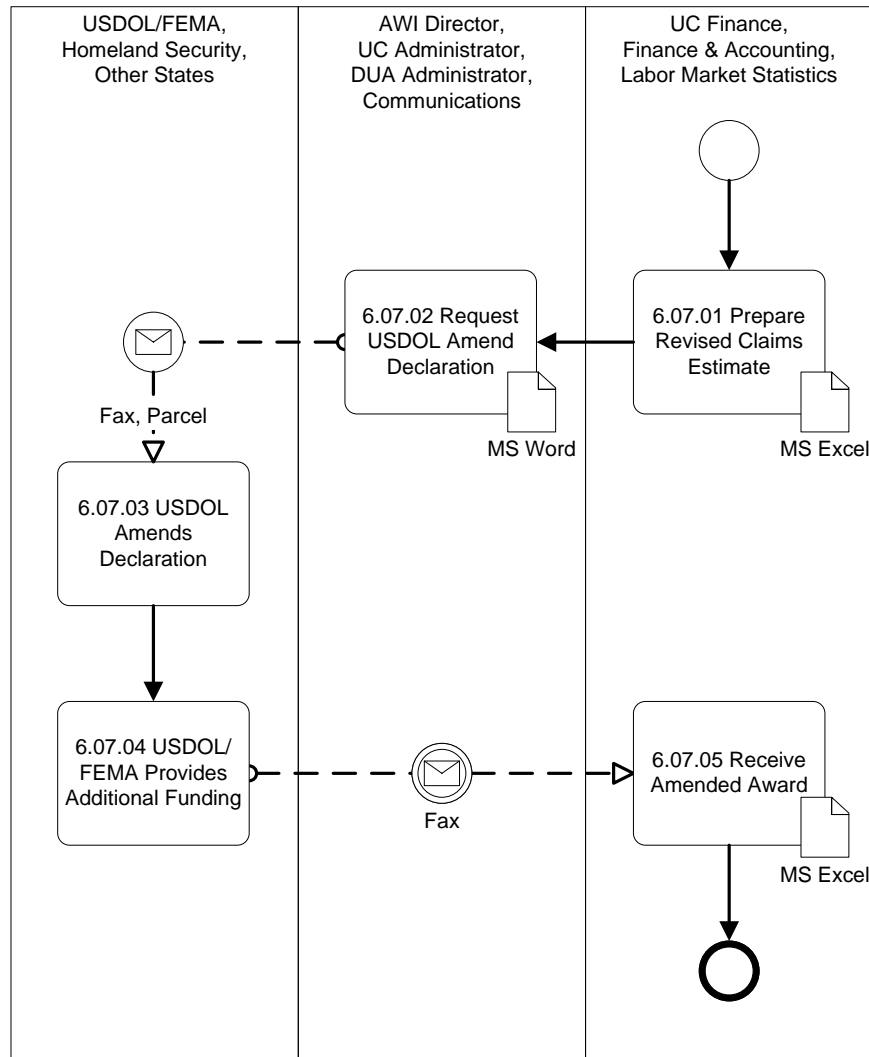


Exhibit 27 – Amend Declaration Sub-Process Flow

5.3 AMEND DECLARATION SUB-PROCESS ACTIVITIES

Exhibit 28 – Amend Declaration Sub-Process Activities lists the activities that make up the Process DUA Certifications Sub-Process. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Activity Description	The full-text description of that activity.
Actors	The job or role title of the individuals having a primary role for that activity.

Index	Activity Label	Activity Description	Actors
6.07.01	Prepare Revised Claims Estimate	As circumstances dictate, prepare Revised Claims Estimate using data from Labor Market Statistics. Causal factors might include a Preliminary Estimate that was too low, or more counties are added to the disaster zone.	UC Finance

Index	Activity Label	Activity Description	Actors
6.07.02	Request USDOL Amend Declaration	As circumstances dictate, request the US Dept. of Labor amend the Individual Assistance Declaration.	DUA Administrator
6.07.03	USDOL Amends Declaration	US Dept. of Labor reviews the Revised Claims Estimate, and determines the need for an amended declaration	US Dept. of Labor
6.07.04	USDOL/FEMA Provides Additional Funding	If the US Dept. of Labor determines the Revised Claims Estimate warrants, they provide the amended Individual Assistance Declaration. FEMA in turn provides any additional funding.	US Dept. of Labor, Federal Emergency Management Agency
6.07.05	Receive Amended Award	UC Finance receives the amended Individual Assistance Declaration, and continues monitoring budgets and expenditures.	UC Finance

Exhibit 28 – Amend Declaration Sub-Process Activities

5.4 PROCESS ATTRIBUTES

The following sections present the recorded details about specific of the activities in the Amend Declaration Sub-Process process. The information is arranged in this way to support analysis of these activities; both individually and collectively.

5.4.1 ELAPSED TIME

Exhibit 29 – Amend Declaration Sub-Process Activity Elapsed Time lists the time required to complete specific activities that make up the Process DUA Certifications Sub-Process. The times are estimated except where noted. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Process Time	The “hands-on” time it takes to complete the activity (does not include mail, transport, or time spent waiting for another activity to complete).
Cycle Time	The total elapsed time from the beginning of the activity until it is complete, inclusive of all delays from transport, mail, other processes, and work load.
Limit or Goal Time	Any time limits or goals, from any source – internal or external – pertaining to this activity.
Limit or Goal Source	The source of the limit or goal listed above (Florida Statutes, AWI policy, etc.).
Speed Bumps	Specific, recurring difficulties that slow the progress of this activity.

Index	Activity Label	Process Time	Cycle Time	Limit or Goal Time	Limit or Goal Source	Speed Bumps
6.07.02	Request US Dept. of Labor Amend Declaration	--	2 days	--	--	Cycle time depends on the availability of AWI administration to review and approve the Revised Claims Estimate and Request.
6.07.04	USDOL/FEMA Provides Additional Funding	--	3 weeks	--	--	--

Exhibit 29 – Amend Declaration Sub-Process Activity Elapsed Time

5.4.2 PAPER DOCUMENTATION

Exhibit 30 – Amend Declaration Sub-Process Paper Documentation lists the paper documents required to

complete specific activities that make up Amend Declaration Sub-Process. The reference column refers to the originator and title of policy, procedure, or instruction that contains the form or specifies the content of the document. More than one document may be required to carry out a single activity, so each is listed. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Document Title	Short title, form number or other designation for the document.
Document Description	General description of the document contents and purpose.
Reference or Source	Originator and title of the source instruction or policy.

Index	Activity Label	Document Title	Document Description	Reference or Source
6.07.01	Prepare Revised Claims Estimate	Revised Claims Estimate	Labor Market Statistics (LMS) produces a revised estimate of the workload for each county in the declaration, which LMS emails to UC Finance. UC Finance prepares the Resource Justification Model (RJM), using the MS Excel spreadsheet < Pat's Process for DUA.xls > Tabs: <i>Summary, ET Handbook 356-2, TornadoesFeb2007, Budget Estimates, Grant Request, People First Request, Budget Request</i> . It provides the parameters for Minutes Per Unit (MPU) calculations, generating the revised estimate of claims processor staff time costs. UC Finance then uses this data to prepare the Revised Claims Estimate.	UC Finance
6.07.02	Request US Dept. of Labor Amend Declaration	Request to Amend Declaration	Build the Request to Amend Declaration from Revised Claims Estimate. Budget and Cover Letter are from MS Word template. Send Budget with Cover Letter via Fax and Overnight Parcel Service to the US Dept. of Labor Regional Office in Atlanta.	DUA Administrator
6.07.03	US Dept. of Labor Amends Declaration	Amended Individual Assistance Declaration	Amends the original Individual Assistance Declaration based on the amendment request.	Dept. of Labor/Federal Emergency Management Agency/Dept. of Homeland Security
6.07.04	US Dept. of Labor/FEMA Provides Additional Funding	Notice of Obligational Authority	Establishes an account against which AWI UC draws.	Dept. of Labor/Federal Emergency Management Agency/Dept. of Homeland Security

Exhibit 30 – Amend Declaration Sub-Process Paper Documentation

5.4.3 BUSINESS SYSTEM DATA ENTRY & DATA TRANSFER

Exhibit 31 – Amend Declaration Sub-Process Data Entry & Data Transfer lists the business systems that

are employed directly (touched) or indirectly (data transfer) in the course of the Amend Declaration Sub-Process. The following is a description and definition of each of the columns in this table.

Index	A number for use in referencing the activity.
Activity Label	A short name for that activity that is used to represent it in the detailed workflow diagram.
Business System	The name or designation of the system touched (if any).
Purpose or Intent	The business objective accomplished by using the system or systems.
Mode	Choose one; entry is made by a person, transfers are from system to system.

Index	Activity Label	Business System	Program or Intent	Mode
6.07.01	Prepare Revised Claims Estimate	MS Excel	Labor Market Statistics (LMS) produces an estimate of the workload for each county in the declaration, which LMS emails to UC Finance. UC Finance prepares the Resource Justification Model (RJM), using the MS Excel spreadsheet < Pat's Process for DUA.xls > Tabs: <u>Summary</u> , <u>ET Handbook 356-2</u> , <u>TornadoesFeb2007</u> , <u>Budget Estimates</u> , <u>Grant Request</u> , <u>People First Request</u> , <u>Budget Request</u> . It provides the parameters for Minutes Per Unit (MPU) calculations, generating the revised estimate of claims processor staff time costs. UC Finance then uses this data to prepare the Revised Claims Estimate.	Transfer
6.07.02	Request US Dept. of Labor Amend Declaration	MS Word	Build the Budget from Preliminary Claims Estimate. Budget and Cover Letter are from MS Word template. Send Budget with Cover Letter via Fax and Overnight Parcel Service to the US Dept. of Labor Regional Office in Atlanta.	Entry
6.07.05	Receive Amended Award	MS Excel	Monitor expenditures against award in the MS Excel spreadsheet < Pat's Process for DUA.xls >	Entry

Exhibit 31 – Amend Declaration Sub-Process Data Entry & Data Transfer

5.4.4 COMMUNICATION

Exhibit 32 – Amend Declaration Sub-Process Communication lists the messages, such as the US mail, emails, phone calls and any other correspondence, *regularly used in the normal course* of the Amend Declaration Sub-Process. Messages are sent to convey required documentation, inform recipients about the status of an activity, to trigger the start or end of other activities, to grant or withdraw authorization, etc. This section only concerns messages sent during normal (as intended) operations. There may be more than one message associated with any activity in this process. The following is a description and definition of each of the columns in this table.

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Message Sender	The organization or role of the message sender.
Message Purpose	The intended purpose for sending the message.
Message Recipient	The organization or role of the intended recipient.
Occasion	Event or action that triggers the requirement to send the message.

Index	Activity Label	Message Type	Sender	Message Purpose	Message Recipient	Occasion
6.07.02	Request US Dept. of Labor Amend Declaration	Fax, Parcel	DUA Administrator	Request the US Dept. of Labor amend the Individual Assistance Declaration.	US Dept. of Labor	UC Finance has determined there is a need to amend the Individual Assistance Declaration.
6.07.04	US Dept. of Labor/FEMA Provides Additional Funding	Fax	US Dept. of Labor	US Dept. of Labor amends the Individual Assistance Declaration and issues a revised Notice of Obligational Authority.	UC Finance	US Dept. of Labor amends the Individual Assistance Declaration.

Exhibit 32 – Amend Declaration Sub-Process Communication

5.4.5 OPPORTUNITIES

The purpose of this section is to capture general overall improvement suggestions that can apply as an improvement to multiple areas under the function and responsibility of Amend Declaration Sub-Process. Since UC recently updated the entire DUA process for a more efficient business flow, there are very few short-term opportunities for improving the existing system.

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Problem Statement	Description of the problem or opportunity identified.
Recommendation	Description of the proposed recommendation, including expected result.
Value Added	Description of the expected value received if the recommendation to the problem statement is identified.

Short Term Opportunities for Improvement			
Origin	Problem Statement	Recommendation	Value Added

Exhibit 33 – Short Term Opportunities for Improvement

Long Term Opportunities for Improvement			
Origin	Problem Statement	Recommendation	Value Added

Exhibit 34 – Long Term Opportunities for Improvement