

IBM Cúram Social Program Management
8.0.2

Cúram Case Audits Guide



Note

Before using this information and the product it supports, read the information in [“Notices” on page 11](#)

Edition

This edition applies to IBM® Cúram Social Program Management 8.0.0, 8.0.1, and 8.0.2.

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Chapter 1. Cúram Case Audits overview

Case audits are used to monitor the delivery of benefits and services to the clients. There are two types of case audit: quantitative and qualitative. Quantitative case audits are used to measure compliancy with statutes and policy. Qualitative case audits measure and assess case outcomes.

A case audit is an examination or evaluation of a case. Use this information to learn about how cases audits are used to monitor the delivery of the organization's benefits and services, and the processing that is involved in carrying out the case audits.

Overview of case audits

An overview of case audits including case audit types and roles, the anatomy of a case audit, and the case audit lifecycle. The delivery of benefits and services to an organization's clients is managed using cases. Case audits focus on the evaluation of different areas of case management.

Historically, case audits were performed to monitor and report on the extent of compliance with policy and regulations. Today, in addition to compliance monitoring, many organizations also gather and assess a range of information on quality, practice, and outcomes. This helps them to evaluate agency performance, enabling organizations to make decisions on ways to improve performance and affect positive changes in policy and case practice. These new approaches are much broader in scope than the traditional evaluation of compliance and often involve caseworkers and supervisors who are allowed to provide feedback concerning the findings provided by the auditors.

Case audit types and roles

Two primary types of case audits can be conducted, quantitative and qualitative audits. Some case audits can contain a combination of both quantitative and qualitative elements. Audit roles are filled by different members of the organization, an audit coordinator and an auditor. Users can also play the role of audit coordinator and auditor concurrently.

There are two types of case audit: quantitative and qualitative audits.

Quantitative Audit

A quantitative audit is an audit that measures compliance with statutes and policy, and is based on available case data. For example, an audit may be conducted for the purposes of a compliance review to ensure a household is receiving the correct allotment of Food Stamps (Federal Compliance Review).

Qualitative Audit

A qualitative audit is an audit that assesses case outcomes and is based on an auditor's assessment of case information. It can include interviews with families and other parties involved in the case. This type of case audit is more adaptable and the focus of the audit may depend on what has emerged from a quantitative audit. It is also a way of measuring worker performance. For example, a Quality Assurance Review audit might be conducted by an agency to evaluate the effectiveness of delivery of a Food Stamps benefit focusing on a review of the timeliness of actions and verifications completed.

Members of the organization can play the following roles on a case audit.

Audit coordinator

An audit coordinator is responsible for the management and maintenance of the audit process. They can also contribute to the individual audit of cases. An audit coordinator creates an audit plan which includes the purpose of the audit, the main focus areas, and the schedule. The audit coordinator also produces a list of cases to be audited, assigns the cases for audit and provides summary findings for the audit plan as a whole.

Audit coordinators can view case information for the cases being audited within an audit plan that they have created as well as for any case audits that they may have been assigned to audit individually. Each audit coordinator can create only an audit plan for the types of cases that fall within

their business function. For example, an audit coordinator may be able to create an audit plan to audit case types that fall within the Child Welfare program area, but not the Income Support program area.

Auditor

An auditor is responsible for examining and evaluating particular case records to which they have been assigned. They are responsible for providing summary findings on their individual case audits and reviewing any feedback received from caseworkers and supervisors. Auditors can view case information for cases to which they have been assigned.

Auditors can only be assigned to audit the types of cases that fall within their business area. For example, Child Welfare types of cases that require an audit can only be assigned to an auditor who works within the Child Welfare program area.

The audit team

Auditors can also be grouped into an audit team. An audit team represents one or more auditors responsible for jointly examining and evaluating particular case records. Audits can be assigned to an audit team or an individual auditor.

Anatomy of a case audit

Use this information to learn about the key aspects of a case audit including focus areas, selection query and criteria, and the audit algorithm.

Focus areas

Focus areas are the aspects or specific areas of a case that are to be examined by an auditor when carrying out an audit. The focus areas that are available to be examined during a case audit are specified within the administration application for the type of case audit that is being conducted. The audit coordinator may then select as many of these as are appropriate for the specific audit being conducted when creating the audit plan. An auditor when completing a case audit and evaluating a particular case must then address the focus areas selected.

Selection query and criteria

A selection query is used to generate a random sample of cases and contains the selection criteria that is used to produce the random list of cases. Two types of selection query may be used. A dynamic query offers flexibility by allowing the audit coordinator to enter selection criteria such as case status and a case start date range, which is then used to produce a list of cases.

A fixed query provides a predefined set of selection criteria. If a fixed query is used to generate a random sample of cases within an audit plan, then no audit coordinator entry of selection criteria is required.

Audit algorithm

An audit algorithm is the method or function run by the system in order to generate a random sample of cases based on the selection criteria specified by the user. A sample algorithm has been provided which uses a starting point and an interval to determine the list of cases to be included in the case audit. An organization may also define their own algorithms to be used for the audit of different types of cases as necessary.

Case audit lifecycle

At a high-level, the case audit process includes a number of defined stages.

Create plan

The audit coordinator creates a plan to define the expected scope, goals and conduct of the audit. The audit plan is then given a schedule and auditors added to the plan.

Produce case sample list

A list of cases to be audited can be generated randomly, or alternatively by manual selection.

Assign auditors

When a list of cases is added to the plan, auditors are assigned to each individual case for audit.

Record audit findings

Auditors document their findings against the focus areas as detailed in the audit plan.

Record summary findings and recommendations

When all cases associated with the audit plan are audited and feedback is provided, the audit coordinator reviews the documentation and produces summary findings that detail any recommendations and action items.

Configuring case audits

Use this information to learn about the configuration options that are available for case audits. It covers how an administrator can configure case audits for different case types, focus areas, case selection queries, permissions, and security. Administrators must create a case audit configuration for each type of case audit that the organization wants to use.

Specifying case types for an audit

When setting up a case audit configuration, the following must be done.

- Configure the type of case for which an audit coordinator can create an audit plan.
- Select an algorithm.
- Choose selection queries to use for generating a random sample of cases for audit.
- Select the focus areas that can be chosen to be addressed as part of any audit for that type of case.

Associating an algorithm with a case type

An audit algorithm is the method or function run by the system in order to produce a random sample of cases based on selection criteria specified by the audit coordinator. A sample algorithm has been provided which uses a starting point and interval to determine the list of cases to be included in the case audit.

This will select every nth case starting with x taking into account the number of cases that need to be audited and the available case load. Either the audit coordinator enters these values when producing the list of cases, or if not entered, the system calculates the interval and selects a random starting point.

An organization may also define their own algorithms to be used for the audit of different types of cases as necessary. This is a customization point which involves development and is explained in more detail in the *Cúram Case Audits Development Guide*.

Configuring focus areas

An administrator can select which focus areas will be available for selection when creating an audit plan of a particular case type as part of case audit configuration. When creating an audit plan, the audit coordinator can select from the set of focus areas configured for the type of case being audited.

Configuring selection queries and criteria

When configuring a case audit, a selection query must be identified for the case audit configuration. This selection query is used to generate a random sample of cases and contains the selection criteria that are used to search for and produce the list of cases. Two types of selection queries exist.

Dynamic queries

A dynamic query offers flexibility to the audit coordinator by allowing the audit coordinator to enter the selection criteria that is to be used when producing a list of cases, for example, case status and a case start date range. Each case audit configuration must have one dynamic query associated to it. Only one dynamic query may be identified per case audit configuration.

Sample dynamic queries are provided for each of the four case types for which support for case auditing is currently available: Integrated Case, Benefit Product Delivery, Liability Product Delivery, and Investigation Case. New dynamic queries for these case types may also be created by an administrator and associated to a case audit configuration once they are validated and published.

Development effort is required to produce the new selection criteria page on which an audit coordinator will enter selection criteria. For more information, see [../CaseAuditsDeveloper/ctr_CuramCaseAuditsDevelopersGuide.dita](#). An administrator can replace the existing dynamic query with the new dynamic query. An audit coordinator is then presented with a different set of selection criteria to enter when generating the random list of cases to be audited.

Fixed queries

A fixed query provides a predefined set of selection criteria that is defined through the entry of a SQL statement. For example, a fixed query might specify all cases opened, found ineligible, and closed within the month of February. If a fixed query is used to generate a random sample of cases within an audit plan, then no audit coordinator entry of selection criteria is required.

Fixed queries may also be created by an administrator and associated to a case audit configuration once they are validated and published. Multiple fixed queries may be associated to a case audit configuration, along with the one dynamic query. These queries are not a replacement but an addition to the dynamic query. An audit coordinator has the option to choose which type of query to use when generating the random list of cases for audit.

Associating queries with case audits

When configuring a case audit, an administrator must associate one dynamic query and may associated any number of fixed queries with the case audit configuration. An audit coordinator then has the option to choose either the dynamic query or any fixed queries associated to the case audit configuration when generating a random list of cases for audit. If the dynamic query is selected, the selection criteria for that query will be presented to the audit coordinator when generating the random sample of cases for audit.

For example, the sample 'Integrated Case Query' that is provided contains several selection criteria, including case status and a case start date range. If this dynamic query is associated with a case audit configuration and selected by the audit coordinator, then the audit coordinator will be presented with a page on which to enter any or all of the search criteria defined. If a fixed query is selected, then no entry of search criteria is required. The fixed query contains both the selection criteria and the parameters for the selection criteria; it can be reused without having to enter parameters for selection criteria.

Setting audit coordinator case selection permissions

For each case audit configuration an administrator specifies if the audit coordinator can manually identify individual cases to be audited. If this setting is not enabled then the list of cases to be audited can only be randomly generated. This ensures that the audit coordinator has no direct input into which cases should be audited. If an agency requires the ability to give the audit coordinator increased control over the cases that should be audited, this setting may be enabled and the creation of the list of cases to be audited can be done by manual selection or by random generation.

Securing case audits

For each case audit configuration, an administrator can specify that a security identifier is required by the audit coordinator to create an audit plan for the case type being configured. This provides an organization with a way to ensure that an audit coordinator cannot create an audit plan outside of their business area. For example, an audit coordinator who specializes in Child Welfare can be prevented from creating an audit plan for Income Support types of cases by identifying a security identifier for the case audit configuration for an Income Support type case. An audit coordinator will also be prevented from reassigning the audit plan to another audit coordinator who is not authorized for the type of case being audited.

Audit-level security also ensures that case audit details can only be viewed and modified by the auditor or audit coordinator assigned to perform the case audit, and that case audits can only be assigned to auditors or audit coordinators within their business area. Security restrictions equally apply to the display of audit plans and case audits, for example, searching for an audit plan or case audit.

Location-based Security

Location-based security is used to prevent users from viewing cases outside of their assigned location. In order to ensure that auditors and audit coordinators have the necessary access to view cases assigned to them for audit, any restrictions that location based security might present to view a case will be overridden if the user is an auditor or audit coordinator that is assigned to a case being audited. Location-based security restrictions will still apply for whether or not the auditor or audit coordinator is able to maintain the case.

Coordinating case audits

The audit plan lifecycle from creation to completion. As an audit coordinator, you can manage the case audit process, define the expected scope, goals and conduct of the case audit, select cases for audit, identify and assign cases to auditors, and document overall summary findings when all case audits are complete.

Personalizing the audit coordinator home page

Audit coordinators can configure the type of information that they want to display on their home page, including summary information or functions that are specific to the role of the user.

The following is a list of items that are available for selection on the audit coordinator home page.

Quicklinks

Contains the popular actions that an audit coordinator can quickly access, for example, create an audit plan.

My Tasks

Lists tasks assigned to the audit coordinator with the ability to filter tasks by priority and due date.

My Items of Interest

Lists the most recently tagged Items of Interest (cases) that an audit coordinator has bookmarked.

My Audit Plans

Lists any audit plans for the audit coordinator.

My Case Audits

Lists any case audits that have been assigned to the audit coordinator.

Audit Plan Summary

Graphical display of the status of any audit plans for the audit coordinator.

Case Audit Summary

Graphical display of the status of any case audits that have been assigned to the audit coordinator.

Creating an audit plan

An audit plan manages the details of the case audit process from its initial inception through to completion. When creating an audit plan, the audit coordinator must specify the type of case for audit, for example, child services investigation cases. The purpose of the audit such as for a quality assurance review, the priority, the areas of focus, and the level of user involvement are also specified.

The types of cases available for audit must be configured in the administration application before an audit plan is created. The level of user involvement determines the level of interaction that the case owner and supervisor has with the audit being conducted on their case.

Before auditors are assigned cases to audit, the audit plan must be scheduled and a random list of cases generated for the audit plan. Alternatively, the audit coordinator can manually add cases to an audit plan, assuming the type of case is configured to allow this in the administration application. The audit coordinator then assigns the cases identified for audit so that auditors can begin the process of conducting an audit.

Case owner involvement in a case audit

When creating an audit plan, the level of involvement of the relevant caseworker and case supervisor of each case that is part of the audit plan must be specified. User involvement indicates what a case owner and supervisor can view in relation to a case audit. The table provides a list of the available options.

User involvement	Description
Provide feedback	The caseworker and supervisor are notified when the audit is complete and that feedback is required. They can view the findings and enter feedback.
Provide feedback when focus area not satisfied	The caseworker and supervisor are notified that feedback is required when the audit is complete and any focus areas are not satisfied.
View findings only	The caseworker and supervisor are notified when the audit is complete and are allowed to view the findings. They are not allowed to provide feedback.
No Access To Audit Information	The caseworker and supervisor will not be able to view the findings or provide feedback.

Managing focus area

When an audit plan is created, the audit coordinator may specify the areas on which all auditors should focus when carrying out individual case audits. The focus areas that are available to be selected are those that have been configured for the type of case being audited in the administration application. These focus areas assist in measuring the outcome of service delivery within a case, such as Benefit Accuracy, Resource Transfers, Screenings, or Timeliness.

When an auditor is assigned a case audit, the auditor can then concentrate efforts on these focus areas and enter findings against them. The audit coordinator can continually view information about the progress of the individual case audits to identify the focus areas that have been satisfied, the focus areas that have not been satisfied (and the reasons why), and the focus areas that are yet to be examined.

Maintaining an audit plan

Maintaining an audit plan includes identifying the time period over which the case audit will occur, producing a list of cases to be audited, selecting auditors, and then assigning the cases to the auditors for audit. Optionally, an audit coordinator can change the coordinator and search for case audits at any time.

When audits are completed, the audit coordinator can record summary findings for the overall audit plan.

Scheduling case audits

After an audit plan is created, the audit coordinator can schedule a projected start date and end date for the expected duration of the case audit. An indication of the number of days to completion is then available in the audit plan to assist the audit coordinator in managing the completion of the audit.

Note: An audit coordinator can produce a list of cases to be audited and can select auditors for the audit plan. However, the audit plan must be scheduled before any cases can be assigned to an auditor.

Selecting cases for audit

An audit coordinator can choose to select which cases are to be audited by either generating a random sample of cases or by manually searching for and selecting cases. Cases may only be manually selected if the type of case being audited has been configured within the administration application to allow this.

Adding auditors to an audit plan

Auditors may be added to the audit plan by the audit coordinator by searching for and selecting individuals who have the security clearance to audit cases of the type being audited. Individuals that are serving as an audit coordinator may also be selected as an auditor.

An audit team can also be created for an audit plan. An audit team represents a group of one or more auditors responsible for jointly examining and evaluating particular case records. Cases can be assigned to an audit team in the same way they are assigned to individual auditors. Audit teams can only be assembled from auditors that are already part of the audit plan.

Assigning cases to auditors

An audit coordinator can view the list of cases that have been selected for audit within the audit plan, and assign these cases to auditors by selecting from a list of auditors and audit teams that have been added to the audit plan. Auditors and audit teams may also be added to the audit plan as part of the assignment process. Upon assignment of the first case audit to an auditor, the audit plan will change from 'Pending' to 'In Progress'. This indicates that the set up of the audit plan has been completed and the actual auditing of cases can commence.

When assigned a case to audit, a notification is sent to inform the auditor or audit team. Where a case is assigned to an audit team, the notification is sent to each individual auditor associated with that team. Depending on the level of user involvement specified for the audit plan, a notification may also be sent to the case owner and supervisor of the case to notify of the impending audit on their case.

Case audits that have been assigned to an auditor or audit team can be reassigned as the audit coordinator sees fit. For example, an auditor or audit team may be unable to complete some of the work assigned. An audit coordinator can reassign case audits to another auditor or audit team providing they have the appropriate security to audit the type of case being reassigned. When reassigned, a notification is sent to the new auditor or audit team to inform that they have been assigned a case to audit.

An audit coordinator can also remove the assignment of cases from an auditor or audit team. For example, an auditor may be unable to complete the work assigned and there may be no other suitable resources available to complete the work. When an audit coordinator removes assignment of a case, the case is returned to the pool of unassigned cases within the audit plan. When a resource becomes available, the case can be assigned again.

Changing audit coordinator

An audit coordinator has the ability to change the coordinator of an audit plan, however this is restricted to audit coordinators that have the security required to manage an audit of the type of case being audited. This prevents the assignment of an audit plan to an audit coordinator outside of their business area, for example, the assignment of an audit plan focused on the audit of Child Service Investigation cases to an audit coordinator who works within the Income Support business area. Upon reassignment, the new audit coordinator is notified.

Searching for an audit plan

The coordinator can search for audit plans. A number of criteria can be specified in the search including the audit plan reference number, case type being audited, audit coordinator, and status. The search can also be filtered to include canceled audits.

Viewing audit plan progress

Progress of the audit plan is displayed in graphical views in the audit plan and also on the audit coordinator's home page. The audit coordinator can position the graphs anywhere on their home page. They can also configure whether the information is displayed in bar graph or pie chart format.

The following graphical views are available.

Audit Coordinator home page

An audit coordinator can view an audit plan summary graph which shows the status of the audit plans which he or she is coordinating. An audit coordinator can also view a case audit summary graph which shows the status of any case audits to which they are assigned.

Audit Plan

An audit coordinator can, at any stage, monitor the progress of the individual cases being audited within the audit plan by viewing an audit plan progress graph. The progress is displayed in a bar chart showing the status of all case audits within the plan. An audit coordinator can see that the closer the case audits are progressing towards a status of 'Complete', then the closer the audit plan is to overall completion.

An alternate view is also presented within the audit plan. This is a focus areas progress chart which displays a progress bar for each focus area on the audit plan. This chart indicates the number of focus areas in the audit plan that have been 'satisfied', 'not satisfied' or 'not yet examined'. When a user hovers over an individual focus area further information is displayed about how the focus area has been examined across case audits, for example, Timeliness has been 'Satisfied' on 43 case audits, which equates to 22% of the cases being audited. Looking at the focus areas that have not yet been examined indicates to the audit coordinator how close the audit plan is to overall completion.

Maintaining audit plan summary findings

When each case audit is completed by an auditor, a notification is sent to the audit coordinator. This notification can be used to quickly navigate to the case audit that was completed in order to view the findings of the case audit and any feedback provided by the case owner and case supervisor.

When all case audits are complete, a further notification is sent to the audit coordinator that can be used to navigate to the audit plan; the audit coordinator can then enter summary findings. After the summary findings are added, and all case audits within the audit plan are complete, then the audit coordinator can indicate that the audit plan is complete.

Auditing cases

A case audit is usually performed by an auditor, but can also be performed by an audit coordinator. An audit is performed by addressing the focus areas, determining if they have been satisfied, adding findings for each focus area and documenting overall findings for the audit. When the auditor completed all required tasks, they can indicate that the audit is completed.

Personalizing the auditor home page

An auditor can personalize their home page in the same way as the audit coordinator.. The following is a list of configurable items for the auditor home page.

Quicklinks

Contains the popular actions that an auditor can quickly access, for example, search for a case audit.

My Tasks

Lists tasks assigned to the auditor with the ability to filter tasks by priority and due date.

My Items of Interest

Lists the most recently tagged Items of Interest (cases) that an auditor has bookmarked.

My Case Audits

Lists any case audits that have been assigned to the auditor.

Case Audit Summary

Graphical display of the status of any case audits that have been assigned to the auditor.

Performing a case audit

When an auditor is assigned a case to audit, the auditor receives a notification that can be used to quickly navigate to information about the case audit. The case audit is initially in a status of 'Assigned', indicating

that the audit coordinator assigned the case for audit. The auditor can view summary details about the case audit, and view the focus areas that must be addressed as part of the audit.

An auditor has information about the audit plan at hand to assist in completing the audit. This includes information about the type of case being audited, the audit coordinator, and the reason or purpose for the audit. For example, the audit might be part of a Quality Assurance review. A case audit also contains the case reference of the case being audited and the owner of that case, which provides the auditor with the ability to quickly access any additional information that may be necessary. If the case audit is assigned to a team, any of the team members can perform the case audit.

Addressing focus areas

The auditor must address each focus area that is part of the case audit. Initially all focus areas are 'not yet examined'. For each focus area, once the auditor has reviewed the case and investigated whether the focus area has been satisfied or not, then the auditor can enter findings against each focus area under examination and indicate whether the focus area has been satisfied. Additionally, attachments may be added to each focus area to supplement the findings entered. An auditor iterates through this process for all the focus areas in the case audit until complete.

Adding findings to a case audit

When all focus areas for a case audit are addressed, the auditor can review and add findings to the case audit. Findings are used by the auditor to record a summary of the overall assessment of a review of the case. After findings are entered, the auditor can indicate that the case audit is complete.

Searching for a case audit

A number of different options are available when searching for a case audit. An auditor can search using details of the audit plan, including the audit plan reference, the audit coordinator or the type of case being audited. Additional search options include the case audit reference, the status or the auditor who is assigned to perform the audit.

Viewing the case audit progress

Progress for a case audit is displayed in a graphical view on both the case audit home page and also on the auditor's home page. On the auditor home page, the auditor can position the graphs anywhere on the page.

Auditor home page

An auditor may view a case audit summary graph which shows the status of any case audits to which he or she has been assigned.

Case audit home page

An auditor can, at any stage, monitor the progress of the case audit by viewing a focus areas progress graph. The progress is displayed in a pie chart showing the number of focus areas in the case audit and whether they have been 'satisfied', 'not satisfied' or 'not yet examined'. Viewing the focus areas that have not yet been examined will indicate how close the case audit is to completion.

Completing a case audit

When an auditor indicates that a case audit is completed, if the level of user involvement specified for the audit plan indicates that the case owner or supervisor of the case have no access, then the case audit transitions to a status of 'Complete' to indicate that the auditor completed all required tasks.

The audit coordinator can see that the case audit is completed when they review information about the progress of the audit plan. If the level of user involvement specified for the audit plan is 'View Findings only' then the caseworker and supervisor of the case are notified that an audit has taken place and they can view the findings of the audit. No action on their part is required. The auditor has completed all required tasks and the audit is complete. The audit coordinator can see that the case audit is completed when they review information about the progress of the audit plan.

If the level of user involvement does indicate that feedback is provided, then the case audit transitions to a status of 'Findings Complete & Awaiting Feedback'. The following two levels of user involvement result in this transition.

Table 2. User involvement in a case audit

User involvement	Description
Provide Feedback	A notification is sent to the caseworker and supervisor of the case. An audit has taken place and their feedback is required. The notification contains the findings documented by the auditor. The caseworker and supervisor can view the findings and address when providing their feedback. The auditor awaits notification that the case owner and/or supervisor have completed their feedback.
Provide Feedback When Focus Area Not Satisfied	If at least one focus area has a status of 'not satisfied', then a notification is sent to the caseworker and supervisor of the case. An audit has taken place and their feedback is required. The notification contains the findings documented by the auditor. The caseworker and supervisor can view the findings and address when providing their feedback. They can view the findings and provide feedback on all focus areas, not just those that have not been satisfied. The auditor awaits notification that the case owner and/or supervisor have completed their feedback.

Providing case owner and supervisor feedback

If the level of user involvement for the audit plan is set to either 'Provide Feedback' or 'Provide Feedback When Focus Area Not Satisfied', then the case owner and supervisor each receives a task that indicates that an audit has taken place on their case.

The task allows each user to view the findings for the case audit, view the findings for each associated focus area(s) and to provide feedback.

When feedback is provided and is indicated as complete, the task is automatically closed. If the case owner is unable to complete feedback, the supervisor can resolve the outstanding issues and provide feedback on behalf of the case owner.

Indicating that a case audit is complete

An auditor remains responsible for overseeing completion of the case audit while awaiting feedback. The auditor can indicate that the case audit is complete when feedback is provided by at least one of the individuals who are responsible for providing feedback.

When feedback is received from either the case owner or supervisor, then the case audit transitions to a status of 'Feedback Received'. When feedback is completed by both the case owner and supervisor, then the case audit transitions to a status of 'Feedback Complete'. When the auditor indicates that the case audit is complete, after the feedback is provided, the case audit transitions to a final status of 'Complete'.

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