Appendix C

<u>Investigative Guide</u>
<u>Source, Action, and Documentation</u>

This Table is designed to provide QC staff with a summary guide
to the required investigative process. The table was developed
based on the following assumptions:

    1.   That all procedures of the QC process are being
          followed.

    2.   That a general review of all questionnaire items is
          conducted with the claimant as part of the normal QC
          process.

    3.   That the Summary of Investigation will be used to
          explain each case.

Therefore, these steps are not included in the Table. Instead,
the initial action beyond those basic steps is presented. Follow
through using standard practices like factfinding is required
when issues are identified.

When a Source is listed, it is assumed that the necessary
information has already been obtained from that source. For
several data items, the Documentation column shows only the
primary document for that item. This is not meant to be all
inclusive of the documents that may result.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
PART A - MASTER TABLE			
1.Social Security Number	Claimant S.S.Card SESA Records Questionnaire(#3) Employer Records	Verify S.S. from sources against claimant S.S. card if possible	Photocopy S.S. card if possible
2.Week Ending Date of KW	SESA Records	None	None
3.Case Type 0=Regular Core QC case	QC System Generated	Verify the case is a regular Core QC case and not part of special study	None
4.Batch Number	QC System Generated	Compare to correct number assignment from UIS issuance	None
5.Sequence Number	QC System Generated	None	None
6.State I.D. Code	QC System Generated	None	None
7.Local Office Number	SESA Records local office of record for the claim	Determine if proper local office assignment	None
8.Investigator ID Code	ID Number Assigned	Compare to valid	None

by Supervisor   Investigator ID No.s

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
PART B - CLAIMANT INFORMATION			

1.Method Clm't Info Obtained
 	
  1 = In-person interview
  2 = Telephone interview
  3 = Mail
-1 (PF1) = Not obtained
	Questionnaire (Sig.Pg)
	
	Case documentation
		None - If in-person
		
		Explanation if
		claimant question-
		naire not obtained
		in person.
			Invest. Explanation

2.U.S. Citizen
  1 - U.S. Citizen
  2 = Alien eligible
  3 = Alien ineligible
-1 (PF1) = INA
	Questionnaire(#11)
	SESA Records
	Alien Reg. Card
	Employer(s)
	Immigration
		-If citizen -None
		-If not, verify
		 status with
		 INS
			Photocopy Alien Reg. Card
			INS Report
			Fact finding statement
			if an issue

3.Education
  00 = Never attended
  01 thru 11 = Highest
    Grade completed
  12 = HS Grad or GED
  14 = Some college (no deg.)
  15 = Associate degree
  16 = BA or BS
  20 = Graduate degree
 -1 (PF1) = INA
	Questionnaire(#12)
	Job Service
	Records (ES 5ll)
		None	None

4.Voc/Tech Training
  1 = Never attended
  2 = Attended-not certified
  3 = Attended-received cert.
 -1 (PF1) = Missing or INA
	Questionnaire(#13)
	Job Service
	Records (ES 5ll)
		Compare sources to
		determine proper
		code
			None

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART B - CLAIMANT INFORMATION (Continued)

5.Currently in Training — Questionnaire(#36), SESA Records — Verify and compare information from — Fact finding statement if applicable

   00 - Not in Training — Training Facility — sources to determine proper code

UI Approved Training	Not UI Approved Training
11 = Tech./Voc.	21 = Tech./Voc.
12 = JTPA	22 = JTPA
13 = Academic	23 = Academic
14 = Other	24 = Other
-1 (PF1) = Missing or INA	

6.Last Occupation — Employer, SESA Records, Questionnaire(#17) — Verify and compare information from sources to determine proper code — Separating Employer Verification and claimant questionnaire

  -1 (PF1) = Missing or INA

  Enter major occupational group code for claimant's last job prior to most recent initial/additional claim. Use Dictionary of Occupational Titles, US DOL/ETA Revised 4th Edition 1991.)

7.Primary Occupation — Employer, SESA records, Questionnaire(#18) — Compare sources to Determine proper code — QC Wage Verification

  -1 (PF1) = Missing or INA

  Enter major occupational group code for claimant's usual job using same reference as No. 6. Show correct primary occupation after appropriate verifications.

8.Normal Hourly Wage — Employer, Questionnaire(#19), SESA Records — Compare sources to determine proper code — QC Wage Verification

Enter normal hourly wage for the claimant's

Express without decimal point in dollars and cents
per hour. (e.g., $5.00 per hour is coded as 00500.)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART B - CLAIMANT INFORMATION (Continued)

8.Normal Hourly Wage (Continued)

   Use State conversion formula when other than hourly
   wages are given. If no State formula, use the
   appropriate formula provided below:

   Weekly wages - divided by 40 or normal weekly hours
        for claimant's usual occupation.

   Monthly wages -divide by 4.33, than divide by
        40 or normal weekly hours for claimant's
        usual occupation.

   Yearly wages - divide by 52 than divide by 40
        or normal weekly hours for claimant's usual
        occupation.

  -1 (PF1) = Missing or INA

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
9.Seeking Work Occupation	Questionnaire(#43) SESA records Job Service if reg.	Review claimant's interest and work history to determine proper code	Fact Finding Statement if an Issue

   Enter major occupation group code for type of work

that claimant is <u>seeking</u>. Use same source as No. 6

     -1 (PF1) = Missing or INA

10.Lowest Wage will accept   Questionnaire(#29)   compare claimant   Fact Finding Statement
                                SESA records   wage demand to   if Wage Restriction
     -1 (PF1) = Missing or INA Job Service if reg.   prevailing wage for
                                                        occupation

     Enter lowest hourly wage that the claimant was
     willing to accept during the Key Week.

     Use same formula as No. 8.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART B - CLAIMANT INFORMATION (Continued)

11.Date of Birth   Questionnaire(#8)   Compare sources for   None
     Enter Date of Birth (YYMM) SESA records   consistency
      -1 (PF1) = Date   Drivers License   Review with claimant
        unknown or missing

12.Sex   Questionnaire(#9)   Compare sources for   None
     1 = Male   SESA records   consistency
     2 = female   Observation
     -1 (PF1) = Not available

13.Ethnic Group   Questionnaire(#10)   Compare sources for   None
     1 = White, not Hispanic   SESA records   consistency
     2 = Black, not Hispanic   Observation
     3 = Hispanic
     4 = American Indian or Alaskan Native
     5 = Asian or Pacific Islander

-1 (PF1) = Not available from any source

PART C - BENEFIT YEAR INFORMATION
_____

1.Program Code	SESA records	Verify accuracy	Wage Verification
1 = UI	Employer(s) records	during Wage	
2 = UI-UCFE		verification	
3 = UI-UCX			
4 = UI-UCFE-UCX			
5 = UCFE			
6 = UCFE-UCX			
7 = UCX			
8 = EUC			

2.Combined Wage Claim	SESA records	Review work	Wage Verification
Enter code which applied	Employer(s) records	history with	IB-4 copy
at the time the Key Week		claimant. Verify	
payment was made		with employer	
1 = yes		during wage	
2 = No		verification	

| DATA ELEMENTS | DATA SOURCE | ACTION REQUIRED | DOCUMENTATION |
_____

PART C - BENEFIT YEAR INFORMATION (Continued)
_____

2.Combined Wage Claim (Continued)

   Use Code 1 if out-of-state wages were used for the Key Week payment.

   Use code 2 if there are no out-of-state wages OR out-of-State wages
   have been requested but not received or acted upon at the time Key
   Week payment was made.

3.Benefit Year Beginning   SESA records   Compare Initial   Initial Claim
                                                        Claim filing date
   Enter effective date of   to BYB
   most recent new claim,
   NOT reopened or addi-
   tional claim (YYMMDD).

4.Init./AC Clm filing method SESA records   None   Initial Claim
     1 = In-person Claim
     2 = Mail Claim
     3 = Telephone Claim
     4 = Employer-Filed Claim
     5 = Other
    -1 (PF1) = Missing or INA

5.Benefit Rights Given   SESA records   Compare sources for   Copy of BRI Record
     Enter ALL applicable   Questionnaire(#48)   consistency
     codes

     0 = Not given
     1 = In-Person (individual) interview
     2 = Group interview
     3 = Booklet/Pamphlet
     4 = Slides/movie
    -1 (PF1) = Missing or INA

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART C - BENEFIT YEAR INFORMATION (Continued)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
6.Number of ERPs	SESA records	Sum from SESA records	Copy of ERI Record

    Enter number of ERPs held (up to & including KW) during current BY.
    Enter 0 if should have been given but was not.
    Enter 9 if 9 or more.

    -1 (PF1) = Missing or INA
    -2 (PF2) = Not applicable

7.Last ERP Date	SESA records	None	Copy of ERI Record

    Enter date (YYMMDD) of most recent ERP
    (up to & including Key Week)

    -1 (PF1) = Missing or INA
    -2 (PF2) = Not applicable

8.Number of Nonsep Issues	SESA records	Sum from SESA records	Copy of All Non-Sep Non-Mon records

    00 = None

    Enter number of prior nonseparation issues
    disposed of in current BY through KW
    (including both formal and informal) which
    meet workload validation criteria.

9.Number of Nonsep DQ'd	SESA Records	None	Copy of All Non-Sep

    00 = none
    Non-Mon records.

Enter number of prior disqualifications resulting
from nonseparation issues identified in No. 8.

Exclude denials reversed by appeal if decision
issued before the Key Week ending date.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART D SEPARATION INFORMATION

1.Sep.Reason (Before)	SESA records	None	SESA Records

Enter the code that identifies the reason the
claimant was separated from the last job prior
to the Key Week. The separation to be coded
is that separation which precedes the period of
unemployment in which the Key Week occurred.
Code only the most recent adjudicable (according
to State law) separation.

10 = Lack of Work (e.g. RIF, temporary layoff)
20 = Voluntary Quit
30 = Discharge
40 = Labor Dispute
50 = Other (Include military separation)
60 = Not separated (e.g. leave of absence, partial).

The second digit of the code is reserved for SESA use. For example,
at the SESA's option, different reasons for Voluntary Quit or Discharge
could be identified.

2.Sep. Reason (After)	Questionnaire(#14)	Compare sources for	Fact Finding Statements
10 = Lack of Work	Employer	proper determination	from Employer & Claimant
20 = Voluntary Quit			if an Issue
30 = Discharge			
40 = Labor Dispute			
50 = Other			
60 = Not Separated (e.g. leave of absence, partial).			

(PF3) = Same as No. 1 (Reason for separation before investigation)

Enter the code that identifies the reason the claimant was separated
from the last job after investigation. The separation to be coded
is that separation which precedes the period of unemployment in which
the Key Week occurred. Code only the most recent adjudicable separation.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART D SEPARATION INFORMATION (Continued)

3.Date of Sep.(Before)	SESA records	None	None

Enter date of separation (last day worked if No. 1 is code 60) from
last employer at time Key Week was claimed (YYMMDD).

4.Date of Sep. (After)	Questionnaire (#15)	Compare sources for	Factfinding Statements
	Employer	proper data and	from Employer & Claimant
-1 (PF1) = missing or INA		potential unreported	if an issue
		earnings	

(PF3) = Same as No. 3 (Date of Separation before investigation)

Enter date of separation (last day worked if No. 2 is code 60) from
last employer at time Key Week was claimed (YYMMDD).

5.Recall Status (Before)	SESA records	None	Work Search Exemption
			Policy if applicable

  0 = No recall
  1 = Definite recall (specific return date)
  2 = Indefinite recall (no specific return date)
  -1 (PF1) = Missing or INA
  -2 (PF2) = Not applicable (e.g., partial)

6.Recall Status (After)	Employer	Compare sources for	Fact Finding Statements

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                          Questionnaire (#20)       proper determination  from Employer & Claimant
0 = No recall             SESA Records                                    if an issue
1 = Definite recall
    (Specific return date)
2 = Indefinite recall (no specific return date)


PF3 = same as No. 5


-1 (PF1) = Missing or INA


-2 (PF2) = Not applicable (e.g., partial)
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DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART D SEPARATION INFORMATION (Continued)

| 7.Tax Rate (Last Employer) | SESA records | None | Employer Qtrly Report |

Enter last employer's UI tax rate at the time of filing for the most recent new or additional claim. (Use date of filing - Not effective date of claim)

Round to nearest tenth of a percent (XX.X - decimal assumed, i.e., 14.9% should be coded as 149 - 3.2% should be coded as 032).

999 = Employer reimburses fund.

-1 (PF1) = Non-subject employing unit or INA.

8.Industry (Last Employer)	Separating Employer	Review sources for	None
-1 (PF1 = Missing or INA	SESA Records	accurate code	
	Questionnaire(#14)	assignment	
	S.I.C. Handbook		

Enter four-digit industry code (SIC) for the claimant's last employer, prior to most recent new or additional claim. If only two-digit major group is available on SESA's computer system, enter the two digits followed by two zeros. e.g., if the only industry code available is 17, enter 1700.

PART ME - MONETARY ELIGIBILITY:

| 1.Number of BP Ers (Before) | Monetary Determination | None | Monetary Determination |

Enter number of subject base period employers before investigation regardless of the maximum used in State formula for calculating

WBA and MBA for the monetary determination in effect as of the Key Week.

Include seasonal employers and school employers.
Include out-of-State employers if they paid wages which were used to
determine Key Week payment amount.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART ME - MONETARY ELIGIBILITY (Continued)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

2.Number of BP Ers (After)
 	
  Refer to No. 1
  PF3 = Same # as No. 1
  00 = None
	Employer(s)
	Monetary Determination
	Claimant
		Verify wages with
		all base period
		employers to
		determine proper no.
			Wage Verification

3.Base Period Wages (Before)	Monetary Determination	None	Monetary Determination

  Enter total amount of all wages from employers in No. 1.
  Express in whole dollars (Round to nearest whole dollar
  or follow SESA formal policy.)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

4.Base Period Wages (After)
 	
  Enter all wages from
  employers in No. 2
  PF3 = Same as No. 3
  000000 = None (must be
          0 if No. 2 is 0)
	Employer(s)
	Monetary Determination
	
	Claimant
		Verify wages with
		all Base period
		employers to
		determine proper
		amount
			Wage Verification

  Express in whole dollars. (Round to nearest whole dollar
  or follow SESA formal policy.)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
5.High Qtr wages (Before)	Monetary Determination State Records	None	Monetary Determination State Records

  If available from SESA records, enter total whole dollar amount
  of claimant's high quarter base period wages (before investigation)
  used in the monetary determination on which original Key Week payment
  was based. Include seasonal wages and school wages, if applicable.

Enter 99999 if greater than $99999.

Enter -2 (PF2) if not applicable AND not in SESA records.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART ME – MONETARY ELIGIBILITY (Continued):

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

6.High Qtr Wages (After)
 	
   Refer to No. 5 criteria
   PF3 = Same as No. 5
   00000 = None (must be
        0 if No 2 is 0)
	Employer(s)
	Monetary Determination
	Claimant
		Verify wages
		with base period
		employers to
		determine proper
		amount
			Wage Verification

7.BP Wks Worked (Before) -2 (PF2) = Not required	SESA records	None	Monetary Determination

Complete this item if required by State law for eligibility

Enter number of actual weeks (as defined by State Law and Procedures) claimant worked in base period before investigation.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

8.BP Wks Worked (After)
 	
   Refer to No. 7 criteria
   PF3 = Same as No. 7
   00 = None (must be 0 if
      No. 2 is 0)
	SESA Records	Verify weeks with
		Employer(s) to
		determine proper
		number
			Wage Verification
			base period employers

9.WBA (Before)	Monetary Determination	None	Monetary Determination

Enter claimant's maximum WBA for the Key Week, based on monetary determination from which the original Key Week payment was made.

Disregard dependents' allowances,pension deductions, or Key Week earnings (if any). Use original WBA when a monetary redetermination

was made as a result of nonmonetary issues (i.e., a separation issue
or administrative penalty). Express in whole dollars.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART ME - MONETARY ELIGIBILITY (Continued):

10.WBA (After)	Employer(s)	Verify that	Wage Verification
	Monetary determination	WBA is based on	Monetary Redetermination
Refer to No. 9 criteria	Claimant	emp./wage	if applicable
PF3 = Same as No. 9		verification	
00 = None (must be 0 if			
No. 2 is 0)			

11.MBA (Before)	Monetary Determination	None	Monetary Determination

Use same criteria as No. 9.

Disregard any EB or FSC benefit entitlement, State supplemental payment,
dependents' allowances, or any deductions.

12.MBA (After)	Employer(s)	Verify that	Wage Verification
	Monetary Determination	MBA is based on	Monetary Redetermination
Refer to No. 11 criteria	Claimant	emp./wage	if applicable
PF3 = Same as No. 11		verification	
0000 = None (must be			
0 if No. 2 is 0)			

13.# Dependents Cl'd (Before)	SESA records	None	None

Enter number of dependent claimed
00 = None

-2 (PF2) = State does not have dependency provision

14.# Dependents Cl'd (After)	Questionnaire	Verify as required	Verification document(s)

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PF3 = Same as No. 13      SESA Records          by SESA procedures    Dependent Award
000 = None                                                            (Monetary Determination)


-2 (PF2) = State does not have dependency provision
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DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART ME - MONETARY ELIGIBILITY (Continued):

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15.Dependent Allowance    SESA records          None                 None
   (Before)


   0 = None
   -2 (PF2) = State does not have dependency provision


   If dependents' allowance, enter the whole dollar amount of dependents' allowance before
   investigation that was paid for Key Week.

16.Dependent Allowance    Questionnaire         Compare sources to    Dependent Award
   (After)                Dependency            determine correct     (Monetary Determination)
   PF3 = Same as No. 15   SESA Records          amount
   000 = None/Not elig
   -2 (PF2) = States does not have dependency provision


17.Primary BP Er Industry  Employer(s)          Review Sources for    Wage Verification
                           SESA Records         accurate code
   -1 (PF1) = Missing or INA  S.I.C. Handbook
```

Enter four-digit industry code for claimant's primary base period employer from whom the <u>most</u> wages
were earned. If only two-digit major group is available on SESA's computer system, enter the two
digits followed by two zeros. E.g., if only industry code available is 17, enter 1700.

18.Monetary Redet. (Before)   Monetary Redetermination None   Copy of Redetermination
   1 = Yes
   2 = No

   Enter appropriate code which indicates if SESA redetermined claimant's
   monetary eligibility prior to KW payment date.

   Do not consider redeterminations resulting from a nonmonetary issue
   (i.e., a separation issue or administrative penalty.

   Do not consider redeterminations resulting from law change which increases
   monetary eligibility across the board.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART ME - MONETARY ELIGIBILITY (Continued):

19.Remaining Balance	Benefit History	None	Benefit History

From agency records prior to the investigation, enter total whole dollar
amount of benefits available to claimant immediately after KW ending date
regardless of date paid and regardless of BYE date. Exclude amounts for
dependency allowances.

00 = balance is exhausted.

PART F - BENEFIT PAYMENT HISTORY

1.Amt KW Earnings (Before)	SESA Records Benefit History	Compare sources to determine proper	SESA Records Benefit History
000 = None Enter 999 if $999 or more	Weekly Certifi- cation	amount	Weekly Certification

Enter whole dollar amount of earnings during KW regardless
of effect on the amount paid. Do NOT include other income
such as pensions, holiday pay, vacation pay, pay in lieu of
notice, separation pay, etc.

2.Amt KW Earnings (After)	Employer(s) Questionnaire(#46a)	Compare sources to determine proper	Fact-finding statement re: wage verification if
Refer to No. 1 criteria PF3 = Same as No. 1 000 = None	SESA Records	amount	applicable

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART F - BENEFIT PAYMENT HISTORY (Continued)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
3.Earn. Deduction (Before) 000 = None	SESA Records Benefit History Weekly Certifi- cation	Compare sources to determine earnings deduction	SESA Records Benefit History Weekly Certification

Enter actual amount, in whole dollars, deducted from WBA
because of earnings. Do NOT include other income such as
pensions, holiday pay, vacation pay, pay in lieu of notice,
separation pay, etc. (This amount may be less than amount
reported on the certification by claimant because of earnings
disregarded by law in computation of amount deducted.)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

4.Earnings Deduction (After)
 	
  Refer to No. 3 criteria
  PF3 = Same as No. 3
  000 = None
	Employer(s)
	Questionnaire (#46a)
	SESA records
		Compare sources to
		Determine proper
		amount deducted
			Wage Verification

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

5.Other Deductible Income
  (Before)
  000 = None
	SESA Records
	Benefit History
	Weekly Certifi-
	cation
		Compare sources to
		determine all other
		deductible income
			SESA Records
			Benefit History
			Weekly Certification

Enter total whole dollar amount of other income deductible under
State law. Include pension received for the Key Week, regardless
of effect on the payment amount, using the SESA's method to
determine the weekly amount of the pension. Also include all
deductible income such as holiday pay, vacation pay, pay in lieu
of notice, separation pay, etc.

6. Other Deductible Income   Employer(s)   Compare sources to   Wage Verifications
   (After)   Questionnaire   determine proper   Pension Verification if
   Refer to No. 5 criteria   (#46 a & b)   amount   applicable
   PF3 = Same as No. 5
   000 = None

DATA ELEMENTS   DATA SOURCE   ACTION REQUIRED   DOCUMENTATION

PART F - BENEFIT PAYMENT HISTORY (Continued)

7. Other Deductions (Before)   SESA Records   Compare sources to   SESA Records
                                Benefit History   determine amount of   Benefit History
   000 = None   Weekly Certifi-   deduction   Weekly Certification
                                cation

   Enter actual amount, in whole dollars, deducted from WBA due
   to a pension, holiday pay, vacation pay, pay in lieu of notice,
   separation pay, etc. before investigation of Key Week. (This
   amount may be the same as No. 5, or different, depending on
   type of income and State law; i.e., some of the above may be
   deductible on a dollar-for-dollar basis and others may have
   earnings disregarded by law in computation of amount deducted.)

8. Other Deductions (After)   Employer(s)   Compare sources to   Wage Verifications
                                Questionnaire   determine proper   Pension Verification
   Refer to No. 7 criteria   (#46 a & b)   amount deducted
   PF3 = Same as No. 7
   000 = None

9. 1st Comp Wk Ending Date   SESA records   None   Benefit History

   Enter Week Ending Date (YYMMDD) of first week compensated
   in the benefit year as defined for the Claims and Payment

Activities Report (ETA 5-159, Part B).

10.Date of First Payment   SESA records   None   Benefit History

    Enter date payment was made for the first compensated week
    identified in No. 9 (YYMMDD).

11.KW Filing Method   SESA records   None   Key Week certification
    1 = Mail claim
    2 = In-person Claim
    3 = Employer-filed (i.e., partial)
    4 = Telephone
    5 = Other (Electronic)
    PF1 (-1) = Missing or INA

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART F - BENEFIT PAYMENT HISTORY (Continued)

12.Key Week Cert.Procedure   SESA records   None   Key Week certification

    1 = Key Week claimed on a weekly cycle
    2 = Key Week claimed on a bi-weekly cycle
    3 = Other (greater than bi-weekly cycle)

13.Amount Paid/Offset   SESA records   None   Benefit History

    Enter original whole dollar amount paid and/or offset
    (including child support intercept, if any) for Key
    Week, e.g., $98.00 coded as 098.

PART G - REGISTRATION/WORK SEARCH INFORMATION

1.Required to Seek Work   SESA records   If required to seek   Agency Policy Statement

work, obtain official
    1 = Required to actively seek work   policy/requirement
        (in addition to union contact if applicable)
    2 = An agency directive (written or verbal)
        <u>temporarily</u> suspended the claimant"s normal
        work search for the Key Week.
    3 = Union deferral (seeking work only through union)
    4 = Job attached deferral (temporary lay-off, recall,
        partial, industry attached)
    5 = Other deferrals (disability, school, etc.
    -2 (PF2) = No active work search policy

2.JS Registration Required   SESA records   If JS reg. required   Agency Policy Statement
                                                   obtain official
    1 = Yes   policy/requirement
    2 = No

    Use code 2 only if the State does not require registration or there
    is a written law/policy that provides for non-registration under
    certain circumstances (e.g., temporary lay-off, union membership),
    and such non-registration policy is applicable to claimant.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART G - REGISTRATION/WORK SEARCH INFORMATION   (Continued)

3.Registered with JS   SESA records   Verify if claimant   ES 511 Records
                              Questionnaire(#33)   in a referable
    1 = Yes   Status with JS
    2 = No
    -1 (PF1) = Missing or INA

    Use code 1 if Job Service records provide enough information
    to refer the claimant to a job during Key Week.

Use Code 2 if Job Service has no current application for the
claimant OR application does not provide sufficient information
for referral, OR job application is inactive.

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4.Reason JS Reg. Deferred      SESA records         If Deferred, obtain   Deferral explanation
                               Questionnaire        explanation, i.e.
   1 = Union member                                 official policy
   2 = Job Attached
   3 = Partial
   4 = Seasonal
   5 = Approved training
   6 = Other
  -2 (PF2) = Claimant not deferred


5.Number of JS Referrals       SESA records         Compare sources to    ES 511 Records
                               Questionnaire(#33)   determine proper
                                                    number
```

Enter number of times Job Service referred claimant for employment
during current benefit year (CBY) up to and including the Key Week.

Enter zeros if registered but no referrals in CBY.

Enter -2 (PF2) if not registered during CBY.

Enter -1 (PF1) if information missing or not available.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART G - REGISTRATION/WORK SEARCH INFORMATION   (Continued)

```
6.Priv. Emp. Reg.             Questionnaire(#34)   None                  None
   1 = Registered with private agency as of KW
```

```
   2 = Not registered with private agency
  -1 (PF1) = Missing or INA


7.# Priv. Emp. Referrals        Questionnaire(#34)        If info available,    Work Search Verification
                                Private Employment        verify as part of
   # of referrals by            Agency                    verification
   private agency during KW
   -1 (PF1) = Missing or INA
   -2 (PF2) = Not registered
   00 = Registered but not referred


8.Union Referral Status         Union                     Verify with union     Union Verification
                                SESA records              claimant's standing   Factfinding
   0 = NOT a member             Questionnaire (#35)       and its effect on     statement if
   1 = Member in good                                     eligibility           applicable
       standing & eligible for
       referral during Key Week
   2 = Member of union but not eligible for referral
   3 = Member of non-hiring hall union
  -1 (PF1) = Missing or INA


9.# of Union Referrals          Union                     Sum of sources        Union Verification
  during KW                                               Questionnaire(#35)
  Enter # of referrals
   -1 (PF1) = Missing or INA (must be -1 if No. 8 is -1)
   -2 (PF2) = Not applicable (must be -2 if No. 8 is 0, 2, or 3.
```

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART G - REGISTRATION/WORK SEARCH INFORMATION   (Continued)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
10.# Wk Search Contacts For Key Week	Employer(s) Unions Priv. Employ.Agencies Questionnaire (#43)	Sum from all sources	None

  Enter # of all KW contacts
  from any & all sources
  00 = No contacts
  -1 (PF1) = claimant does not know or INA
  -2 (PF2) = Not required to seek work (cannot be -2 if No. 1 is coded 1)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
11.# Work Search Contacts Outside Key Week	SESA Records Employer(s) Unions Priv.Employ.Agencies	Sum from all sources	Work Search Verifications

  Enter number of work search contacts made prior to Key Week
  only if used to satisfy the State's work search requirements.

  Enter 00 if no contacts were indicated or KW contacts were
  sufficient to meet the requirements.

  Enter -1 (PF1) if claimant does not know or INA.

  Enter -2 (PF2) if State does not use contacts outside KW.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART G - REGISTRATION/WORK SEARCH INFORMATION   (Continued)

| 12.# of WSC Investigated | Employer(s)
Unions
Priv.Employ.Agencies | Sum of all sources
contacted for
verification. | Work Search Verification
for each source |

 Enter total number of work search contacts investigated by QC unit,
regardless of investigation determination of acceptability.

 Do not include here any work search contacts that were <u>not</u>
investigated by QC unit.

 Enter 00 if no job contacts were investigated. (This also requires
a 0 entry for No. 13, 14, and 15).

 This number cannot exceed the sum of No. 10 and 11; and, must equal the sum of No. 13, 14, and 15.

| 13.# of WSC Acceptable

 less than or = to #12
 Must be 00 if G-12 is 0 | Employer(s)
Unions
Priv.Employ.Agencies | Record No. of
contacts verified
as valid | Work Search Verification |

| 14.# of WSC Unacceptable

 Must be 00 if
 No. 12 is 0 | Employer(s)
Unions
Priv.Employ.Agencies | Record No. of
contacts verified
as invalid
Conduct factfinding
on Work Search Issue | Work Search Verification
Explanation in SOI
Factfinding Statement
if applicable |

 Enter only job contacts for which written documentation exists in QC file that
such <u>contacts were not made at all by claimant</u> or were made but are <u>unacceptable</u>
within the framework of State's <u>written</u> law or policy.

This number must be less than or equal to number of job contacts
actually investigated by QC (No. 12)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART G - REGISTRATION/WORK SEARCH INFORMATION   (Continued)

15.# of WSC Unverifiable Must be 00 if No. 12 is 0.	Employer(s) Unions Private Employment Agencies	Record number of contacts that couldn't be verified	Work Search Verification Explanation in SOI

Include here the work search contacts for which there was insufficient
information to make a judgement of either acceptable or unacceptable.

This number must be less than or equal to number of work search contacts
investigated (No. 12).

PART H - ERROR CLASSIFICATION/COMPLETION INFORMATION

1.Action Code
 	
  1 = Correct Payment/Offset
  2 = Overpayment established or WBA, KW dependents'
    allowance entitlement, MBA, or remaining balance
    decreased which was later "officially"
    reversed. QC agrees with the "official" action.
  3 = Supplemental check issued/offset applied, which
    was later "officially" reversed. QC agrees with
    the "official" action.
	QC Investigative File	None on proper
		payment. Appro-
		priate action on
		improper payments.
			Explanation in Summary
			Copy of Official Agency
			Actions, if applicable

9 = Improper payment (This entry will automatically activate
    the "I" screen for coding of the circumstances of the
    improper payment.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART H - ERROR CLASSIFICATION/COMPLETION INFORMATION (Continued)

2. Amount Claimant Should Have Been Paid	QC Investigative File	None on proper payment. Compute correct amount for improper payments.	Explanation in Summary Copy of Official Agency Actions, if applicable

Enter the whole dollar amount that the claimant
should have received if the payment had been made
correctly.

Include all issues regardless of whether they are
"technically proper." Only exclude action codes
14, 16, and 23.

If h1 is coded 1, 2, or 3, the system will automatically
stamp the amount in f13 in this field.

3. Total $ Amount of Overpayment (including Key Week)	QC Investigative File	Determine sum of Overpayment & complete official actions action	Summary of Investigation Copy of official agency

Enter whole dollar amount of all overpayments,
voided offsets, or adjustments (to either the
WBA or MBA), including Key Week, officially
established as a result of QC investigation.

Include in this figure only overpayments, etc., officially
established as a result of QC investigation.

Include in this figure only overpayments, etc., officially
established for weeks claimed or paid (including prior BYs).

Include EB and FSC programs if applicable.

Do not adjust (i.e., net) amount due to the establishment of underpayments.

Exclude any prospective savings relating to weeks not claimed and any penalty or interest amount.

Make appropriate adjustment if reversed on appeal.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
PART H - ERROR CLASSIFICATION/COMPLETION INFORMATION (Continued)			
4. Total $ Amount of Underpayments (Including Key Week)	QC Investigative File	Determine sum of Underpayment & complete official action	Monetary Redeterminations Print-out of Supplemental Check(s)

Enter whole dollar amount of all underpayments/offsets applied/adjustments (WBA or MBA)including KW, established as a result of QC investigation.

Include only underpayments for weeks actually claimed or paid including EB, FSC, and prior BYs.

Do not adjust (i.e., net) amount due to overpayments.

If later officially reversed on appeal and QC agrees, amount must be adjusted.

5. Total Overpayment for Key Week	QC Investigative File	Determine amount of Key Week over- payment & complete official action, if applicable	Explanation in Summary Copy of Official Agency Actions, if applicable

Amount cannot exceed original amount paid.

Exclude action codes 14 and 16.

| 6.Total Underpayment for Key Week | QC Investigative File | Determine amount of Key Week under-payment & complete official action, if applicable | Explanation in Summary Copy of Official Agency Actions, if applicable |

Amount shown plus original amount paid cannot exceed redetermined WBA.

Include all underpayment issues regardless of whether they are "technically proper" except code 23.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART H - ERROR CLASSIFICATION/COMPLETION INFORMATION (Continued)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

7. Investigation Completed
 	
  1 = complete
  2 = not complete
	Investigator	All investigation information is complete & entered in the Data Base	Summary of Investigation

8. Investigation Completed Date	QC System Generated	None	None

9. Supervisory Review Completed
 	
  1 = Supervisor has reviewed and signed off
  0 = Supervisor has NOT reviewed but has signed off
	QC supervisor	All Official Action completed & approval code entered	Supervisor Sign off

10. Supervisor Completed Date	QC System Generated	None	None
11. Supervisor ID	QC System Generated	None	None

PART I - ERROR ISSUE(S) CLASSIFICATION

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
1. Dollar Amount of Key Week Error Enter total dollar amount of error for Key Week only Cannot exceed amount actually paid for Key Week	QC Investigative File	Determine Amount if applicable	Explanation in Summary Copy of Official Agency Actions, if applicable

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART I - ERROR ISSUE(S) CLASSIFICATION (Continued)

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
2.KW Action Overpayment Codes:	QC Investigative File	Complete Error Classification Procedures	Explanation in Summary Copy of Official Agency Actions, if Applicable

  10 = Fraud overpayment or voided offset
  11 = Nonfraud recoverable overpayment or
      voided offset
  12 = Nonfraud nonrecoverable overpayment or
      official action taken to adjust future
      benefits by lowering WBA, MBA, KWDA,
      or RB
  13 = QC determines payment was too large,
      although payment "technically" proper
      due to finality rules
  14 = QC determines payment would have been
      too large except for formal warning rule
      that prohibits official action. Payment
      "technically" proper due to law/rules
      requiring formal warnings for unacceptable
      work search efforts.
  15 = QC determines was too large, although
      payment "technically" proper due to rules
      other than finality or formal warning rule.
  16 = Overpayment established or WBA, KWDA
      entitlement, MBA, or RB decreased which was

later "officially" reversed, revised, adjusted,
or modified and QC disagrees with "official"
action.

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART I - ERROR ISSUE(S) CLASSIFICATION (Continued)

2.KW Action (Continued)

Underpayment Codes:

 20 = Supplemental Check issued or offset applied or
      increase in WBA, KWDA entitlement, MBA, or RB.
 21 = QC determines payment was too small, although
      payment was "technically" proper due to finality
      rules.
 22 = QC determines payment was too small, although
      payment "technically" proper due to rules other
      than finality.
 23 = Supplemental check issued or offset applied which
      was later "officially" reversed, revised, adjusted,
      or modified, and QC disagrees with "official" action.

3.Error Cause	QC Investigative File	Complete Error Classification Procedures	Explanation in Summary Copy of Official Agency Actions, if applicable

 (a) BY unreported/incorrect
     earnings/days/hours due to:

    100 = Unreported earnings
    110 = Incorrect estimate of
          earnings
    120 = Unreported/incorrect
          estimate of severance pay
    130 = Unreported/incorrect
          estimate of vacation pay
    140 = Unreported/incorrect
          estimate of Soc.Sec./pension
    150 = Other causes of unreported/

incorrect estimate of earnings

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART I - ERROR ISSUE(S) CLASSIFICATION (Continued)

3. Error Cause (Continued)

   (b) BP unreported/incorrect earnings/
      days/hours due to:

      200 = Earnings/weeks/days/hours
          incorrectly estimated or reported
      210 = One or more BP employers not
          reported by claimant
      220 = Other causes related to incorrect
          reporting of earnings/weeks/days/hours

   (c) Separation issues due to:

      300 = Voluntary quits
      310 = Discharges
      320 = Other separation issues

   (d) Eligibility Issues due to:

      400 = Ability to work
      410 = Availability for work
      420 = Active work search
      430 = Refusal of suitable work

440 = Self-Employment
        450 = Illegal alien status
        460 = Job Service Registration
        470 = Other eligibility issues

   (e) Dependents' allowance incorrect due to:

        500 = Dependents' information incorrectly
              reported/recorded or allowance
              incorrectly calculated
        510 = Other causes related to dependents'
              allowances

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART I - ERROR ISSUE(S) CLASSIFICATION (Continued)

3. Error Cause (Continued)

   (f) Other causes due to:

        600 = Benefits paid during period of
              disqualification in spite of
              stop-pay order
        610 = Redetermination (deputy level) or
              reversal (appeal or higher author.
        620 = Back pay award
        630 = All other causes

4. Error Responsibility	QC Investigative File	Complete Error Classification Procedures	Explanation in Summary Copy of Official Agency Actions, if applicable
Enter ALL codes that apply			

   1 = Claimant

```
2 = Employer
3 = Agency
4 = Third Party
```

5.Detection Point   QC Investigative File   Complete Error   Explanation in Summary
                                                               Classification   Copy of Official Agency
  Enter the code which indicates   Procedures   Actions, if applicable
  where each error was first detected
  by QC investigation.

```
10 = Verification of work search contact
20 = Verification of wages and/or separation
30 = Claimant interview
40 = Verification of eligibility with 3rd parties
50 = UI records
60 = Job Service records
70 = Verification with Union
```

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART I - ERROR ISSUE(S) CLASSIFICATION (Continued)

6.Prior Agency Action   QC Investigative File   Complete Error   Explanation in Summary
                                                               Classification   Copy of Official Agency
  Enter the code which indicates   Procedures   Actions, if applicable
  any action(s) taken by SESA on
  KW issues as of date sample selected

```
10 = Official procedures had been
     followed and forms had been fully
     completed but KW issue was not
     detectable by normal procedures
```

20 = SESA was in the process of resolving
     KW issue prior to sample being
     selected or had correctly resolved
     issued between time the KW was created
     and the time QC sample selected thereby
     resulting in the correct action being
     taken and all issues resolved before
     completion of QC investigation
30 = SESA identified KW issue prior to selection
     but took incorrect action
40 = SESA had sufficient documentation to identify
     KW issue but did not resolve the issue
50 = Official procedures or forms had not been
     properly followed/completed by SESA thereby
     precluding ability to detect KW issue

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

PART I - ERROR ISSUE(S) CLASSIFICATION (Continued)

7.Prior Employer Action	QC Investigative File	Complete Error Classification Procedures	Explanation in Summary Copy of Official Agency Actions, if applicable

  Enter code to indicate action(s)
  taken by employer affecting KW
  issue as of date sample selected

   10 = Employer provided adequate information
      in a timely manner for determination
   20 = Employer provided adequate information
      after due date for determination
   30 = Employer provided inadequate/incorrect
      information timely for determination
   40 = Employer provided inadequate/incorrect
      information untimely
   50 = Employer did not respond
   60 = Employer was not requested to provide
      information
   70 = Not an employer-related issue

8.Appeal Action	QC Investigative File	Complete Error Classification Procedures	Explanation in Summary Copy of Official Agency Actions, if applicable

   1 = No appeal filed or N/A
   2 = Claimant appealed/Employer
     was interested party
   3 = Claimant appealed/Employer
     was not an interested party
   4 = Employer appealed/claimant
     was interested party
   5 = Both claimant and employer
     appealed QC determination

6 = SESA appealed QC determination

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
ASSIGNDATE TABLE			
Batch Number	QC System Generated	Compare to correct number assignment from UIS issuance	None
Sequence Number	QC System Generated	None	None
Case Type 0 = Regular Core QC	QC System Generated	Verify whether regular Core QC or special purpose or study	None
Assignment Index	QC System Generated	None	None
Assignment Date	QC System Generated	None	None
Investigator ID	ID Number Assigned by Supervisor	Compare to list of Valid Investigator ID Numbers	None
QCS ID	Staffing File	Compare to list of Valid QCS ID numbers	None
Assignment/Reassignment Code	QC System Generated	None	None

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
SCREEN R - REOPEN TABLE			
Batch Number	See Master Table	None	None
Sequence Number	See Master Table	None	None
Case Type	See Master Table	None	None
Reopen Case 3 = SESA reopened to correct error 4 = Appeal decision requires changes to data 5 = Reopened as result of monitor review 6 = Reopened pending further information	QC Investigative File	Verify correct code has been entered and reopening justified by QC Procedures	None
Reopen Case Date	QC System Generated	None	None
Reopen Case Identification	Staffing File	Compare to List of Valid ID Numbers	None
Reopen Case Date	QC System Generated	None	None

Appendix C