

CSPS Quality Assurance Plan

May 17, 2011



Project Summary

State staff assigned to the CSPC operation are responsible for all contract management functions including operational oversight, budget monitoring, and vendor invoice review and approval.

Project Goal

The CSPC Quality Assurance Plan will serve as a road map for measuring the performance of the CSPC vendor, ensuring the Office of Child Support's compliance with SDU-related state and federal mandates, and gauging the perceived acceptability of the CSPC operation by the various stakeholders.

Project Outcome

Specifically, the plan will ensure that:

- All contract remedies are identified and accounted for on the vendor's monthly invoice.
- There are no findings against the SDU for non-compliance with federally mandated payment processing time frames.
- End-user satisfaction with the CSPC operation improves.

Project Benefits

A Quality Assurance (QA) plan, drafted and executed by CSPC state staff, will ensure the operation's compliance with contract requirements, service level agreements, and state and federal mandates. Administering the plan will also help identify opportunities to improve end-user quality and reduce contract costs.

Project Team

For more information about this project, contact team members

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- Project Management Coach: Nelson Gonzalez





Scope Statement

Project:	CSPC Quality Assurance Plan
Project Sponsor:	Joyce Ellinwood, CSPC Project Manager, Office of Child Support
Project Manager:	Dawna Dailey
Date Created:	April 14, 2011

Product Objectives	<p>The objective of this project is to create a Quality Assurance plan for the Child Support Payment Central (CSPC) operation. The plan will serve as a model that other state agencies can adapt and use. The plan will be completed by May 31, 2011 and will achieve the following results:</p> <ul style="list-style-type: none"> • Ensure operational compliance with contractual requirements. • Ensure compliance with state and federal mandates. • Improve end-user quality of services as indicated by an 80% “satisfied” or “very satisfied” rating on a survey completed one year after plan implementation. • Reduce contract costs by reducing the number of payments that are “suspended” for further research. Suspense payments should average between .75 and 1% of monthly payments processed within one year of plan implementation. • Reduce contract costs by increasing the percentage of remitters who remit payments electronically to 70% within 18 months of plan implementation.
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Scope / Deliverables	<p>The plan must include:</p> <ul style="list-style-type: none"> • The expected levels of performance (standards) for CSPC tasks governed by contract requirements and/or government rules and mandates. • Methodologies for measuring operational standards • A mechanism for tracking test results. • A procedure for reporting non-compliance (corrective action) or recommending process modification (change control).
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Budget	<ul style="list-style-type: none"> • \$32.64 (state employee blended rate) x 147 labor hours = \$4,798.08
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Scope Statement

Project Resources	The Project Team will consist of Project Manager and three Project Analysts. The plan will be drafted using input from various stakeholder groups. Other project resources include the CSPC contract documents, CSPC operational procedures, and state and federal mandates.
Risks	The following risks have been identified: <ul style="list-style-type: none">• Availability of project team members may be limited to complete project due to unforeseen emergencies or conflicts with schedules.• Limited availability of expert resources may impact the completeness and accuracy of the project deliverables.• Unforeseen technical issues of web-based SharePoint site could delay project by not allowing team members access to project documents.
Acceptance	The project will be considered a success if the plan contains the deliverables outlined in this document, it is completed by May 31, 2011 and it is within the approved budget.
Authorization	Approver: Joyce Ellinwood Title: CSPC Project Manager Date: April 14, 2011



Child Support Payment Central

Quality Assurance Plan

Version:	V1.0
Date:	5/18/11
Status:	Final

1.0 Executive Summary - The success of the Child Support Payment Central (CSPC) operation depends on the accurate and efficient delivery of services as defined in the CSPC contract. Measuring performance is essential in order to achieve the level of excellence expected by the State and all of CSPC's various stakeholders.

The CSPC Quality Assurance (QA) Plan, executed by CSPC state staff, establishes the approach to performance measurement.

2.0 Scope and Content

2.1 Plan and Purpose – The purpose of the CSPC QA plan is to create a roadmap for evaluating the level of quality for each functional area of the operation. The plan will include quantitative processes for measuring performance against an objective set of standards. It will also contain methods for gauging the quality of our services as perceived by our various stakeholders including:

- The Ohio Office of Child Support
- Affiliated Computer Services (ACS)
- County Child Support Enforcement Agencies (CSEAs)
- Child support custodial and non-custodial parents
- Employers and other child support remitters

For each functional area, the plan will include:

- The expected levels of performance (standards) for CSPC tasks governed by contract requirements and/or government rules and mandates
- Methodologies for measuring operational standards
- A mechanism for tracking test results

The plan will also include a procedure for reporting non-compliance (corrective action) or recommending process modification (change control).

2.2 Establishment of Standards and Measurement Criteria – Most of the standards identified in the plan are actual remedies defined in the CSPC contract. Other standards are based on tasks and outcomes defined in the supporting contract documentation (e.g. Request for Proposal, System Requirements Specification, CSPC Operations manual, etc.).

Several types of measurement will be used based upon the nature of the standard or task.

- Objective Measurements are a simple indication of whether or not the standard is met. Typically, objective measures will receive a “meet” or “does not meet” response.
- Analytical Measurements are an evaluation as to how the outcome of a task or activity compares to the standard. For tasks in which analytical measurement is the optimal assessment method, random sampling will be completed.
- Subjective Measurements are an evaluation of the level of service to an end-user or customer. Customer Service will predominantly use subjective measurements. The outcomes of these assessments will be combined, where applicable, with subjective or analytical measurements to arrive at an overall conclusion as to the level of quality service as perceived by our customers.

3.0 Plan Detail

This section of the plan details the specific standards that apply to the various functional areas within the CSPC operation, as well as the QA methods that will be used to measure these standards.

3.1 *Receipting*

3.1.1 Standards and Performance Measurement

3.1.2 Tracking

3.2 *Financial Services*

3.2.1 Standards and Performance Measurement

3.2.2 Tracking

3.3 *Disbursements*

3.1.1 Standards and Performance Measurement

3.1.2 Tracking

3.4 *File Transmission*

3.4.1 Standards and Performance Measurement

3.4.2 Tracking

3.5 *Account Management*

3.5.1 Standards and Performance Measurement

3.5.2 Tracking

3.6 *Operations Management*

3.6.1 Standards and Performance Measurement

3.6.2 Tracking

Collection

Standard/Requirement	Tracking/Verification Method (How do you test, track, or verify this standard?)	Frequency (How often is this standard tracked or measured?)	Tracking Mechanism (Where do you document the results of your test, tracking, or verification?)	State Reporting (How are the results communicated to the State?), if applicable.	QA Recommendations
All mail must be collected by 8:30 a.m. each business day	<ul style="list-style-type: none"> • Courier Log • Scan all mail received 	Daily	<ul style="list-style-type: none"> • Logs • Check list 	Can view logs at anytime	Make sure all operational team members have an emergency response plan instructing what to do if there were an unforeseen interruption in daily processing
All mail collected by 8:30 a.m. must be processed on the day received	<ul style="list-style-type: none"> • QA envelope bags twice per week • Check OPEX machines for items left in the track or stacker • Balance Reports 	Daily	Reports	Reported to state as necessary	None
Restrictively endorse and securely store all undeposited financial instruments	<ul style="list-style-type: none"> • Outsort reports • Store Outsorts in Safe • Ran two times daily • Out Of Balance over \$500 stored up to three days. Beyond three days will be rejected. 	Daily	Outsort Report	n/a	None
Ensure payments are not accidentally discarded with the outgoing trash	<ul style="list-style-type: none"> • QA - Daily check list • Inspect trash bins • Inspect operator area 	Daily	<ul style="list-style-type: none"> • Check list • QA Check list 	Reported to state as necessary	None
Image and flag all non-monetary correspondence in indicate the associated user group (i.e. county, Third Party Group, etc.)	<ul style="list-style-type: none"> • Image on Opex machine (scan separately) • Upload to Idata capture • Reports verify courier batches 	Daily	Correspondence Reports	Reported to state as necessary	None
Ensure that the monthly average suspense items from day one to day two are above 1.4%	<ul style="list-style-type: none"> • Monitor daily metrics • Dynamic report 	Daily	metrics	Metrics report for the month	None

<p>Ensure that when contact has been made with remitters to obtain payment information, staff are</p> <ul style="list-style-type: none"> •Educating and promoting the submission of future payments with the required information; and •Promoting and facilitating electronic submission of payments 	<ul style="list-style-type: none"> • Promote on long term contact items • Send EFT brochure with reject returned items • QA rejects before mailing • QA team verifies 	<p>Daily</p>	<p>KidStar system</p>	<p>Reported to state as necessary</p>	<p>None</p>
<p>Ensure that payment processing functions are performed efficiently and effectively. (Miscellaneous)</p>	<ul style="list-style-type: none"> •Monitor items sent to Long Term Research •Randomly sample same day suspense resolutions (How many do you sample and how often?) Sample 20 items weekly. •How do you verify that items flagged as suspense truly met the criteria for "suspense"? If the items that went to suspense does not meet the criteria for suspense the Customer Service Manager will provide me with feedback. •Sample QA reject letters for accuracy (how many, how often?) The volume is based on mail received. We have an average of 25 reject letters a day. Letters are QA'd daily. 	<ul style="list-style-type: none"> •Long Term Research productivity is monitored daily • Weekly •Customer Service Manager provides feedback to the Payment Processing Manager as needed. • Letters are QA'd daily. The operator that quality checks the letters notes the reject it in KidStar. 	<ul style="list-style-type: none"> •Long Term Research Report and Tracking System called OSMON. • Use the Suspense report in Dynamic Reporter and check mark off the items that are sampled. •Customer Service Manager will provide me with feedback. • The operator that quality checks the letters notes the reject it in KidStar. 	<ul style="list-style-type: none"> •The State are updated daily through a Long Term Research (LTR)report that shows LTR activity. • The State are updated daily by the 09, 14D, and 84D reports. •Provide feedback as needed. • Provide feedback as needed. 	<p>None</p>

Protect confidential information associated with receipting documents	<ul style="list-style-type: none"> • Check small confidential bin in the scan area daily to ensure it's locked • Track the training courses that are received for FTI and confidential information yearly. • End of Day Checklist to check the workstations and work area. • The mail room operators are required to quality inspect their trash bins to ensure there's no confidential information. Quality Specialist does a random sample on trash to ensure there's no confidential information located in the trash. 	<ul style="list-style-type: none"> • Daily • Yearly • Daily • Daily Random 	<ul style="list-style-type: none"> • Safe Log • Tracked by State and ACS on an excel training spreadsheet. • End of Day Checklist. • Tymon (Payroll system) <p>Operators log this task in the system. Quality Tracking Sheet.</p>	<ul style="list-style-type: none"> • As needed • ACS receives an email from the State that provides the dates for FTI training. • As needed. • As needed. As needed. 	None
Protect confidential case/client information associated with ExpertPay website and call center and e-childspay website.	<i>Not sure if there is a way to QA this but wanted to include it in case you have something in place for it...</i>				None
Contact 25-50 employers each month to convey information on electronic payment remittance	Incoming and outgoing phone logs any conferences attended and any employer presentations/demonstrations	monthly	Manual Spreadsheet	Spreadsheet is emailed to State at the beginning of each month	None

Standard/Requirement	Tracking/Verification Method (How do you test, track, or verify this standard?)	Frequency (How often is this standard tracked or measured?)	Tracking Mechanism (Where do you document the results of your test, tracking, or verification?)	State Reporting (How are the results communicated to the State?)	QA Recommendations
Provide marketing materials to counties for direct deposit within 24 hours of request	Electronic File for Print Job	Daily	Job monitoring can be done by viewing the several screens that appear near the mail dock.	Does not currently exist. Craig will need to teach state employees how to read the screens.	State employees should learn how to read monitoring screens near dock.
Provide e-Disbursement enrollment form to client within 24 hours of request	Electronic File for Print Job	Daily	Job monitoring can be done by viewing the several screens that appear near the mail dock.	Does not currently exist. Craig will need to teach state employees how to read the screens.	State employees should learn how to read monitoring screens near dock.
Complete e-Disbursement enrollment processing within 3-6 weeks (verify time frame with RFP language)	Kidstar plus IDC report. Systematic aging process.	On Demand	IDC	45 days for e-quickpay. Metrics reported to the state.	State employees should review IDC report and/or kidstar report.
Protect confidential information associated with enrollment documents	PII Training/Awareness is documented in Training Logs	Annually	Tina - trainer keeps the logs.	HR retains logs for inspection but no formal communication to state.	Training logs should be kept electronically in a folder that state employees inspect at a fixed interval.
Process all voids and stop payments received by <u>3:00</u> p.m. on the day they were received. (Please verify the time)	E-mail saying it is done.	Daily	Not documented outside of e-mail.	State employees copied on e-mail.	State employees should maintain a log of what time this process is completed each day.
Print and mail obligor coupons by the first day of each month	JOLENE DEFERED TO CRAIG/PA SDU				None
Flag payors who have financial instruments returned unpaid: •Flag individuals at the routing transit number and account number level, as well as the case level •Flag employers at the routing transit and account number level	•Derogs that are placed on the case or routing and account number are not tracked on the Master RDI Spreadsheet.	Flags that are set on an individual or employer are logged on the RDI Master Spreadsheet after a RDI is verified. <i>Do we need to QA this or is this systematically done upon the receipt of an RDI? The quality step for this process is monitoring the misapplied payments (make wholes).</i>	RDI Master Spreadsheet	Report misapplied payments (make wholes) that are a result of a flag not being properly set.	State employees should obtain read access to the RDI master spreadsheet and monitor it.
Send physical RDI instruments to PAAR within 2 business days	<i>are received from Fifth Third and kept on site until the remitter pays off the RDI.</i>				None
Protect confidential information associated with RDI instruments	All RDI information is securely stored in a locked filing cabinet in the Balancing Room. This room also has security cameras because of the sensitivity of the items. The room is also inspected at the end of the day and recorded on a Daily Tracking Spreadsheet.	RDI Information is securely stored daily. EOD inspection is done daily.	Tracking is EOD Checklist	As Needed	Signed end of day checklist copy should be submitted to state employees to record certification or process. Random checks to ensure security of RDI file is locked during walk-throughs.

Disbursements

Standard/Requirement	Tracking/Verification Method (How do you test, track, or verify this standard?)	Frequency (How often is this standard tracked or measured?)	Tracking Mechanism (Where do you document the results of your test, tracking, or verification?)	State Reporting (How are the results communicated to the State?)	QA Recommendations
Print and deliver checks to the post office by 8:00 p.m. on the day the disbursement file is received from SETS	<ul style="list-style-type: none"> Courier Pick up sign-off log 	Daily	<ul style="list-style-type: none"> Courier log 	Can view logs at anytime	Make sure all operational team members have an emergency response plan instructing what to do if there were an unforeseen interruption in daily processing
Validate number of checks printed to check inventory stock	<ul style="list-style-type: none"> Software tracks 	Daily	<ul style="list-style-type: none"> QA process to validate / Log Print Room 	Reported to state as necessary	None
Issue direct deposit disbursements by 4:00 p.m. on the day the disbursement file is received from SETS	<ul style="list-style-type: none"> Internal system Built into KidStar (Job Monitor) 	Daily	<ul style="list-style-type: none"> QA process System log 	Reported to state as necessary	None
Issue e-QuickPay disbursements by midnight of the day the disbursement file is received from SETS	<ul style="list-style-type: none"> IT function Typically by 3 pm 	Daily	<ul style="list-style-type: none"> QA process System log 	Reported to state as necessary	None
Complete all pull requests received by 10:00 a.m.	<ul style="list-style-type: none"> County looks at status C.S. Print Room Data Entry 	Daily	<ul style="list-style-type: none"> Email - All have been pulled QA process QA systematic 	Reported to state as necessary	None
Process undeliverable mail within 48 hours of receipt	<ul style="list-style-type: none"> Manual process Put in safe and QA processed 	Daily	<ul style="list-style-type: none"> Picked up via courier when checks picked up for day / log completed Daily QA function 	Reported to state as necessary	<ul style="list-style-type: none"> Use a electronic QA process instead of physical check off sheet State of Ohio daily QA
Notify cardholders that have balances on unpinned cards	<ul style="list-style-type: none"> Currently not monitored No means to test No internal process provide Unpinned card report with highest balances getting first priority (Tiffany) 	Quarterly	<ul style="list-style-type: none"> Unpinned card report 	Reported to state as necessary	Create formal QA process for unpinned cards
Market a surcharge waiver to other banking entities within Ohio in an attempt to increase cardholder access to non-surcharge ATM transactions.	N/A - No Info on this.				NA

Standard/Requirement	Tracking/Verification Method (How do you test, track, or verify this standard?)	Frequency (How often is this standard tracked or measured?)	Tracking Mechanism (Where do you document the results of your test, tracking, or verification?)	State Reporting (How are the results communicated to the State?)	Recommendations
Send all required data files to the State by 5:00 p.m.	Connect: Direct Report , Morning Snapshot	Daily	Penalty Tracker, included in monthly metrics,	Metrics avail. on shared drive	OHCSPC employee should have copy of Daily or snapshot dashboard emailed to him/her daily
Make all KidStar reports for prior day's business available by 7:00am. (Dawna will get the time from Joyce.)	Reports: Kidstar, County Reports from PAAR.	Daily by end of day	Placed in shared folder, tested through complaints from customers	no information QA'd through internal customer complaints	should have ACS staff QA data is visible after reports ar loaded nightly.
Provide BAI2 reconciliation report by (no specific time usually complete by 8:30am	Rather than ACS tracking this, I will probably ask PAAR to let me know if this report is not available...	no information	Can be monitored through job tracker	Communication to state if issue arises by ACS project mgmt.	There should be more CSPC involvement, in receiving results of tracking tools and system deficiencies.
Provide ARP report within 5 days after end of reporting month	Rather than ACS tracking this, I will probably ask PAAR to let me know if this report is not available...	Daily by ACS project mgmt	PAAR	Communication to state if issue arises by ACS project mgmt.	
Provide monthly bank statement within 10 days after end of reporting month	Tracked by Finance Specialist	2 Days behind	PAAR	Communication to state if issue arises by ACS project mgmt.	
Insure file transfer integrity	What type of testing do we do to ensure that our connections with the State, 5/3, ExpertPay, e-QuickPay are secure? ACS uses: SETS, and KIDSTAR	With every file generated	Daily Transmission, VIA SETS, calls made to verify success	Project mgmt for both ACS and CSPC Collaborate	
Protect CSPC system from unintentional, unauthorized, or unanticipated modification of system data	Locked server, open scan optical character recognition software, Simulated intrusion audit	Daily with every file Simulation occurs ?	Daily, Software connect direct transfers files are completely transferred to both ACS and CSPC	Project mgmt for both ACS and CSPC Collaborate	

Standard/Requirement	Tracking/Verification Method (How do you test, track, or verify this standard?)	Frequency (How often is this standard tracked or measured?)	Tracking Mechanism (Where do you document the results of your test, tracking, or verification?)	State Reporting (How are the results communicated to the State?)	Recommendations
Complete all child support disclosure forms (JFS 07014, JFS 07700, & JFS 07078) for all new staff	Joint effort ACS payroll and Information Technology	As needed, within 30d of hire	ACS Human Resources and Payroll	Handled by ACS	CSPC should be provided a general file that list all employee requirements related to what the state request
Complete FTI JFS 07014 annually for all staff	Joint effort ACS payroll and information Technology(IT)	Annually	ACS Human resources, CSPC IT	Handled by ACS	
Maintain Individual FTI Logs	Information is seprated because of data sensitivitiy through Kidstar and openscan	no information	kidstar completes audit trails which product job logs through the use of KRONOVA escheduler	Not sure how breeches are handled. ???	
Maintain FTI Shredding Log	Kept with CSPC Dawna in office	maintained until file destroyed?	no information	no information	

Standard/Requirement	Tracking/Verification Method (How do you test, track, or verify this standard?)	Frequency (How often is this standard tracked or measured?)	Tracking Mechanism (Where do you document the results of your test, tracking, or verification?)	State Reporting (How are the results communicated to the State?)	QA Recommendations
and expectations are met and customers' inquiries are handled in a professional manner with timely, accurate and comprehensive resolutions. <i>(Page 13 of the QA plan provides examples of how ACS will use various methods to measure customer service in order to arrive at an overall determination of the level of service that we're providing. What are we doing to gauge our overall service level? How can we report this to the state on a monthly</i>	Scorecard is used. Copy of scorecard has been uploaded to sharepoint site.	6-7 calls/week/agent	Quality Assurance folder on S drive.	4 SLA metrics reported to state	State employees should view monitoring sheets and complete monitoring sheets on the same calls to ensure standards are consistent between vendor and state. This should be alternated with state employee random monitoring of 6-7 calls/week/agent to ensure quality.
Ensure average hold time is 2 minutes or less.	Interaction Supervisor	Daily	Interaction Supervisor Report and S drive.	4 SLA metrics reported to state	State employees should maintain an open window on their PC that shows current hold time measurement.
Research and respond to payment and related inquiries and issues within 3 business days.	Outlook e-mails used to keep track of issues.	Daily	One centralized tracking mechanism does not exist. Reviewing individual outlook e-mails would be necessary to determine.	2 state employee contract overseers are copied on e-mails	Instead of tracking these inquiries through Outlook, consider keeping open cases within the CRM product so that automated reports could instantly show resolution times. Case should not be closed prior to total resolution.
Respond correctly to information requests from county CSEAs, remitters, ODJFS, and child support clients	Outlook e-mails used to keep track of issues.	Daily	One centralized tracking mechanism does not exist. Reviewing individual outlook e-mails would be necessary to determine.	3 state employee contract overseers are copied on e-mails	Instead of tracking these inquiries through Outlook, consider keeping open cases within the CRM product so that automated reports could instantly show resolution times. Case should not be closed prior to total resolution.
***If there are other internal standards that you've set, please share them here and include your tracking methods as well.					