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| 5000 | Manage Workload | This section addresses the management of the application review process. Based on business rules applied in the 5000 series, the application may be routed to a specialty group, may have timeframes adjusted, involve notifications or requests for information, and other administrative activities. The administration or orchestration activities are separated from the actual business rules and decision making activities of the 5000 series.  This separation is a key feature of advanced application architectures. The separation Automated routing to a group  Supervisor assigns  Self-assign  Automated assignment  This section does not address the specific actions within the workflow, only the management of the workflow. |
|  | Enabling Technology overview | Workflow Queues are simply online views of an application assigned to an organizational unit and in turn an individual or group.  The queue is a row of data that has a concatenated key of the:  Application Unique ID  Application Type  Date assigned to the queue  The queue can have lower level portions of the key to show assignment at the level of the branch  Group  Individual  As the assignment goes to a more specific level, it create a new row with a new start date.  So a branch can have a queue of all assignments  A group can have a queue of its assignments  An individual can have a queue of his/her assignments.  It is possible then to see the date assigned to the branch, then the date assigned to the group, and then the date assigned to the individual if tracking to that level. |
| 5005 | Dashboard for Assigner | We assume that there is a landing page or dashboard where all new items are displayed that need to be assigned. The dashboard may display all new assignments to a work group, a larger section, or to a supervisor only, or to an individual. CRUD may limit or enable who can view, assign, or make comments about an item before assignment. The dashboard will show date received, metadata, and ability to display more information before making assignment. |
| 5010 | Assess Application Type for Routing | The application may be assigned manually or through application business rule. The function is the same. Even a manual process can have online assistance:  The application can guide the assigner through a series of questions to aid in the routing process.  The assigner may wish to first know who is available.  There may be two or more specialties to be assigned in parallel.  The assigner may want to look at the workload of the people or groups that are candidates and make a decision.  There may be a quick reference for suggested assignment. This is useful when there may be a workflow established for multiple review steps.  Multiple review steps can be locked in or require each step in the review process to verify the intended routing or have the reviewer select the next review step or return the completed step review to a supervisor when then decides on next step (out and back).  Best practice is to assign to a group and then have the assignment to an individual within a group based on availability or subspecialty or other preferences that work for that group.  Over-engineering or tightly prescribing the routing is not likely to work in practice.  See 5050 for assigning to a group and then having the group decide the specific person assigned.  The application may be submitted in its entirety or there may be allowable segments that can be submitted up front with other required segments submitted later—but allowing the evaluation process to begin. This function assesses what has been submitted and routes according to business rules. A status may be set that is different than from what the system assigned upon submittal. |
| 5020 | Route to Workflow  Queue | Following assessment a row is written that will make the application viewable in the first queue. The assignment to a queue may also send a notification to the queue owner; this is only appropriate when assignments are few in number and the owner does not have a very frequent, automatic behavior to check the queue for a new assignment. |
| 5030 | Execute Tickler for timeframe | Each step in the process may have its own standard timeframe. This can be set by the system based on application type. The System will then provide a tickler to the assigned staff person when the due date approaches and/or when met. |
| 5040 | Set Timeframe for Duration | Timeframe set may be automated where the system maintains a standard duration and even Level of Effort target based on type. Or the amount of time may be manually entered by a supervisor or individual based on internal guidelines. |
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| 5040 | Internal notification | Based on appropriate practices, the system may have an activity that sends a notification such as via email to the queue owner that a new work order has been received. A work order is a task to perform related to an application (a case). |
| 5050 | Queue Owner evaluates Application | Before making an assignment or allowing members to pull the assignment, the Supervisor may provide guidance such as priority, institutional history, special priority designation. This includes allowing team members to view items when they will have authority to pull their own assignments. |
| 5070 | Queue Owner assigns work item | Queue Owenr may perform 5100 to see balance of assignments before making a new assignment to a staff person. Note: the Assignment may be to a group rather than an individual. The process is the same. When an item is assigned or pulled a date stamp enables tracking the duration between the work item entering the queue and the item getting assigned. |
| 5080 | Team Member Pulls Work Item from Queue | An alternative or supplement to a supervisor assigning work items is for the team members to have right to select item to work. Once assigned, the standard timeframes for the application type will set target dates for completion of each major phase. Ticklers can be sent in advance and on target date. |
| 5060 | Supervisor provides Guidance for Evaluation | Applications may have features where it is helpful to obtain guidance from someone more experienced. |
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| 5100 | Supervisor views all Assignment status | The Supervisor looks at balance of assignments across staff to aid in a) making new assignments, b) identifying assignments that are close to deadline, distribution of work for diversity of assignments to staff, and other internal criteria. |
| 5110 | Supervisor filters queue | The default work queue view can be filtered on different paramaters and values:  By staff person  By number of days remaining in Work Schedule Duration  By Application Type  By priority  By application values such as dollar amount |
| 5120 | Supervisor reassigns work item | A staff reviewer may go on sick leave or have another assignment emerge that precludes completing the work item assignment. |
| 5130 | Supervisor assigns a second reviewer | Based on complexity the Supervisor may add another staff person to the current phase of the work item. Someone from outside the named reviewer list may be added as a special advisor; there are several design options for this such as having a reviewer name of “special” and using that as the assigned second person. Guidance notes can then explain the person or organization. |
| 5150 | Override timeframe | The Supervisor or authorized staff person can change the standard review time frame based on complexity. |
| 5140 | Subscribe to Application review | High priority applications may have visibility to senior managers, or to other work groups that have an interest in the applicant for other reasons. This capability enables those not directly doing th review to keep track of what is going on. They “subscribe” to events that occur on the application; candidate events may include: contact with applicant, completion of a phase of the review. |
| 5160 | Re-assign workload | Based on authority an individual may re-assign directly or a supervisor may re-assign. Changes in assignment should maintain the history of assignments, start and stop dates of individuals as well as work groups. A reason for reassignment may or may not be needed. |
| 5400  Xref 5080 | Queue Members pull work item | Members may have permission to pull new items from the Queue. If so, the system writes a new row with the staff person’s identifier. This enables the supervisor to see what is assigned, to whom, and the individual’s own queue now shows the new assignment.  The Work Scheduler value for number of days for work duration is added to the assignment row. |
| 5440 | Staff maintain availability schedule | This is an optional, “road map” feature: staff maintain their planned vacations and training schedule and other activities that will reduce availability to complete work items. Blocking out days will prevent supervisors or automated assignment engines from assigning work to staff who will not be available at critical time frames. |
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| 5250 | Route for exception handling | This is typically a manual process. It may be an added step or an override of the predicted routing. |
| 5300 | Supervisor Tickler Monitoring | This is a view for the Supervisor; the supervisor may set a filter for the number of days until due or number of days past due. Based on the view findings, the supervisor may want to discuss items with the assignee, reassign, see if there is technical assistance neeed or provide guidance to ensure completion |
| 5700 | Escalation | There are two types of escalation: to recognize a very important item that will get special treatment or monitoring; the other is getting the attention of the supervisor due to delays.  The Supervisor or authorized specialist can call for Escalation of an item with special circumstances. Using the two-level status code approach, the Status could be “in review” and the Condition could be “escalation”. |
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|  | Maintain communication with applicant | This has xref to the 6000 series on evaluation of the work item/application. Maintain communication is the administrative task of recording information, having it date stamped, and potentially having ticklers sent to supervisors or others who subscribe to the review of the application. |
| 5500 | Set Review Status Code | There are typically two levels of status maintained on an application or work item: At the highest level is it active or closed. If closed the disposition is something along the lines of approved, withdrawn, declined. If active it can have a current disposition such as “under review or even the stage of review, completed review awaiting decision; on hold awaiting supplemental information from applicant; suspended for lack of action, etc. |
| 5510 | Set status for review event | System assigns initial Status based on whether application is complete  System or supervisor assigns status when initial assignment made  Staff or supervisor assign update to status when one stage of review completed  Staff or supervisor assign update to status of Suspended when customer delays return of requested information; |
| 5900 | Supervisor/Administrator maintains the list of Status codes | This is a list of values maintained in the database. Authority to add/change/delete values is based on a Role.  Status Codes should have start and end dates and not be physically deleted. Deleting takes away the description of the code set for a period of time for that item. |
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| 5800 | Workload Queue Tracking | This is a category for a range on tracking needs. These reports can be statistical or itemizations. Statistical would be the count of items that were received, started, under review at a given point or period of time, completed, returned. |
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|  | Maintain standard schedules by application type | This is a list of values maintained in the database. Authority to add/change/delete values is based on a Role. The standard schedule is required to set the expected completion date. Settign the end date can be done by the system and then over-ridden with authority, or entered manually where the schedule is guidance. The schedule may be guidance where supervisor sets a shorter period based on knowledge of the item.  The danger of standard schedules is that the get treated as a minimum rather than a maximum time period.  Standard schedules (of duration and level of effort) should have for their entry a start and end dates and not be physically deleted. Deleting takes away the description of the code set for a period of time for that item. |
|  | Maintain tickler times | Ticklers may be set to occur two days before a due data and the day of a due date for a phase in the evaluation of a work item. Typically the supervisor will manage the timing of ticklers. |
|  | Maintain who gets notified on a tickler. | A tickler may go to the staff person assigned, in some cases to the supervisors, and possibly to those who subscribe to the application and to the applicant. |
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| 5900 | Reporting | Workflow queue reporting can address:  Backlogs  Duration for routine applications by type  Duration for applications by type that require exception processing  Level of effort when staff time is allocated  Application status within and across queues by type  Duration and level of effort by source for the application type.  It is also possible if desired to analyze duration and level of effort within application type of applicant demographics. |