

Note: This document is intended as a reference tool and should NOT be used as a substitute for ET Handbook NO. 395

INVESTIGATIVE REQUIREMENTS CROSSWALK

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART A - MASTER TABLE</u>			
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 by Supervisor	Compare to valid Investigator ID No.s	None

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART B - CLAIMANT INFORMATION</u>			
1.Method Clm't Info Obtained	Questionnaire (Sig.Pg)	None - If in-person	Invest. Explanation
1 = In-person interview	Case documentation	Explanation if claimant questionnaire not obtained in person.	
2 = Telephone interview			
3 = Mail			
-1 (PF1) = Not obtained			
2.U.S. Citizen	Questionnaire(#11)	-If citizen -None	Photocopy Alien Reg. Card
1 - U.S. Citizen	SESA Records	-If not, verify	INS Report
2 = Alien eligible	Alien Reg. Card	status with	Fact finding statement
3 = Alien ineligible	Employer(s)	INS	if an issue
-1 (PF1) = INA	Immigration		
3.Education	Questionnaire(#12)	None	None
00 = Never attended	Job Service		
01 thru 11 = Highest Grade completed	Records (ES 511)		
12 = HS Grad or GED			
14 = Some college (no deg.)			
15 = Associate degree			
16 = BA or BS			
20 = Graduate degree			
-1 (PF1) = INA			
4.Voc/Tech Training	Questionnaire(#13)	Compare sources to	None
1 = Never attended	Job Service	determine proper	
2 = Attended-not certified	Records (ES 511)	code	
3 = Attended-received cert.			
-1 (PF1) = Missing or INA			

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART B - CLAIMANT INFORMATION (Continued)</u>			
5.Currently in Training	Questionnaire(#36)	Verify and compare	Fact finding statement
00 - Not in Training	SESA Records Training Facility	information from sources to determine proper code	if applicable
<u>UI Approved Training</u>	<u>Not UI Approved Training</u>		
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 <u>last job</u> prior to most recent initial/additional claim. Use <u>Dictionary of Occupational Titles</u> , 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 <u>usual job</u> using same reference as No. 6. Show correct <u>primary</u> 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 usual occupation. Express without decimal point in dollars and cents per hour. (e.g., \$5.00 per hour is coded as 00500.)			

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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

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 seeking. Use same source as No. 6

-1 (PF1) = Missing or INA

10.Lowest Wage will accept

Questionnaire(#29)
SESA records
Job Service if reg.

compare claimant wage demand to prevailing wage for occupation

Fact Finding Statement if Wage Restriction

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

Use same formula as No. 8.

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART B - CLAIMANT INFORMATION (Continued)</u>			
11.Date of Birth Enter Date of Birth (YYMM) -1 (PF1) = Date unknown or missing	Questionnaire(#8) SESA records Drivers License	Compare sources for consistency Review with claimant	None
12.Sex 1 = Male 2 = female -1 (PF1) = Not available	Questionnaire(#9) SESA records Observation	Compare sources for consistency	None
13.Ethnic Group 1 = White, not Hispanic 2 = Black, not Hispanic 3 = Hispanic 4 = American Indian or Alaskan Native 5 = Asian or Pacific Islander -1 (PF1) = Not available from any source	Questionnaire(#10) SESA records Observation	Compare sources for consistency	None
<u>PART C - BENEFIT YEAR INFORMATION</u>			
1.Program Code 1 = UI 2 = UI-UCFE 3 = UI-UCX 4 = UI-UCFE-UCX 5 = UCFE 6 = UCFE-UCX 7 = UCX	SESA records Employer(s) records	Verify accuracy during Wage verification	Wage Verification
2.Combined Wage Claim Enter code which applied at the time the Key Week payment was made 1 = yes 2 = No	SESA records Employer(s) records	Review work history with claimant. Verify with employer during wage verification	Wage Verification IB-4 copy

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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
Claim filing date
to BYB

Initial Claim

Enter effective date of
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
Questionnaire(#48)Compare sources for
consistency

Copy of BRI Record

Enter ALL applicable
codes

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

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6.Number of ERPs	SESA records	Sum from SESA records	Copy of ERI Record
<p>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.</p> <p>-1 (PF1) = Missing or INA -2 (PF2) = Not applicable</p>			
7.Last ERP Date	SESA records	None	Copy of ERI Record
<p>Enter date (YYMMDD) of most recent ERP (up to & including Key Week)</p> <p>-1 (PF1) = Missing or INA -2 (PF2) = Not applicable</p>			
8.Number of Nonsep Issues	SESA records	Sum from SESA records	Copy of All Non-Sep Non-Mon records
<p>00 = None</p> <p>Enter number of prior nonseparation issues disposed of in current BY through KW (including both formal and informal) which meet workload validation criteria.</p>			
9.Number of Nonsep DQ'd	SESA Records	None	Copy of All Non-Sep
<p>00 = none Non-Mon records.</p> <p>Enter number of prior disqualifications resulting from nonseparation issues identified in No. 8.</p> <p>Exclude denials reversed by appeal if decision issued before the Key Week ending date.</p>			

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<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
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 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 (according to State law) separation.

10 = Lack of Work
 20 = Voluntary Quit
 30 = Discharge
 40 = Labor Dispute
 50 = Other
 60 = Not separated (e.g., job attached, 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., job attached, 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.

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART D SEPARATION INFORMATION (Continued)</u>			
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) Employer	Compare sources for proper data and potential unreported earnings	Factfinding Statements from Employer & Claimant if an issue
-1 (PF1) = missing or INA			
(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 Questionnaire (#20) SESA Records	Compare sources for proper determination	Fact Finding Statements from Employer & Claimant if an issue
0 = No recall			
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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7.Tax Rate (Last Employer)	SESA records	None	Employer Qtrly Report
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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
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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.

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART E - MONETARY ELIGIBILITY (Continued)</u>			
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 <u>all</u> wages from employers in No. 1. Express in whole dollars (Round to nearest whole dollar or follow SESA formal policy.)			
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.)			
5.High Qtr wages (Before)	Monetary Determination State Records	None	Monetary Determination State Records
If available from SESA records, enter total <u>whole dollar</u> 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.			

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART E - MONETARY ELIGIBILITY (Continued):</u>			
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 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.	SESA records	None	Monetary Determination
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) Enter claimant's maximum WBA for the <u>Key Week</u> , 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.	Monetary Determination	None	Monetary Determination

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART E - MONETARY ELIGIBILITY (Continued):</u>			
10.WBA (After) Refer to No. 9 criteria PF3 = Same as No. 9 00 = None (must be 0 if No. 2 is 0)	Employer(s) Monetary determination Claimant	Verify that WBA is based on emp./wage verification	Wage Verification Monetary Redetermination if applicable
11.MBA (Before) Use same criteria as No. 9. Disregard any EB or FSC benefit entitlement, State supplemental payment, dependents' allowances, or any deductions.	Monetary Determination	None	Monetary Determination
12.MBA (After) Refer to No. 11 criteria PF3 = Same as No. 11 0000 = None (must be 0 if No. 2 is 0)	Employer(s) Monetary Determination Claimant	Verify that MBA is based on emp./wage verification	Wage Verification Monetary Redetermination if applicable
13.# Dependents Cl'd (Before) Enter number of dependent claimed 00 = None -2 (PF2) = State does not have dependency provision	SESA records	None	None
14.# Dependents Cl'd (After) PF3 = Same as No. 13 000 = None -2 (PF2) = State does not have dependency provision	Questionnaire SESA Records	Verify as required by SESA procedures	Verification document(s) Dependent Award (Monetary Determination)

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART E - MONETARY ELIGIBILITY (Continued):</u>			
15. Dependent Allowance (Before)	SESA records	None	None
<p>0 = None -2 (PF2) = State does not have dependency provision</p> <p>If dependents' allowance, enter the whole dollar amount of dependents' allowance before investigation that was paid for Key Week.</p>			
16. Dependent Allowance (After)	Questionnaire Dependency	Compare sources to determine correct amount	Dependent Award (Monetary Determination)
<p>PF3 = Same as No. 15 000 = None/Not elig -2 (PF2) = States does not have dependency provision</p>			
17. Primary BP Er Industry	Employer(s) SESA Records S.I.C. Handbook	Review Sources for accurate code	Wage Verification
<p>-1 (PF1) = Missing or INA</p> <p>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.</p>			
18. Monetary Redet. (Before)	Monetary Redetermination	None	Copy of Redetermination
<p>1 = Yes 2 = No</p> <p>Enter appropriate code which indicates if SESA redetermined claimant's monetary eligibility prior to KW payment date.</p> <p>Do not consider redeterminations resulting from a nonmonetary issue (i.e., a separation issue or administrative penalty.</p> <p>Do not consider redeterminations resulting from law change which increases monetary eligibility across the board.</p>			

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<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
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) 000 = None Enter 999 if \$999 or more	SESA Records Benefit History Weekly Certification	Compare sources to determine proper amount	SESA Records Benefit History Weekly Certification
Enter whole dollar amount of earnings during KW regardless of effect on the amount paid. Do <u>NOT</u> include other income such as pensions, holiday pay, vacation pay, pay in lieu of notice, separation pay, etc.			
2.Amt KW Earnings (After) Refer to No. 1 criteria PF3 = Same as No. 1 000 = None	Employer(s) Questionnaire(#46a) SESA Records	Compare sources to determine proper amount	Fact-finding statement re: wage verification if applicable

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART F - BENEFIT PAYMENT HISTORY (Continued)</u>			
3.Earn. Deduction (Before) 000 = None	SESA Records Benefit History Weekly Certification	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 <u>NOT</u> 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.)			
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
5.Other Deductible Income (Before) 000 = None	SESA Records Benefit History Weekly Certification	Compare sources to determine all other deductible income	SESA Records Benefit History Weekly Certification
Enter total whole dollar amount of <u>other</u> 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 (After) Refer to No. 5 criteria PF3 = Same as No. 5 000 = None	Employer(s) Questionnaire (#46 a & b)	Compare sources to determine proper amount	Wage Verifications Pension Verification if applicable

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART F - BENEFIT PAYMENT HISTORY (Continued)</u>			
7. Other Deductions (Before) 000 = None	SESA Records Benefit History Weekly Certification	Compare sources to determine amount of deduction	SESA Records Benefit History Weekly Certification
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) Refer to No. 7 criteria PF3 = Same as No. 7 000 = None	Employer(s) Questionnaire (#46 a & b)	Compare sources to determine proper amount deducted	Wage Verifications Pension Verification
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 1 = Mail claim 2 = In-person Claim 3 = Employer-filed (i.e., partial) 4 = Other (i.e., partial) -1 (PF1) = Missing or INA	SESA records	None	Key Week certification

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART F - BENEFIT PAYMENT HISTORY (Continued)</u>			
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 work, obtain official policy/requirement	Agency Policy Statement
1 = Required to actively seek work (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 obtain official policy/requirement	Agency Policy Statement
1 = Yes 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.			

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3. Registered with JS	SESA records Questionnaire(#33)	Verify if claimant in a referable Status with JS	ES 511 Records
1 = Yes 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.			
4. Reason JS Reg. Deferred	SESA records Questionnaire	If Deferred, obtain explanation, i.e. official policy	Deferral explanation
1 = Union member 2 = Job Attached 3 = Partial 4 = Seasonal 5 = Approved training 6 = Other -2 (PF2) = Claimant not deferred			
5. Number of JS Referrals	SESA records Questionnaire(#33)	Compare sources to determine proper number	ES 511 Records
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.			

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<u>PART G - REGISTRATION/WORK SEARCH INFORMATION (Continued)</u>			
6. Priv. Emp. Reg. 1 = Registered with private agency as of KW 2 = Not registered with private agency -1 (PF1) = Missing or INA	Questionnaire(#34)	None	None
7.# Priv. Emp. Referrals # of referrals by private agency during KW -1 (PF1) = Missing or INA -2 (PF2) = Not registered 00 = Registered but not referred	Questionnaire(#34) Private Employment Agency	If info available, verify as part of verification	Work Search Verification
8. Union Referral Status 0 = NOT a member 1 = Member in good 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	Union SESA records Questionnaire (#35)	Verify with union claimant's standing and its effect on eligibility	Union Verification Factfinding statement if applicable
9.# of Union Referrals during KW 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.	Union Questionnaire(#35)	Sum of sources	Union Verification

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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 (<u>cannot</u> be -2 if No. 1 is coded 1)			
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.

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

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

DATA ELEMENTSDATA SOURCEACTION REQUIREDDOCUMENTATION

PART G - REGISTRATION/WORK SEARCH INFORMATION (Continued)

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
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

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
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. 9 = Improper payment (This entry will automatically activate the "I" screen for coding of the circumstances of the improper payment.	QC Investigative File	None on proper payment. Appropriate action on improper payments.	Explanation in Summary Copy of Official Agency Actions, if applicable

DATA ELEMENTSDATA SOURCEACTION REQUIREDDOCUMENTATIONPART 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 actions	Determine sum of Overpayment & complete official 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.

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART H - ERROR CLASSIFICATION/COMPLETION INFORMATION (Continued)</u>			
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.			

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART H - ERROR CLASSIFICATION/COMPLETION INFORMATION (Continued)</u>			
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 <u>NOT</u> 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

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
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<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>PART I - ERROR ISSUE(S) CLASSIFICATION (Continued)</u>			
2.KW Action	QC Investigative File	Complete Error Classification Procedures	Explanation in Summary Copy of Official Agency Actions, if Applicable
Overpayment Codes:			
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.			

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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 ELEMENTSDATA SOURCEACTION REQUIREDDOCUMENTATION

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 ELEMENTSDATA SOURCEACTION REQUIREDDOCUMENTATIONPART 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 Classification Procedures

Explanation in Summary Copy of Official Agency Actions, if applicable

Enter the code which indicates 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 ELEMENTSDATA SOURCEACTION REQUIREDDOCUMENTATION

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

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
6. Prior Agency Action	QC Investigative File	Complete Error Classification Procedures	Explanation in Summary Copy of Official Agency Actions, if applicable
Enter the code which indicates 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 ELEMENTSDATA SOURCEACTION REQUIREDDOCUMENTATION

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			

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>ASSIGNDATE TABLE</u>			
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

<u>DATA ELEMENTS</u>	<u>DATA SOURCE</u>	<u>ACTION REQUIRED</u>	<u>DOCUMENTATION</u>
<u>SCREEN R - REOPEN TABLE</u>			
Batch Number	See Master Table	None	None
Sequence Number	See Master Table	None	None
Case Type	See Master Table	None	None
Reopen Case	QC Investigative File	Verify correct code has been entered and reopening justified by QC Procedures	None
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			
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