



State of Florida
Agency for Workforce Innovation

Unemployment Compensation Project – Phase 2

To-Be Business Process – Audit

Document Control

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0. TO-BE PROCESS – AUDIT

0.1. OVERVIEW

The Audit core process is comprised of four distinct sub-processes: Benefit Accuracy Measurement (BAM), Benefit Timeliness and Quality (BTQ) - Quarterly Reporting, BTQ – Non-Monetary Reviews, and BTQ – Data Validation.

1. Benefit Accuracy Measurement (BAM)

BAM is a federally mandated program providing the basis for assessing the accuracy of Unemployment Insurance payments made to claimants and the accuracy of benefits denied to claimants. BAM is also a diagnostic tool for Federal and State workforce agency staff members to assist in error identification and causal analysis. BAM supports the Agency’s desire to implement corrective actions and to track the effectiveness of those remedial actions.

2. Benefit Timeliness Quality (BTQ) – Quarterly Reporting

The determination of a claimant’s eligibility for unemployment insurance (UI) benefits is a critical UI program function. When issues arise that may affect a claimant’s past, present, or future benefits, the adjudicator is responsible for determining the claimant’s eligibility for those benefits. Such determinations may also affect an employer’s liability for benefit charges, depending on the type of issues adjudicated. The adjudicator’s work impacts the rights of both claimants and employers. The BTQ unit is responsible to report quarterly to the U.S. Department of Labor (DOL) for nonmonetary claims.

3. Benefit Timeliness Quality (BTQ) – Non-Monetary Reviews

UC has instituted an internal quality review process under the auspices of the BTQ unit to perform periodic assessments of adjudicators in each Adjudication Hub. The information gathered through the reviews provides insight to existing or potential issues that may be causing difficulties in particular adjudication areas (e.g., separation issues). Managers can use that information to take corrective action which may include arranging for remedial training, modifying policies and procedures, and/or suggesting changes to the automated system(s) to address less than satisfactory performance.

4. Benefit Timeliness Quality (BTQ) – Data Validation

The comprehensive Federal data validation program is necessary to ensure the accuracy of Unemployment Insurance Required Reports (UIRR) data. UIRR data are used for economic statistics, to allocate UI administrative funding based on state workload, to measure state claimant eligibility criteria and performance in providing benefits, and to account for fund utilization. It is therefore essential that states report UIRR data accurately and uniformly. States report to DOL on a monthly and quarterly basis under the Unemployment Insurance Required Reports system.

Note: Many units within AWI perform “audit” functions to monitor their performance. The processes described here address specifically BAM and BTQ and are not meant to encompass other audit functions within AWI.

0.2. ASSUMPTIONS

This section lists any assumptions concerning technology, policy, statute, or process that must be implemented to enable the To-Be processes:

- The system will include a workflow engine used to create work items, manage work queues, and route work items between queues in accordance with defined rules.
- Generic work queues will be established, as appropriate, to support the processing of unknown, misrouted, or incomplete work items.

-
- The system will include clearly defined roles and authorities for all users; every user will be assigned to a specific role.
 - The system will include Case and Document Management functionality to manage related work components and artifacts.
 - All incoming and outgoing correspondence will be indexed and available on-line in electronic format.
 - Employers, Claimants, and authorized third-parties will have system accounts, protected by appropriate security credentials, and all work items will be associated to those accounts.
 - The system will maintain balances for all accounts and automatically recalculate balances based on the reversal or modification of prior actions.
 - Claimants, Employers, and authorized third-parties will be able to opt for electronic communication.
 - Email will be an optional communication method for external parties (claimants, employers, and authorized third-parties). Communication will be in accordance with the preferred method (e.g., email notifications, fax, paper).
 - The system will not send sensitive information via email. Users will be notified documents are ready to be viewed using their online accounts. Access to documents will be controlled using appropriate security credentials.
 - All claims, claim weeks, determinations, and payments will be traceable to funding sources and employer chargeability records.
 - The system will create and maintain an online history of all activities related to a particular claimant, employer, or authorized third-party to include claims, claim weeks, determinations, and decisions.
 - The system will implement and support all upload/download capabilities of the Unemployment Insurance Electronic Entry System (UIEES).

0.3. WORKFLOW DIAGRAM

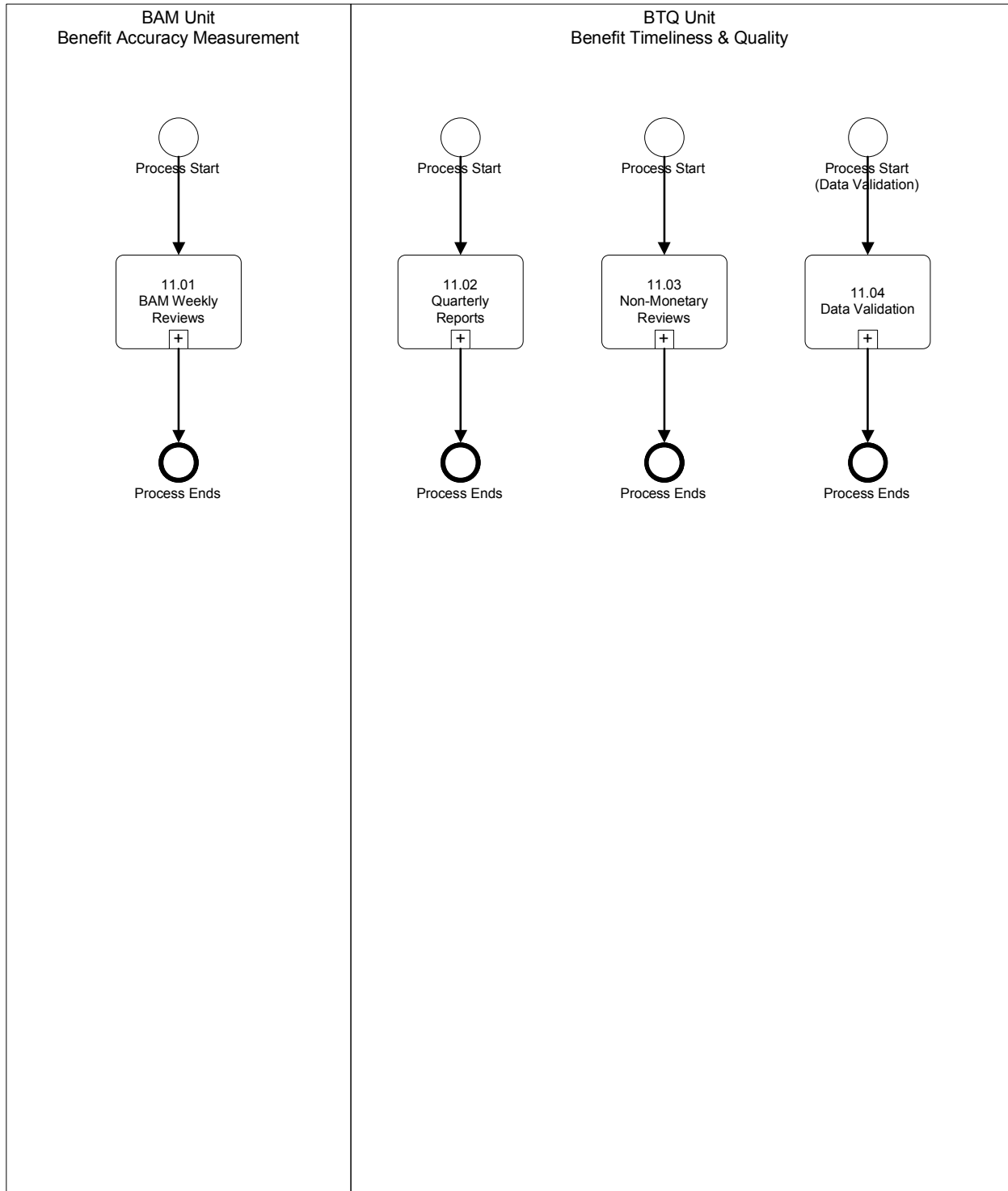


Exhibit 1 – Audit Workflow Diagram

1. TO-BE SUB-PROCESS – BENEFIT ACCURACY MEASUREMENT (BAM) WEEKLY REVIEWS

1.1. OVERVIEW

BAM is a federally mandated program providing the basis for assessing the accuracy of Unemployment Insurance payments made to claimants and the accuracy of benefits denied to claimants. BAM is also a diagnostic tool for Federal and State workforce agency staff members to assist in error identification and causal analysis. BAM supports the Agency's desire to implement corrective actions and to track the effectiveness of those remedial actions.

A weekly, representative sample of UI payments and disqualifying ineligibility determinations are drawn (from the U.S. Department of Labor Unemployment Insurance Electronic Entry System), investigated, and audited intensively to determine whether they were properly administered to claimants and whether the claimants were properly paid or appropriately denied. Up to ten cases each for paid and denial determinations are randomly selected for audit. The normal annual caseload is 480 paid claims and 450 denied determinations. The specific number of required audits may be changed by the U.S. Department of Labor depending upon prevailing conditions (i.e., during periods of high unemployment, the Federal government may reduce the number of audits to allow an agency to re-assign human resources to other tasks such as claim adjudication).

The objectives of this sub-process include:

- Assess the accuracy of Unemployment Insurance payments
- Assess improvements in program accuracy and integrity
- Encourage more efficient administration of the Unemployment Insurance program

Beginning Points

- A list of completed claims is downloaded from the U.S. Department of Labor (DOL) Unemployment Insurance Electronic Entry System (UIEES).

Ending Points

- The results of the investigation are returned to the DOL State Menu system.

1.2. WORKFLOW DIAGRAM

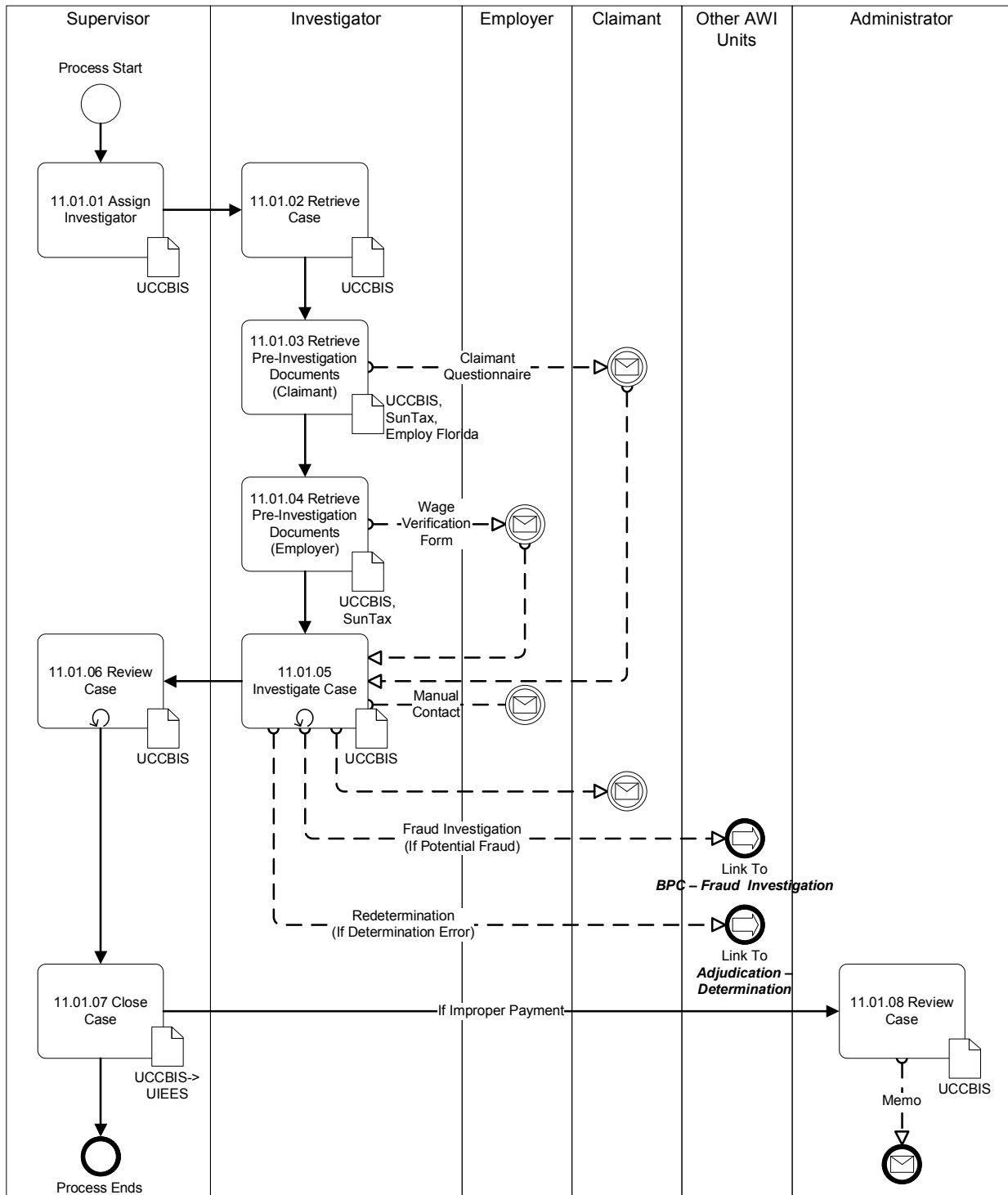


Exhibit 2 – Benefit Accuracy Measurement (BAM) Workflow Diagram

1.3. ACTIVITIES

The table below lists the activities that make up 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.
System Activity Description	The full-text description of that activity from the perspective of the system.
Actor Activity Description	The full-text description of that activity from the perspective of the user or actor.
Actor(s)	The job or role title of the individuals having a primary role for that activity.

Index	Activity Label	System Activity Description	Actor Activity Description	Actor(s)
11.01.01	Assign Investigator	The U.S. Department of Labor (DOL) provides a random selection of Paid (PCA) and Denied (DCA) claims for state audit via the Unemployment Insurance Electronic Entry System (UIEES). Each week the system will download cases for investigation/audit and place work items in the Supervisor's work queue.	The Supervisor will assign an Investigator to each downloaded work item.	Supervisor
11.01.02	Retrieve Case	The system will place the work item in the assigned Investigator's work queue.	The Investigator will select an assigned work item for investigation.	Investigator
11.01.03	Retrieve Pre-Investigation Documents (Claimant)	The system will provide the necessary output/information to the Investigator and attach it to the work item (Weekly Claim Certification, Wage Transcript & Determination, Claim History, Overpayment History, Determination History, Claim Form, Out of State Wages (if any), National New Hire Report). Additionally, information retrieved from other systems or provided by the claimant will be attached to the work item as it is uploaded. Upon request, the system will create the Claimant Questionnaire and route it to the Claimant's selected communication medium (i.e., via the Portal or US Mail).	The Investigator will gather and upload information from other systems (SunTax, EmployFlorida). The Investigator will also request the production of the Claimant Questionnaire to be completed by the Claimant.	Investigator

Index	Activity Label	System Activity Description	Actor Activity Description	Actor(s)
11.01.04	Retrieve Pre-Investigation Documents (Employer)	<p>The system will provide the necessary output/information to the Investigator and attach it to the work item (SunTax Wage Crossmatch). Additionally, information retrieved from other systems or provided by the employer will be attached to the work item as it is uploaded.</p> <p>Upon request, the system will create the Wage Verification Form and route it to the Employer's selected communication medium (i.e., via the Portal, fax, or US Mail).</p>	<p>The Investigator will gather and upload information to the system from other systems (SunTax). The Investigator will also request the production of the Wage Verification Form to be completed by the Employer.</p>	Investigator
11.01.05	Investigate Case	<p>The system will provide a mechanism to record investigation activities, upload and attach information provided by the claimant (Claimant Questionnaire, other documents), employer (Wage Verification Form, other documents), or third parties. Additionally, the system will provide for the completion of the USDOL Code Sheet used to report the outcome of the investigation. Finally, the system will provide the capability to request redeterminations and/or fraud investigations as necessary through the creation of new work items in the necessary work queue(s).</p>	<p>The Investigator will review all the information in the system. The Investigator will communicate with claimants, employers, or other parties on an ad-hoc basis to clarify existing information or to gather additional information (School Verification, Work Search Verification(s)). The Investigator will request action from other AWI units – in the event that the determination was made incorrectly or the investigation reveals potentially fraudulent activity on the part of the Claimant or Employer. Upon completion, the Investigator will mark the work item as ready for review.</p>	Investigator
11.01.06	Review Case	<p>The system will place the work item in the Supervisor's work queue. At the Supervisor's request, the system will return the work item to the Investigator.</p>	<p>The Supervisor will review the case information and, in an iterative process, direct the Investigator to make necessary corrections to the case. Upon completion, the Investigator will again mark the work item as ready for review.</p>	Supervisor

Index	Activity Label	System Activity Description	Actor Activity Description	Actor(s)
11.01.07	Close Case	The system will close the work item and update the USDOL State Menu System with the results of the investigation. The system will retain all investigation information for a period of three years.	Once the case investigation is complete to the satisfaction of the Supervisor, the case will be closed in the system. If an Improper Payment has been made, the Supervisor will route the closed case to the Administrator for review.	Supervisor
11.01.08	Review Case	The system will place the closed work item in the assigned Administrator's work queue.	The Administrator will review the case. If the improper payment was made in violation of law or policy, a memorandum will be prepared summarizing the results of the investigation. The memorandum will be sent to the Adjudication Hub Supervisor and/or AWI Management for appropriate action.	Administrator

1.4. CORRESPONDENCE

The table below lists any messages, such as the US mail, emails, faxes, phone calls and any other correspondence, *regularly used in the normal course* of this process.

Note: The Unemployment Compensation Claims and Benefits Information System (UCCBIS) will provide a self-service portal to allow users (claimants and employers) to “opt in” to electronic delivery of documents (e.g., messages, notices, and other correspondence). Documents will not be “sent” to users who elect electronic communications, rather, email notifications will be issued to inform users they have documents available for review. A user will log on to the account using their unique security credentials (created when they initially set up their online account) to read the documents and will then undertake appropriate action(s). Unless otherwise precluded by law, any message listed in the following table may be delivered via the self-service portal once a user “opts in” for electronic delivery.

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.
Type	Form – An official request for specific information based in a pre-defined format. Notice – Notice of an official Agency action or determination. Ad-Hoc – Requests for information, responses, and general communications. Normally used to validate or complete existing records. Memo - Internal communication for the purpose of sharing information.
Purpose	The intended purpose for sending the 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	Type	Purpose	Recipient	Occasion
11.01.03	Retrieve Pre-Investigation Documents (Claimant)	Form	To request information from the claimant regarding the claim being audited (Claimant Questionnaire).	Claimant	When a claim has been selected for audit.
11.01.04	Retrieve Pre-Investigation Documents (Employer)	Form	To request information from the Employer regarding the claim being audited (Wage Verification Form).	Employer	When a claim has been selected for audit.
11.01.05	Investigate Case	Form	To provide information from the Claimant regarding the claim being audited (Claimant Questionnaire)	Reviewer	When a Claimant responds to the Claimant Questionnaire.
11.01.05	Investigate Case	Form	To provide information from the Employer regarding the claim being audited (Wage Verification Form)	Reviewer	When a Employer responds to the Wage Verification Form.
11.01.05	Investigate Case	Ad-Hoc	To gather additional information as necessary.	Claimant	When the information reported by the Claimant is incomplete or in conflict with previously received information..
11.01.05	Investigate Case	Ad-Hoc	To gather additional information as necessary.	Employer	When the information reported by the Employer is incomplete or in conflict with previously received information.
11.01.05	Investigate Case	Form	To request information from a third-party regarding the claim being audited (School Verification Form, Work Search Verifications).	Schools/Private Job Search Firms, Labor Organization, Potential Employers	When the Claimant responds with information that is not verifiable via UCCBIS or EmployFlorida.
11.01.08	Review Case	Memo	To notify the Adjudication Hub Supervisor and/or AWI Management of an improper payment for appropriate corrective action.	Adjudication Hub Supervisor/ AWI Management	When an improper payment is detected in violation of law or policy.

1.5. PERFORMANCE METRICS

The table below lists any performance metrics that may be used to measure the outcome, accuracy or efficiency of this process.

Title	A description of the metric
Metric	Complete description of the performance measure
Target	Goal or Target to expected or N/A if not applicable
Source	The performance metric source (Florida Statutes, AWI policy, etc.).

Title	Metric	Target	Source
BAM – Investigation Aging	Elapsed time from assignment of the case to the closing of the case in the UIEES. The US DOL requires that 98% of all cases be completed within 120 days from assignment (with subsidiary goals for 60 and 90 days). The BAM unit is currently averaging 56 days for Paid Cases (100% completed in 60 days) and 53 days for Denied Cases (100% completed in 60 days).	All cases completed within 60 days.	US DOL ETA Handbook No. 395

1.6. BUSINESS RULES

The table below lists any statutes or policies that govern the execution of this process. These business rules may be executed by the system or the user. The following is a description and definition of each of the columns in this table.

Number	The unique number assigned to the business rule.
Conflict	Y(Yes) if the current Statute, Administrative Code, or AWI Policy conflicts with the to-be process or N (No) if the current Statute, Administrative Code, or AWI Policy does not conflict with the to-be process.
Description	A full-text description of the business rule.

Number	Conflict	Description
BR11.01.01	N	US DOL ETA Handbook No. 395 5 th Edition (11/17/2009)
BR11.01.02	N	Social Security Act § 303(a)(6), 42 U.S.C. § 503(a)(6) (2006) – States required to comply with Department of Labor reporting.
BR11.01.03	N	20 C.F.R. § 602.10(b) (2009) – Quality Control In the Federal-State Unemployment Insurance System – Federal Requirements for Reporting.
BR11.01.04	N	Fla. Stat. § 443.171(9)3 (2009) – State-Federal Cooperation – Requirement to comply with Department of Labor reporting.

1.7. TIME CONSTRAINTS

The table below lists any time constraints that are placed on activities within this process. Time constraints may be required completion times or required pauses in the process to allow for responses. 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.
Source	The source of the constraint (Florida Statutes, AWI policy, etc.).
Constraint	A full-text description of the constraint.

Index	Activity Label	Source	Constraint
11.01	BAM Sub-Process	US DOL ETA Handbook No. 395	Paid Cases: 70% Complete within 60 days, 95% Complete within 95 days, 98% Complete within 120 days. Denied Cases: 60% Complete within 60 days, 85% Complete within 90 days, 98% Complete within 120 days.
11.01.03	Retrieve Pre-Investigation Documents (Claimant)	BAM Unit Policy	The Claimant Questionnaire must be completed and returned within 17 days. If the Claimant does not respond, further payments, if any, are suspended. Once a response is provided, payments, if any, are resumed.

2. TO-BE SUB-PROCESS – BTQ – QUARTERLY REPORTS

2.1. OVERVIEW

The determination of a claimant's eligibility for unemployment insurance (UI) benefits is a critical UI program function. When issues arise that may affect a claimant's past, present, or future benefits, the adjudicator is responsible for determining the claimant's eligibility for those benefits. Such determinations may also affect an employer's liability for benefit charges, depending on the type of issues adjudicated. The adjudicator's work impacts the rights of both claimants and employers. The BTQ unit is responsible to report quarterly to the U.S. Department of Labor (DOL) for nonmonetary claims. Annually, the quarterly report reviews are done in conjunction with the tri-partite review process. The initial review is done as normal, however the second review is done by auditors from another state.

The objectives of this sub-process include:

- Assess the overall quality of the nonmonetary determination process using a set of prescribed evaluation criteria.

Beginning Points

- A random list of claims is generated for review on the first workday of each quarter.

Ending Points

- The ETA 9056 Report is completed for all reviewed claims.

2.2. WORKFLOW DIAGRAM

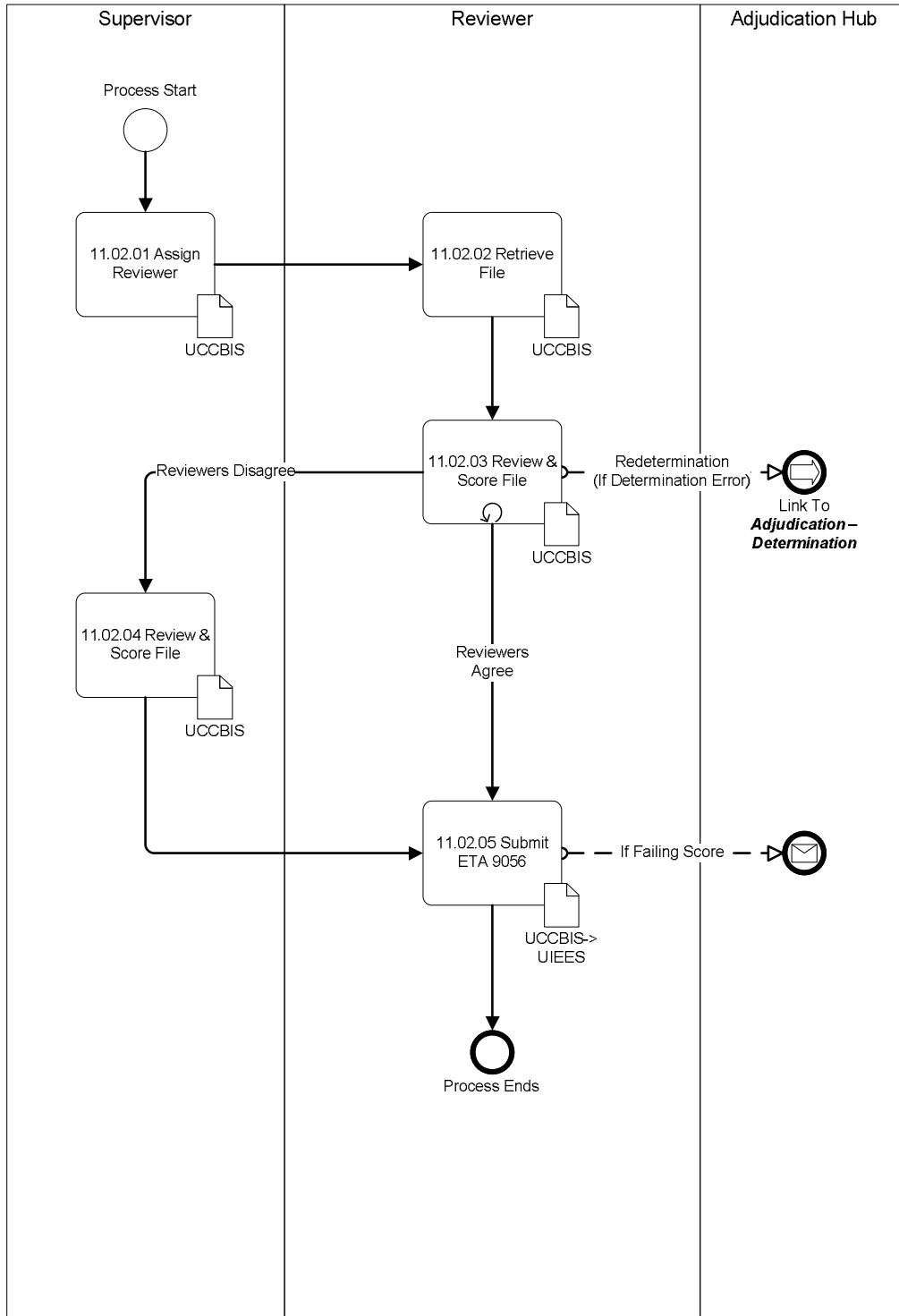


Exhibit 3 – BTQ – Quarterly Reports Workflow Diagram

2.3. ACTIVITIES

The table below lists the activities that make up 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.
System Activity Description	The full-text description of that activity from the perspective of the system.
Actor Activity Description	The full-text description of that activity from the perspective of the user or actor.
Actor(s)	The job or role title of the individuals having a primary role for that activity.

Index	Activity Label	System Activity Description	Actor Activity Description	Actor(s)
11.02.01	Assign Reviewer	The system will have coded within it a U.S. Department of Labor (DOL) algorithm which automatically selects random claims for review (50 Separations, 50 Non-Separations). For quarterly reporting, the process is executed on the first workday of each quarter (January, April, July, and October). After selection, the system will create work items for each case and place them in the Supervisor's work queue.	The Supervisor will assign a Reviewer for each case. The cases are separated by type (50 Separations and 50 Non-Separations). The Supervisor will assign all cases of a given type to a single Reviewer. Later in this process, the Reviewers will exchange cases and re-score each other's work. Note: Once per year, the second review is conducted off-site as part of the tri-partite process.	Supervisor
11.02.02	Retrieve File	The system will place the work item in the Reviewer's work queue. The system will provide the necessary output/information to the Reviewer and attach it to the work item (Non-Monetary Determination, Determination History, Adjudication File, and Claim History).	The Reviewer will select an assigned work item for review.	Reviewer

Index	Activity Label	System Activity Description	Actor Activity Description	Actor(s)
11.02.03	Review & Score File	<p>The system will provide a mechanism to record review activities. The system will provide for the completion of the USDOL Data Collection Instrument used to report the outcome of the review. Finally, the system will provide the capability to request redeterminations as necessary through the creation of new work items in the necessary work queue(s).</p> <p>The system will place work items in the work queue of the next assigned Reviewer when scoring is completed.</p> <p>When two scores are in conflict, the system will place the work item in the Supervisor's work queue for scoring.</p>	<p>The Reviewer will review all of the information and documentation provided for the selected claim. The work item will be scored in accordance with the ETA Handbook 301.</p> <p>Once all 50 assigned cases of one type are reviewed and scored by one examiner, the Reviewer will assign the cases to another Reviewer for a second score. If there are any disagreements in the scoring, the cases will be submitted to a Supervisor to be scored a third time.</p> <p>If it appears a determination error was committed and is in violation of law and policy, the Reviewer will request a redetermination from the Adjudication unit.</p>	Reviewer
11.02.04	Review & Score File	<p>The system will provide a mechanism to record review activities. The system will provide for the completion of the USDOL Data Collection Instrument used to report the outcome of the review. Finally, the system will provide the capability to request redeterminations as necessary through the creation of new work items in the necessary work queue(s).</p>	<p>The Supervisor will review all of the information and documentation provided for the selected claim. The work item will be scored in accordance with the ETA Handbook 301.</p> <p>The Supervisor will assign the work item back to the Reviewer for submission to the UIEES.</p>	Supervisor
11.02.05	Submit ETA 9056	<p>Once the work item is marked complete, the system will update the UIEES with the results of the review. The system will retain all review information for a period of two years.</p>	<p>The Reviewer will examine the scores. Any two matching scores will constitute the final score. The Reviewer will mark the work item as complete.</p> <p>If the results indicate a failing score, a memo is prepared for the Adjudication Supervisor for feedback to and training for the impacted Adjudicator.</p>	Reviewer

2.4. CORRESPONDENCE

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Note: The Unemployment Compensation Claims and Benefits Information System (UCCBIS) will provide a self-service portal to allow users (claimants and employers) to “opt in” to electronic delivery of documents (e.g., messages, notices, and other correspondence). Documents will not be “sent” to users who elect electronic communications, rather, email notifications will be issued to inform users they have documents available for review. A user will log on to the account using their unique security credentials (created when they initially set up their online account) to read the documents and will then undertake appropriate action(s). Unless otherwise precluded by law, any message listed in the following table may be delivered via the self-service portal once a user “opts in” for electronic delivery.

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Type	Form – An official request for specific information based in a pre-defined format. Notice – Notice of an official Agency action or determination. Ad-Hoc – Requests for information, responses, and general communications. Normally used to validate or complete existing records. Memo - Internal communication for the purpose of sharing information.
Purpose	The intended purpose for sending the 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	Type	Purpose	Recipient	Occasion
11.02.05	Submit ETA 9056	Memo	To notify the Adjudication Hub Supervisor of a failing score on one of his or her adjudicators.	Adjudication Hub Supervisor/	When a reviewed file has a failing score.

2.5. PERFORMANCE METRICS

The table below lists any performance metrics that may be used to measure the outcome, accuracy or efficiency of this process.

Title	A description of the metric
Metric	Complete description of the performance measure
Target	Goal or Target to expected or N/A if not applicable
Source	The performance metric source (Florida Statutes, AWI policy, etc.).

Title	Metric	Target	Source
BTQ – Quarterly Reports – Review Completion	The completion date for each assigned claim.	All assigned cases must be completed by the 20 th day of the month following the quarter start. The BTQ unit is currently in compliance with this standard.	US DOL ETA Handbook No. 301

2.6. BUSINESS RULES

The table below lists any statutes or policies that govern the execution of this process. These business rules may be executed by the system or the user. The following is a description and definition of each of the columns in this table.

Number	The unique number assigned to the business rule.
Conflict	Y(Yes) if the current Statute, Administrative Code, or AWI Policy conflicts with the to-be process or N (No) if the current Statute, Administrative Code, or AWI Policy does not conflict with the to-be process.
Description	A full-text description of the business rule.

Number	Conflict	Description
BR11.02.01	N	US DOL ETA Handbook No. 301 5 th Edition (7/29/2005)
BR11.02.02	N	Social Security Act § 303(a)(6), 42 U.S.C. § 503(a)(6) (2006) – States required to comply with Department of Labor reporting.
BR11.02.03	N	20 C.F.R. § 602.10(b) (2009) – Quality Control In the Federal-State Unemployment Insurance System – Federal Requirements for Reporting.
BR11.02.04	N	Fla. Stat. § 443.171(9)3 (2009) – State-Federal Cooperation – Requirement to comply with Department of Labor reporting.

2.7. TIME CONSTRAINTS

The table below lists any time constraints that are placed on activities within this process. Time constraints may be required completion times or required pauses in the process to allow for responses. 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.
Source	The source of the constraint (Florida Statutes, AWI policy, etc.).
Constraint	A full-text description of the constraint.

Index	Activity Label	Source	Constraint
11.02	BTQ – Quarterly Reports	US DOL ETA Handbook No. 301	All reviews must be completed by the 20 th day of the month following the quarter start (i.e., Feb. 20, May 20, Aug. 20, and Nov. 20).

3. TO-BE SUB-PROCESS – BTQ – NON-MONETARY REVIEWS

3.1. OVERVIEW

UC has instituted an internal quality review process under the auspices of the BTQ unit to perform periodic assessments of adjudicators in each Adjudication Hub. The information gathered through the reviews provides insight to existing or potential issues that may be causing difficulties in particular adjudication areas (e.g., separation issues). Managers can use that information to take corrective action which may include arranging for remedial training, modifying policies and procedures, and/or suggesting changes to the automated system(s) to address less than satisfactory performance.

The objectives of this sub-process include:

- Assess performance and facilitate internal process improvement.

Beginning Points

- An Adjudication Hub is selected for review.

Ending Points

- The results of the claims reviews are recorded in an internal reporting document.

3.2. WORKFLOW DIAGRAM

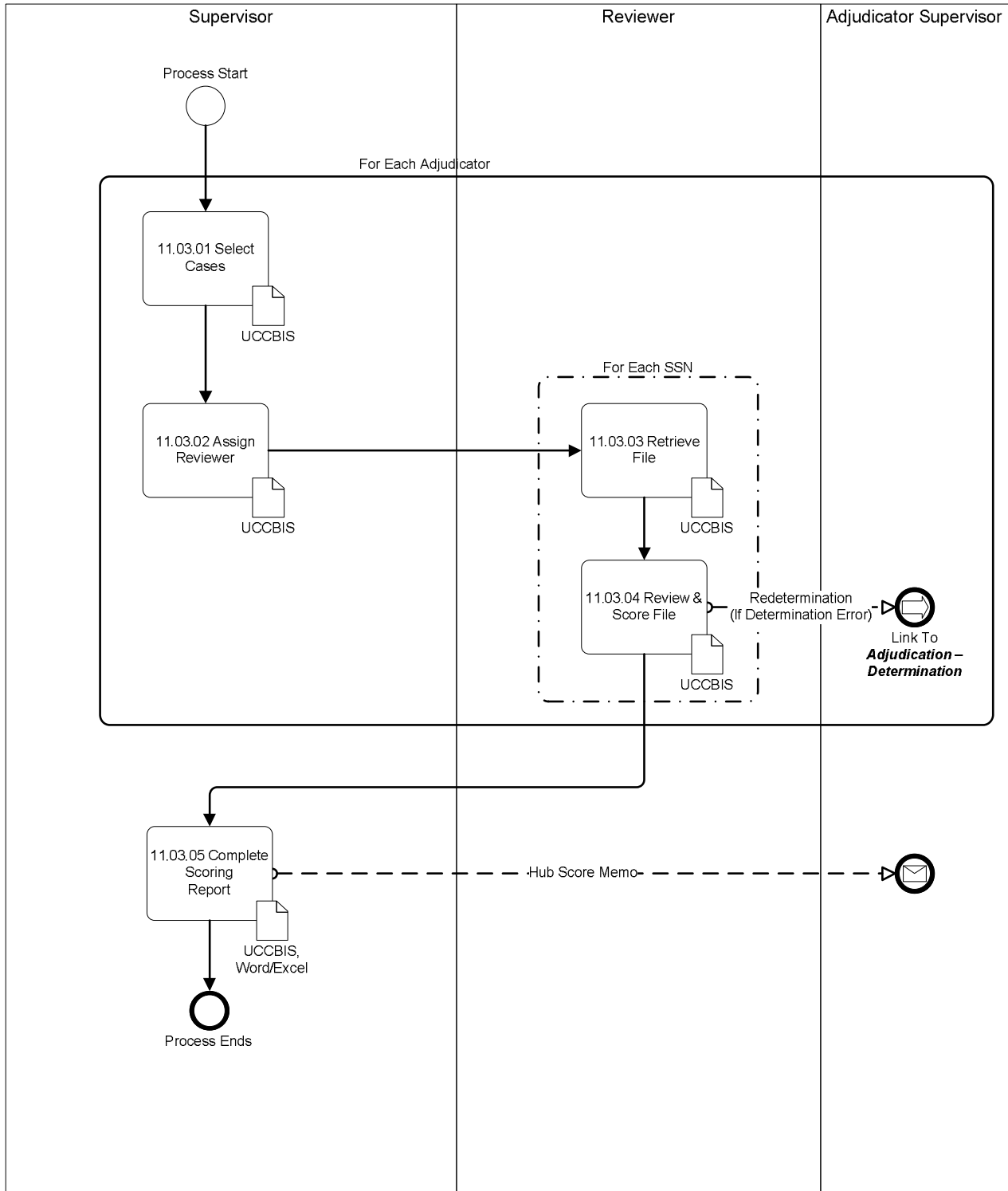


Exhibit 4 – BTQ – Non-Monetary Reviews Workflow Diagram

3.3. ACTIVITIES

The table below lists the activities that make up 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.
System Activity Description	The full-text description of that activity from the perspective of the system.
Actor Activity Description	The full-text description of that activity from the perspective of the user or actor.
Actor(s)	The job or role title of the individuals having a primary role for that activity.

Index	Activity Label	System Activity Description	Actor Activity Description	Actor(s)
11.03.01	Select Cases	The system will create work items using 10 closed cases for the specified time period for each adjudicator assigned to the selected Hub. The selected cases will match as closely as possible the designated ratio of separation issue to non-separation issue cases.	The Supervisor will select an Adjudication Hub, a time period, and a ratio of separation to non-separation cases.	Supervisor
11.03.02	Assign Reviewer	-	The Supervisor will assign a Reviewer to each Adjudicator's cases.	Supervisor
11.03.03	Retrieve File	The system will place the work items in the assigned Reviewer's work queue. The system will provide the necessary output/information to the Reviewer and attach it to the work item (Non-Monetary Determination, Determination History, Adjudication File, and Claim History).	The Reviewer will select an assigned work item for review.	Reviewer
11.03.04	Review & Score File	The system will provide a mechanism to record review activities. The system will provide for the completion of the AWI Data Collection Instrument used to report the outcome of the review. Finally, the system will provide the capability to request redeterminations as necessary through the creation of new work items in the necessary work queue(s).	The Reviewer will review all of the information in the system. The work item will be scored in accordance with the ETA Handbook 301. If it appears a determination error was committed and is in violation of law and policy, the Reviewer will request a redetermination from the Adjudication unit.	Reviewer

Index	Activity Label	System Activity Description	Actor Activity Description	Actor(s)
11.03.05	Complete Scoring Report	The system will provide all of the detailed scoring information for each adjudicator.	<p>The Supervisor will prepare a summary report for the entire Adjudication Hub (summary scores for each adjudicator and overall statistics for the Hub) and a cover letter (memorandum) and will send the package to the Adjudication Hub Supervisor.</p> <p>The Supervisor will also update the state-wide adjudication hub review results.</p>	Supervisor

3.4. CORRESPONDENCE

The table below lists any messages, such as the US mail, emails, faxes, phone calls and any other correspondence, *regularly used in the normal course* of this process.

Note: The Unemployment Compensation Claims and Benefits Information System (UCCBIS) will provide a self-service portal to allow users (claimants and employers) to “opt in” to electronic delivery of documents (e.g., messages, notices, and other correspondence). Documents will not be “sent” to users who elect electronic communications, rather, email notifications will be issued to inform users they have documents available for review. A user will log on to the account using their unique security credentials (created when they initially set up their online account) to read the documents and will then undertake appropriate action(s). Unless otherwise precluded by law, any message listed in the following table may be delivered via the self-service portal once a user “opts in” for electronic delivery.

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.
Type	<p>Form – An official request for specific information based in a pre-defined format.</p> <p>Notice – Notice of an official Agency action or determination.</p> <p>Ad-Hoc – Requests for information, responses, and general communications. Normally used to validate or complete existing records.</p> <p>Memo - Internal communication for the purpose of sharing information.</p>
Purpose	The intended purpose for sending the 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	Type	Purpose	Recipient	Occasion
11.03.05	Complete Scoring Report	Memo	To report the review results, both at the individual and summary level.	Adjudication Hub Supervisor	When the review process for a particular hub has been completed.

3.5. PERFORMANCE METRICS

The table below lists any performance metrics that may be used to measure the outcome, accuracy or efficiency of this process.

Title	A description of the metric
Metric	Complete description of the performance measure
Target	Goal or Target to expected or N/A if not applicable
Source	The performance metric source (Florida Statutes, AWI policy, etc.).

Title	Metric	Target	Source
BTQ - Non-Monetary Reviews - Frequency	All Adjudication Hubs should be reviewed at least twice annually.	Compliance	AWI Policy

3.6. BUSINESS RULES

The table below lists any statutes or policies that govern the execution of this process. These business rules may be executed by the system or the user. The following is a description and definition of each of the columns in this table.

Number	The unique number assigned to the business rule.
Conflict	Y(Yes) if the current Statute, Administrative Code, or AWI Policy conflicts with the to-be process or N (No) if the current Statute, Administrative Code, or AWI Policy does not conflict with the to-be process.
Description	A full-text description of the business rule.

Number	Conflict	Description
BR11.03.01	N	US DOL ETA Handbook No. 301 5 th Edition (7/29/2005)
BR11.03.02	N	AWI Policy

3.7. TIME CONSTRAINTS

The table below lists any time constraints that are placed on activities within this process. Time constraints may be required completion times or required pauses in the process to allow for responses. 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.
Source	The source of the constraint (Florida Statutes, AWI policy, etc.).
Constraint	A full-text description of the constraint.

Index	Activity Label	Source	Constraint
11.03	BTQ – Non-Monetary Reviews	AWI Policy	Each Adjudication Hub should be reviewed twice annually. This constraint is currently suspended due to workload issues.

4. TO-BE SUB-PROCESS – BTQ – DATA VALIDATION

4.1. OVERVIEW

The comprehensive Federal data validation program is necessary to ensure the accuracy of Unemployment Insurance Required Reports (UIRR) data. UIRR data are used for economic statistics, to allocate UI administrative funding based on state workload, to measure state claimant eligibility criteria and performance in providing benefits, and to account for fund utilization. It is therefore essential that states report UIRR data accurately and uniformly. States report to DOL on a monthly and quarterly basis under the Unemployment Insurance Required Reports system.

There are fifteen populations subject to data validation: Weeks Claimed, Final Payments, Claims and Claims Status, Monetary Determinations, Payment, Nonmonetary Determination and Redeterminations, Appeals Filed – Lower Authority, Appeals Filed – Higher Authority, Appeals Decisions – Lower Authority, Appeals Decisions – Higher Authority, Appeals Case Aging – Lower Authority, Appeals Case Aging – Higher Authority, Overpayments Established, Overpayment Reconciliation Activities, and Age of Overpayments. Each population is composed of several subpopulations.

States are required to validate reported data every third year, except for data elements used to calculate Government Performance and Results Act (GPRA) measures. GPRA data are validated annually. The “validation year” will coincide with the State Quality Service Plan (SQSP) performance year. Validation of any reporting period during the twelve months beginning April 1 and ending March 31 will be considered part of the validation year. The SQSP is the vehicle through which states submit plans to implement validation or to revalidate failed items.

The objectives of this sub-process include:

- Comply with Federal directives regarding data quality and reporting.

Beginning Points

- A list of necessary validations (populations) is received from the U.S. Department of Labor (DOL) State Menu system.

Ending Points

- The results of the validations are submitted via the U.S. Department of Labor (DOL) State Menu system.

4.2. WORKFLOW DIAGRAM

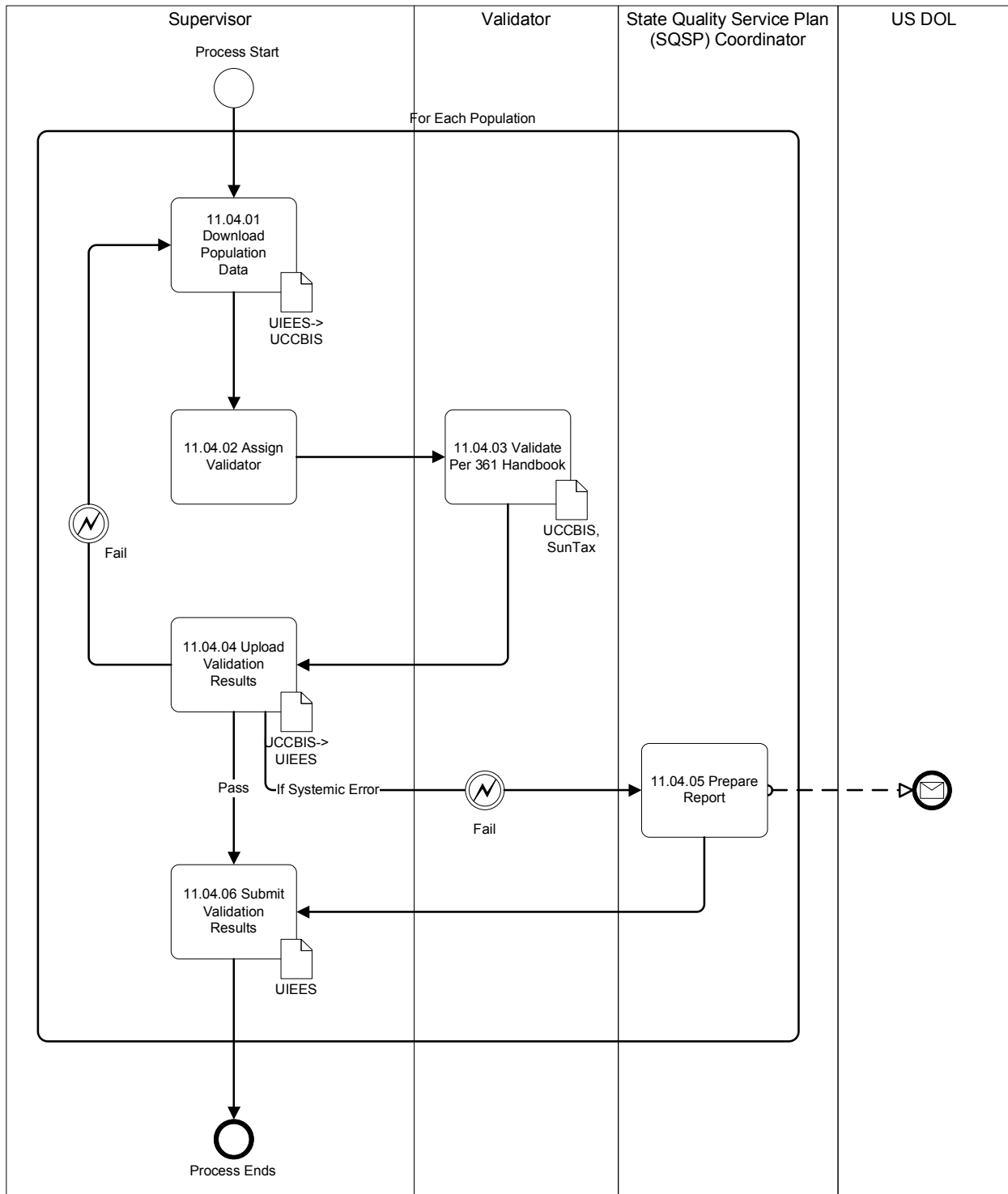


Exhibit 5 – BTQ – Data Validation Workflow Diagram

4.3. ACTIVITIES

The table below lists the activities that make up 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.
System Activity Description	The full-text description of that activity from the perspective of the system.
Actor Activity Description	The full-text description of that activity from the perspective of the user or actor.
Actor(s)	The job or role title of the individuals having a primary role for that activity.

Index	Activity Label	System Activity Description	Actor Activity Description	Actor(s)
11.04.01	Download Population Data	The U.S. Department of Labor (DOL) provides a random selection of data items for each population to be validated via the UIEES. Upon request the system will download a population for validation and place the work items in the Supervisor's work queue.	The Supervisor selects a population type for validation and requests the download of the selected data items.	Supervisor
11.04.02	Assign Validator	The system will place the work item in the Reviewer's work queue.	The Supervisor will assign a Validator to each work item.	Supervisor
11.04.03	Validate Per 361 Handbook	The system will provide a mechanism to record validation activities.	The Validator will review all of the information in the system. The work item will be validated in accordance with the ETA Handbook 361. The result of each individual validation will be recorded in the system.	Validator

Index	Activity Label	System Activity Description	Actor Activity Description	Actor(s)
11.04.04	Upload Validation Results	The system will update the UIEES with the results of the validation. The system will retain all validation information for a period of three years.	The Supervisor will select a population for upload. If a given population fails, the Supervisor will attempt to identify the reason for failure, either systemic or random. If it appears the failure is random, the Supervisor will return to the Download Population Data and select a new population for validation. If the failure appears to be systemic, the SQSP Coordinator will be notified. The necessary corrective action will be taken, and the population will be validated on a subsequent cycle.	Supervisor
11.04.05	Prepare Report	-	If the Supervisor discovers a systemic problem, the SQSP Coordinator will be notified and the coordinator will prepare and mail an explanation to DOL.	State Quality Service Plan (SQSP) Coordinator
11.04.06	Submit Validation Results	-	The results will be submitted to DOL (both Pass and Fail).	Supervisor

4.4. CORRESPONDENCE

The table below lists any messages, such as the US mail, emails, faxes, phone calls and any other correspondence, *regularly used in the normal course* of this process.

Note: The Unemployment Compensation Claims and Benefits Information System (UCCBIS) will provide a self-service portal to allow users (claimants and employers) to “opt in” to electronic delivery of documents (e.g., messages, notices, and other correspondence). Documents will not be “sent” to users who elect electronic communications, rather, email notifications will be issued to inform users they have documents available for review. A user will log on to the account using their unique security credentials (created when they initially set up their online account) to read the documents and will then undertake appropriate action(s). Unless otherwise precluded by law, any message listed in the following table may be delivered via the self-service portal once a user “opts in” for electronic delivery.

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.
Type	Form – An official request for specific information based in a pre-defined format. Notice – Notice of an official Agency action or determination. Ad-Hoc – Requests for information, responses, and general communications. Normally used to validate or complete existing records. Memo - Internal communication for the purpose of sharing information.
Purpose	The intended purpose for sending the 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	Type	Purpose	Recipient	Occasion
11.04.05	Prepare Report	Memo	To provide an explanation to the Department of Labor concerning the systemic failure of one or more populations during the Data Validation process.	US Department of Labor	When a population has been deemed to contain a systemic error which will prevent its passing the Data Validation process.

4.5. PERFORMANCE METRICS

The table below lists any performance metrics that may be used to measure the outcome, accuracy or efficiency of this process.

Title	A description of the metric
Metric	Complete description of the performance measure
Target	Goal or Target to expected or N/A if not applicable
Source	The performance metric source (Florida Statutes, AWI policy, etc.).

Title	Metric	Target	Source
BTQ - Data Validation Completion	The date by which all DOL-mandated populations have been reviewed and submitted to DOL.	All required validations must be completed by May 20 of each year.	US DOL ETA Handbook No. 361

4.6. BUSINESS RULES

The table below lists any statutes or policies that govern the execution of this process. These business rules may be executed by the system or the user. The following is a description and definition of each of the columns in this table.

Number	The unique number assigned to the business rule.
Conflict	Y(Yes) if the current Statute, Administrative Code, or AWI Policy conflicts with the to-be process or N (No) if the current Statute, Administrative Code, or AWI Policy does not conflict with the to-be process.
Description	A full-text description of the business rule.

Number	Conflict	Description
BR11.04.01	N	US DOL ETA Handbook No. 361 Draft (7/11/2008)
BR11.04.02	N	Social Security Act § 303(a)(6), 42 U.S.C. § 503(a)(6) (2006) – States required to comply with Department of Labor reporting.

BR11.04.03	N	20 C.F.R. § 602.10(b) (2009) – Quality Control In the Federal-State Unemployment Insurance System – Federal Requirements for Reporting.
BR11.04.04	N	Fla. Stat. § 443.171(9)3 (2009) – State-Federal Cooperation – Requirement to comply with Department of Labor reporting.

4.7. TIME CONSTRAINTS

The table below lists any time constraints that are placed on activities within this process. Time constraints may be required completion times or required pauses in the process to allow for responses. 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.
Source	The source of the constraint (Florida Statutes, AWI policy, etc.).
Constraint	A full-text description of the constraint.

Index	Activity Label	Source	Constraint
11.04	BTQ – Data Validation	US DOL ETA Handbook No. 361	All required validations must be completed by May 20 of each year. The list of required validations is made available in June of each year.