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DIRECTIVE : ET HANDBOOK NO. 395, 3RD EDITION

TO : ALL REGIONAL OFFICES AND STATE EMPLOYMENT SECURITY AGENCIES

Lenita Jacobs-Simmons

for

FROM : LENITA JACOBS-SIMMONS
Deputy Assistant Secretary

SUBJECT : Revisions to the State Operations Handbook for the Unemployment Insurance (UI) Benefit Accuracy Measurement (BAM) Program

1. **Content.** This handbook contains instructions for BAM paid claims and the Denied Claims Accuracy (DCA) programs. With the inclusion of the DCA program, the investigation of disqualifying eligibility issues will be required for all SESAs participating in the regular BAM program.

2. **Changes.** Significant changes include:

a. Name change from Benefits Quality Control (QC) to Benefit Accuracy Measurement (BAM) throughout the handbook.

b. Chapters I and II: The insertion of the DCA program, and the inclusion of Interstate claims in the sampling and investigative processes for both denied and paid claims in the overview and background sections.

c. Chapter IV: The definitions of certain elements on the Data Collection Instrument (DCI) have been clarified. Additionally, Ethnicity/Race, Standard Occupational Codes (SOC\O*NET), and the North American Industry Coding System (NAICS) have been added where applicable to comply with OMB requirements.

d. Chapter VII: Minor additions to file documentation to include issues related to DCA.

RESCISSIONS ET Hdbk. 395, 2 nd Ed. & Changes 1-6	EXPIRATION DATE Continuing
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e. Chapter VIII: A new chapter has been added to address DCA investigative requirements which differ somewhat from paid claims investigations. The sampling design and sample sizes are included in the DCA investigative methodology section of this chapter. This chapter also contains as an attachment, the DCI, which includes database specifications for denials. ET Handbook 400 will continue to provide the database specifications for paid claims.

3. **OMB Approval.** The Office of Management and Budget has approved ET Handbook No. 395 for use through 3/31/2004. The approval number is 1205-0245.

4. **Burden Hour Estimates.**

a. For BAM paid claims, the public reporting burden for this collection of information is estimated to vary from 1152 to 1536 hours per respondent with an average of three hours and twenty minutes per case investigated. The respondents (SESAs) are required to investigate either 360 or 480 cases per year, depending on the size of the SESA's Unemployment Insurance claims workload.

b. For BAM denied claims, the public reporting burden for this collection of information is estimated to average 30 minutes per respondent and 2 hours 29 minutes per sample case. This estimate includes time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

c. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden, to: U.S. Department of Labor, ETA/Office of Workforce Security, 200 Constitution Avenue, N.W., Room S-4231, Washington, D.C. 20210 Attn: Andrew Spisak.

5. **Action Required.** Copies of the attachment should be distributed to all holders of ET Handbook No. 395. States should review these changes and adjust their procedures as necessary.

6. **Effective Date.** The contents of the handbook are effective immediately. The date for implementing BAM DCA and including interstate liable claims in BAM paid claims samples is the BAM sampling period for July 29 to August 4, 2001 (batch 200131).

7. **Instructions for Handbook Maintenance**

- Remove ET Handbook No. 395, dated July 14, 1997, and replace in its entirety.

8. **Attachment.** ET Handbook No. 395, 3rd Edition

BENEFIT ACCURACY MEASUREMENT
STATE OPERATIONS HANDBOOK

TABLE OF CONTENTS

	<u>Page</u>	
OVERVIEW		
Chapter I.		
1. Introduction	I-1	
2. Background	I-1	
3. Program Scope	I-3	
4. Handbook Organization	I-4	
 REQUIRED PROCEDURES		
Chapter II.		
1. Organization	II-1	
2. Authority	II-1	
3. Written Procedures	II-1	
4. BAM Software	II-1	
 Chapter III. Data Processing - SESA Mainframe Computer Operations and Interfaces with UI ADP System		
1. Introduction	III-1	
2. State UI Transactions File	III-2	
3. Control Record	III-16	
4. COBOL Population Edit and Sample Selection Programs	III-18	
5. Downloaded Files	III-31	
- Attachment "A" (UI BAM Population Edit and Sample Selection COBOL Program Specifications and Installation)		III-A-1
- Attachment "B" (Record Format for rec1.dat File)		III-B-1
- Attachment "C" (Record Format for sfsun.dat File)		III-C-1
 Chapter IV. Data Collection		
1. Introduction	IV-1	
2. Overview	IV-1	
3. Data Elements and Descriptions	IV-2	
 Chapter V. Classifying Propriety of Payments		
1. Introduction	V-1	
2. Coding Proper Payments	V-1	
3. Coding Improper Payments	V-2	

4. Key Week Error Summary Sheet	V-12
5. Case Completion	V-23
6. Reopening Cases	V-24

Chapter VI. Investigative Procedures

1. Introduction	VI-1
2. Standard Forms	VI-1
3. Investigative Requirements	VI-2
4. Investigative Methodology	VI-3
5. Disqualifying/Deductible Income Verifications	VI-5
6. Dependency Eligibility Verifications	VI-5
7. UCFE	VI-6
8. UCX	VI-6
9. Interstate Requests	VI-7
10. Summary of Investigation	VI-7
11. Appeals	VI-7
12. Completion of Cases and Timely Data Entry	VI-7
13. Reopening Cases	VI-8

Chapter VII. Records and Reporting

1. Introduction	VII-1
2. Documentation	VII-1
3. Retention of Records	VII-1
4. Transmission of Data to the National Office	VII-1

DENIED CLAIMS ACCURACY (DCA)

Chapter VIII

1. Introduction	VIII-1
2. Overview of DCA	VIII-1
3. Investigative Requirements	VIII-1
4. DCA Investigative Methodology	VIII-2
5. Interstate Requests	VIII-3
6. Other Verifications	VIII-3
7. Completion of DCA Cases and Timely Data Entry	VIII-3

Chapter VIII Attachment

Data Collection Instrument (DCI) for DCA - This attachment includes database specifications for denials.

APPENDICES

- A. Regulation
- B. Claimant Questionnaires
- C. Investigative Guide

CHAPTER I

BENEFIT ACCURACY MEASUREMENT OVERVIEW

1. **Introduction.** The Unemployment Insurance (UI) Benefit Accuracy Measurement (BAM) system is a diagnostic tool for the use of Federal and State Employment Security Agency (SESA) staff in identifying errors and their causes and in correcting and tracking solutions to these problems. Representative samples of UI payments and disqualifying ineligibility determinations are drawn and examined intensively to determine whether they were properly administered to claimants and whether these claimants were paid the proper amounts, or appropriately denied. On the basis of the errors identified and information gathered, States will be able to develop plans and implement corrective actions to ensure accurate administration of State law, rules, and procedures.

The major objectives of the BAM system are to:

- assess the impact of State and Federal laws and requirements on the system's accuracy and integrity.
- achieve improvements in program accuracy and integrity,
- encourage more efficient administration, and
- improve program quality and solvency through error reduction for both paid and denied claims.

The system is designed to be comprehensive in coverage by including all areas of the claims process where errors could occur.

2. **Background.** The impetus for BAM came from a study of benefits paid in six metropolitan areas during 1979 and 1980 by the National Commission on Unemployment Compensation (NCUC). The study was prompted by a continuing concern about the accuracy of the benefit payment process in the UI system. Its purpose was to determine rates, types, and causes of improper payments by thoroughly investigating a small sample of cases. The study revealed errors in benefit payments at rates significantly higher than previously reported.

As a result of these findings, the Department of Labor launched the Random Audit program in five States in 1981. Random Audit was modeled after the methodology used in the NCUC study. Additional States were added each year until 46 States were involved in 1984. The Random Audit results from 1981 through 1984 continued to confirm the high percentage of errors in benefit payments identified by the NCUC study. Although possibly exacerbated by high claim loads during the periods measured, the error rates in many States were unacceptably high.

BAM was the first phase of the Quality Control (QC) program to be implemented. The rule establishing the program was published in the Federal Register on September 3, 1987 (52 FR 33520). (See Appendix A.)

The BAM program became mandatory in 1987 and required States to select a representative sample, conduct in-depth investigations, and classify findings to provide the basis for diagnosing problems and taking corrective actions. States were required to sample at annual levels ranging from 500 to 2000 based on the number of UI benefit weeks paid (including combined-wage and Federal program claims). The methodology was explicit in requiring: a) a representative sample sufficient to maintain statistical validity, b) all information be secured through in-person contacts, c) timeliness of case completion, and d) publication of error rates by the State.

Since implementation, the BAM program has undergone several significant revisions:

In 1989, BAM was revised to allow additional time for case completion and relaxed requirements on the verifying of information on UCX, UCFE, and CWC claims.

In 1991-92, the program was again reviewed and subsequent pilot tests conducted to determine if the methods used to verify case information could be made more flexible without loss of precision. Sample levels were adjusted with the range being 500 -1800.

In July, 1993, alternative methodologies were implemented which allowed States the option to substitute telephone, FAX, and mail for in-person verification of contacts with employers, third parties, and on some work search verifications.

In 1995, quarterly sample sizes were established to assure a representative sample would be selected in each quarter during the year. In addition, the sample levels were again reduced to the range of 360 - 480, and the name was officially changed from Benefits Quality Control (BQC) to Benefit Accuracy Measurement (BAM).

In 2001, the Denied Claims Accuracy (DCA) Program was introduced to measure the accuracy of disqualifying monetary, separation, and non-separation determinations. Interstate claims were included in the sample for both paid and denied claims.

3. **Program Scope.** State resources are targeted to perform detailed investigations of benefits paid and denied in the largest permanently authorized programs (regular UI including CWC), Federally funded programs (UCFE and UCX) and interstate claims.

BAM builds on the experience of its predecessors, the BQC and Random Audit programs. The accuracy of monetary determinations and the proper detection and resolution of eligibility issues are assessed by detailed investigations of "key weeks"

and disqualifying determinations of selected claims. This is accomplished through examination of records and contacts with claimants, employers, and other parties such as Job Service, to verify all aspects of the claim that could affect eligibility for payments.

Each case investigated in BAM represents a large number within the UI population. It is very important that staff adhere to accepted methodology to ensure the reliability of data. For example, the fraud investigator can follow a tip on potential fraud, while BAM investigators must limit their cases to those selected by the computer as a result of a predetermined program. To do otherwise would jeopardize the reliability of inferences made from the data coming out of the investigations.

The States have the responsibility to draw samples, perform investigations, identify errors, compute error rates, analyze data, and initiate corrective action if appropriate. The primary Federal responsibilities are to ensure system integrity through monitoring SESA practices and procedures and to analyze BAM data to assess the impact of Federal requirements on the UI system.

Data gathered on incorrect payments and disqualifying determinations include such information as amount of error, type of error, responsible party, and cause of error. States can tabulate and analyze these data to plan corrective action focused on those areas where trends have been identified and track the impact of corrective action by monitoring the results of subsequent BAM samples.

a. Relationship with UI System. BAM is different from other SESA efforts to control erroneous payments and disqualifying determinations. While the UI fraud investigator tries to identify specific cases of fraud and recapture any overpayments, the BAM investigator looks at sample cases to produce statistics on the UI program in general. Errors uncovered as a result of BAM are corrected where feasible; however, the primary purpose is to identify system-wide problems, so that when corrected, future errors can be prevented. Likewise, the quality review of nonmonetary determinations accomplished under the Benefits Timeliness and Quality (BTQ) system provides an assessment of the adequacy of the State's factfinding, application of law and policy, and the written determination, but does not inform the system about the accuracy of the determination.

BAM is part of the formal UI system. Therefore, the findings of BAM must be consistent with official rules and written policies of the SESA. Differences between the BAM unit and other units in the UI system are required to be resolved by higher authority, with the exception of appeals decisions that modify BAM actions.

b. Automation of BAM Data Collection. The BAM system has been designed to be as highly automated as possible. States' UI computers that support BAM operations have the capability to link with both the State mainframe computers and with the DOL host computer. This system is designed to increase the accuracy of data flows by minimizing the number of paper transactions and simplifying data storage and retrieval; to increase the usefulness of the data by simplifying data retrieval and raising the sophistication with which it can be manipulated and combined with other

data; and to reduce the amount of time BAM staff must spend in data handling. The system is also designed to allow for the development of State specific fields.

4. **Handbook Organization.** This handbook contains four sections: Overview (Chapter I), Required Procedures (Chapters II-VII), Denied Claims Accuracy (Chapter VIII) and Appendices.

The section on Required Procedures defines the standard methodology to be used in all States for paid and denied claims investigations. These include organization and authority, data record creation, processing and transmission, data collection (for paid claims), classifying propriety of payments (for paid claims), investigative procedures, and record keeping and reporting.

The final section of the Handbook, the Appendices, include the Federal regulation, the Claimant Questionnaire forms, and the Investigative Guide.

An ADP User Guide (ET Handbook No. 400) which has relevance to the BAM program, has been issued under separate cover.

CHAPTER II

ORGANIZATION AND AUTHORITY

1. **Organization.** Each BAM unit is required to be organizationally independent of, and not accountable to, any unit performing functions subject to evaluation by the BAM unit. The organizational location of this unit must be positioned to maintain its objectivity, to have access to information necessary to carry out its responsibilities, and to minimize organizational conflict of interest.

2. **Authority.** All conclusions pertaining to the paid claims Key Week, and the Denied Claims Accuracy (DCA) disqualifying eligibility issues that are drawn from the BAM process must be formalized in official agency actions if errors are found, except where prohibited by SESA provisions such as finality. The authority to make determinations and redeterminations resulting from the BAM process must not be impeded by any SESA unit whose work is evaluated by BAM. Where a BAM unit does not possess the authority to make determinations itself, a higher authority must resolve any differences between BAM and the unit making the determinations. Determinations and redeterminations resulting from the BAM process must be in accord with the appeal and fair hearing requirements of Federal and State law. Any redetermination that would affect a claimant's right to benefits must also be subject to the principles laid down in the Java decision of the U.S. Supreme Court, as reflected in UIPL No. 1145, dated November 12, 1971, and UIPL No. 04-01, dated October 27, 2000.

3. **Written Procedures.** Each SESA must develop written procedures to guide the operation of the BAM program. The procedures must cover all investigative and administrative functions of the BAM unit. The procedures should be adapted to the particular circumstances of the State, but must adhere to the guidelines contained in this Handbook so as to provide for proper administration of the BAM program. Copies of the procedures must be available for Federal review, and, upon request, must be submitted to the appropriate Regional Office of the Department.

4. **BAM Software.** States must load all software distributed by the Department for the UI computer system. SESAs must run the most current software.

SESAs may not alter or otherwise modify any part of the software, including all shell scripts and "C" programs.

CHAPTER III

DATA PROCESSING - SESA MAINFRAME COMPUTER OPERATIONS AND INTERFACES WITH UI ADP SYSTEM

1. Introduction. This chapter contains the ADP specifications for the Unemployment Insurance (UI) Benefit Accuracy Measurement (BAM) Program. Definitions, coding schemes, and record formats are provided for all required and optional items and tasks. The BAM program involves the collection and analysis of large amounts of data. Of primary importance is the information provided to the BAM unit to assist it in investigating the accuracy of UI payments and disqualifying eligibility determinations, which are sampled on a weekly basis. Other data are collected to create the population or universe from which the BAM paid and denied claims samples are selected, to ensure the statistical validity of the sampling procedures, and to evaluate the representativeness of the BAM samples.

Specifications for three major components are described:

- The construction of the UI transactions file on the State's mainframe ADP system, which will be used to define the populations (sampling frames) from which the samples are selected for UI benefits and the three types of denied claims for unemployment compensation: monetary denials, separation issue denials, and denials based on nonmonetary and nonseparation issues. **This task will be performed by each State's ADP staff.**
- The BAM COBOL programs, which 1) edit the population transactions file; 2) select the records which meet the definition for inclusion in the populations; 3) execute a routine to randomly select samples from the appropriate sampling frames; 4) produce an output file of the sampled cases; and 5) produce a file containing aggregate data on the samples and populations which will be used to verify the validity of the samples and the sampling frames. Two separate COBOL programs have been developed. **The source code for the two COBOL programs was distributed by the Department of Labor. States must compile the source code and install the executable (object) code on their ADP systems.**
- The creation of a file containing data which has been downloaded from the State's mainframe for the sampled transactions. This file, referred to as rec1.dat, consists of items for the UI BAM data collection instrument (DCI), which will be downloaded to the State's UI Sun system. **This task will be performed by each State's ADP staff.**

The BAM program has been designed to be as automated as possible. Each SESA has an ADP system (currently a Sun Ultra SPARC 10) to support BAM operations. SESAs can pass UI data from their databases to the Sun computer. The Department's

National Office electronically picks up BAM data from the Sun for storage in the UI database at the National Office. This system is designed to:

- increase the accuracy of data flows by minimizing the number of paper transactions and simplifying data storage and retrieval;
- increase the usefulness of the data by simplifying data retrieval and raising the sophistication with which it can be manipulated and combined with other data; and
- reduce the amount of time BAM staff must spend in data handling.

2. State UI Transactions File

This section discusses the steps to be performed by State ADP staff to produce the UI transactions file, which must be created each week and is the initial task in the population definition and sampling process. **State ADP staff must write the program(s) to create this file.** Data for this file are extracted from the State's UI database and management information system.

The UI transactions file is the input file to COBOL program one, which edits the file, verifies that the records are sorted correctly, and identifies records that meet the criteria for inclusion in the UI benefits and denials sampling frames. Only records that meet the definition for inclusion in one of the four BAM populations -- paid benefits, monetary denials, separation denials, and nonmonetary-nonseparation denials -- should be included in the UI transactions file. Records in the UI transactions file will be sorted according to the criteria specified below, using a sort utility on the SESA mainframe, before the transactions file is read by the COBOL program.

A. Data Definitions for the UI Transactions File

1) State ID Code

Federal Information Processing Standard (FIPS) numeric code (not the two-letter postal alphabetic code).

Field Size: 2 Digits

2) Batch Number

Indicates calendar year and week that file was created (YYYYWW). Each week of the year is assigned a unique number beginning with 01 for the week which includes the first Saturday in January. (A week is 12:00 am Sunday to 11:59 pm Saturday).

Field Size: 6 Digits

ET HANDBOOK NO. 395

3) Social Security Number

Social Security Number of claimant (State use only).

Field Size: 9 Digits

4) Claim Date

Use effective date (MMDDYYYY), if claim type of the record is a new initial, additional, transitional, or reopened claim. Item #16, Claim Type, will be coded 01, 02, 03, or 04.

Use week ending date (MMDDYYYY), if claim type of the record is a week claimed. Item #16, Claim Type, will be coded 12, 13, or 14.

Field Size: 8 Digits

5) Transaction Date

For benefit payments, this is the date (MMDDYYYY) that the payment was made or the date that the offset, withholding or intercept was applied. If amounts are withheld or intercepts applied in one sampling week (for example on a Friday) and the check is not issued until the following sampling week (for example on the following Monday), the payment record will be included in the sampling frame for the week in which the Monday falls.

For denied claims, this is the date (MMDDYYYY) that the monetary, separation, or nonmonetary-nonseparation denial was issued by the State agency -- that is, the date printed on the determination notice. If no notice is issued, it is the date that the denial action was entered into the agency's record system or that a permanent stop payment order was issued.

Field Size: 8 Digits

6) Sample Selection Indicator

1 = This record was selected for the BAM sample (paid claims or monetary, separation, or nonmonetary-nonseparation denied claims).

2 = This record was not selected for the BAM sample.

NOTE: When the SESA builds the transactions file, all records should be coded "2"; if the record is selected for the sample, the COBOL program will change the code to "1" on the output file.

ET HANDBOOK NO. 395

Field Size: 1 Digit

7) Transaction (Sample) Type

- 1 = UI paid claims
- 2 = Monetary denials
- 3 = Separation denials
- 4 = Nonmonetary-nonseparation denials

Field Size: 1 Digit

8) Gender

- 1 = Male
- 2 = Female
- 8 = Information Not Available or Missing

Field Size: 1 Digit

9) Date of Birth

Claimant's month and year of birth (MMYYYY).

Enter 010001 when information is not available from the State's computer records.

If month only is not available, code month as 06.

Field Size: 6 Digits

10) Race Classification

- 1 = White
- 2 = Black or African American
- 3 = Asian
- 4 = American Indian or Alaska Native
- 5 = Native Hawaiian or Other Pacific Islander
- 8 = Information Not Available or Missing

Note: Ethnicity (Hispanic / non-Hispanic) is not coded in the UI transactions file; it must be entered in the first position of data element b13 in the b_master table or the ethnic data element in b_dca_master in the UI database.

Field Size: 1 Digit

11) Program Type

ET HANDBOOK NO. 395

- 1 = UI
- 5 = UCFE
- 9 = Missing
- 2 = UI-UCFE
- 6 = UCFE-UCX
- 3 = UI-UCX
- 7 = UCX
- 4 = UI-UCFE-UCX
- 8 = Other

Field Size: 1 Digit

12) Unemployment Duration Code

- 1 = Regular UI
- 2 = State Supplemental Program
(regular beyond 26 weeks when EB is triggered on)
- 3 = State Additional Program
(special State extended beyond normal duration unless EB is triggered on)
- 4 = Extended Benefits
- 5 = Other Federal extended benefits program (e.g. EUC)

Field Size: 1 Digit

13) Amount Paid to Claimant

Whole dollar amount of check actually provided the claimant.

If none paid (i.e., initial claim, claimed/not paid, totally offset, intercepted, withheld or deducted), entry will be 000.

Field Size: 3 Digits

14) Amount Offset Applied to Prior Overpayment

Whole dollar amount of entitlement applied to an outstanding overpayment.

If none offset, entry will be 000.

Field Size: 3 Digits

15) Amount of Intercept or Withholding

Whole dollar amount of entitlement applied to outstanding child support payments, Federal, State or local income tax withholding, or amount withheld for over-issuance of Food Stamp coupons.

If none intercepted or withheld, entry will be 000.

Field Size: 3 Digits

16) Claim Type

- 00 = No week claimed
- 01 = New Claim
- 02 = Additional Claim
- 03 = Transitional Claim
- 04 = Reopened Claim
- 11 = Waiting Week
- 12 = First Payment (optional code)
- 13 = Continued Week (paid or claimed but not paid)
- 14 = Final Payment (optional code)
- 15 = Supplemental Payment (paid previously)

Field Size: 2 Digits

17) Filing Status Indicator

1 = Intrastate - a claim filed in the State in which the claimant's wage credits were earned, including combined wage claims, in which claimant wage credits have been transferred from one or more States to the State in which the claim was filed.

2 = Interstate liable - a claim filed through the facilities of another (agent) State against this (liable) State.

3 = Interstate agent - a claim filed in this (agent) State against another (liable) State.

Field Size: 1 Digit

18) Workshare Percentage

Code percent of unemployment in week due to a workshare agreement.

Use 00 if claimant is not in a workshare agreement or SESA does not collect this information.

ET HANDBOOK NO. 395

Field Size: 2 Digits

19) Run Date for Program (optional)

Identifies when program to build file was executed (MMDDYYYY).

Field Size: 8 Digits

20) Adjustment Indicator (optional)

1 = This record adjusts previously reported information.

2 = This record has not been previously reported.
(Default code if item not collected.)

Field Size: 1 Digit

21) Total Amount "Paid" to Claimant

The sum of item 13 (Amount Paid to Claimant), item 14 (Amount Offset), and item 15 (Amount of Intercept or Withholding).

Field Size: 3 Digits

B. Record Format for UI Transactions File

<u>Item #</u>	<u>Field Name</u>	<u>Size</u>	<u>Positions</u>	<u>Formats</u>
1	State I.D.	2		1-2FIPS Code
2	Batch #	6		3-8
	YYYYWW			
3	Social Security #	9		9-17Actual #
4	Claim Date	8		18-25MMDDYYYY

ET HANDBOOK NO. 395

5	Transaction Date	8	26-33MMDDYYYY
6	Sample Select. Ind.	1	341 or 2
7	Transaction Type	1	351 to 4
8	Gender	1	36
		1, 2 or 8	
9	Date of Birth	6	37-42MMYYYY or 010001
10	Ethnic	1	43
		1 to 5 or 8	
11	Program Type	1	44
		1 to 9	
12	UI Duration	1	451 to 5
13	Amount Paid	3	46-48
	Whole Dollars		
14	Amount Offset	3	49-51
	Whole Dollars		
15	Amount of Intercept	3	52-54
	Whole Dollars		
	or Withholding		
16	Claim Type	2	55-5600-04, 11-15
17	Filing Status	1	57
		1 to 3	

ET HANDBOOK NO. 395

- 18 Workshare Pct.
 2 58-59
00 to 99

 - 19 Run Date
 8 60-67
MMDDYYYY

 - 20 Adjustment Ind.
 1 681 or 2

 - 21 Total Amount "Paid"
 3 69-71
Whole Dollars
To Claimant

 - Filler
 9 72-80zero-filled; can be used by State for edit codes.
- C. Timing and Frequency

The UI transactions file is created weekly. It may be created by accessing the SESA database each day it is updated or once each week after all updating activity has been completed. The weekly period is defined as 12:00 a.m. Sunday to 11:59 p.m. Saturday. The file must be ready for processing as soon as possible after all transactions for the week have been extracted but no later than the following Monday morning.

If the SESA routinely maintains a cumulative UI transactions file on its ADP system during the defined week, the weekly UI transactions file may be created with a single computer run at the end of the week. If a cumulative file is not maintained, it will be necessary to construct the weekly data file by accessing the SESA database each day it is updated. Each SESA may determine the most efficient file creation procedure in light of its normal operations.

For purposes of illustration, assume that the SESA updates its database five nights per week, Monday through Friday, and that no cumulative file is routinely maintained during this period. In this case, it would be necessary to construct the UI transactions file by accessing the database each night and cumulating the records. The computer program that the State uses to select records for the UI transactions file must be executed on Monday night after the UI transactions database has been updated, and the output must be stored. The same procedure must be repeated on Tuesday, and records selected for Tuesday must be added to the file created on Monday. In this example, the procedure would be applied five times during the week to obtain all of the records for the UI transactions file for that week.

States have the option of including the Run Date in each record in the weekly UI transactions file. If the program the State has written to create the UI transactions file is run only once each week (because the SESA maintains a cumulative file of UI

transactions), then one Run Date will be entered for all records selected for the weekly UI transactions file. In contrast, if the program is run on five different days (after the SESA's database is updated each day), then the Run Date for the records in the weekly UI transactions file will have five different values corresponding to the dates on which the records were selected.

D. Distinguishing Between Payments and Weeks

The weekly UI transactions file for paid claims can be constructed without difficulty as long as there is a separate record for each specific week of unemployment insurance paid or offset in the SESA's files. Problems may arise in constructing the transactions file if the SESA's database of UI transactions has a single payment record (or applies a single offset) that meets the definition of an original payment but is for more than a single week of unemployment.

For example, assume that in a case involving a labor dispute, a ruling is issued that an individual claimant must be paid for eight weeks of unemployment claimed after the labor dispute began. If the SESA has only a single record in its computer files at the time all eight weeks of unemployment are paid, the State must create eight individual records on the weekly UI transactions file.

Alternatively, some SESAs create two or more separate records for a single week's payment when, for example, that week is chargeable to two or more programs (e.g., UI/UCFE, UI/UCX), is chargeable to two or more employers, or is for a payment and an offset. If this occurs, the separate records must be combined. The UI transactions file must have a single payment/offset record for each claimant for each week.

These procedures must be followed because the BAM paid claims sample consists of single weeks for which UI benefits were paid or offsets applied. The BAM sampling methodology requires that each element in the paid claims sampling frame (i.e., each record in the transactions file) represent a single week compensated. Also, the specific amount of the payment/offset that applies to each individual week of unemployment must be identified on the record for each week.

E. Definitions of UI Transactions

In order to make statistically reliable inferences about the claimant population, it is first necessary to define the population about which inferences will be made. SESAs should use the following BAM population definitions to identify records on their UI databases for inclusion in the UI transactions file.

(1) Paid Claims

Not all weeks compensated are included in the BAM sampling frame. The survey population will be selected from all weeks for which payments are

ET HANDBOOK NO. 395

made or offsets applied during a period that begins at 12:00 a.m. on Sunday and ends at 11:59 p.m. on Saturday. This interval is defined by the run time(s) of the computer programs that issue the checks or apply offsets. The compensated weeks must meet a series of criteria to be included in the survey population. If the criteria listed below do not classify all weeks as either included or excluded weeks, clarification about whether particular weeks should be included or excluded must be obtained by contacting the appropriate Regional Office.

a. Included Weeks. From the total statewide weeks for which payments are made during the time interval defined above, include only weeks that fall into all of the following categories (1-4):

- 1) Regular Program Type Claim. One of:
 - a) UI
 - e) UI-UCX
 - b) UCFE
 - f) UCFE-UCX
 - c) UI-UCFE
 - g) UI-UCFE-UCX
 - d) UCX
- 2) An Original Payment Week. Weeks for which the payments/offsets made are original payments/offsets (except waiting weeks). An original payment/offset is defined as the first valid payment/offset made by the agency to a claimant for that week. The offsets would normally recover overpayments established for previous weeks.
- 3) A Total or Partial Payment/Offset
 - a) Weeks for which "total" payments/offsets are made. Include weeks for which no checks were issued because the entire payment was offset.
 - b) Weeks for which true partial payments/offsets are made.
 - c) Weeks for which part-total payments/offsets are made.
- 4) Weeks for which payments/offsets/intercepted payments are made to intrastate claimants, to interstate claimants by the liable State, or for combined wage claims.

b. Excluded Weeks. Weeks that fall into any of the following categories will be excluded from the BAM survey population.

ET HANDBOOK NO. 395

- 1) Weeks for which supplemental payments are made. These "non-original" payment weeks are excluded because original payments/offsets (as defined above) already have been made for the week claimed. For example, if a revised wage statement indicated that a claimant should have been paid \$95/week but the claimant originally was paid \$80 and later received a supplemental payment of \$15, that week would not be included in the population at the time the supplemental payment was made.
- 2) All Waiting Weeks. Exclude whether such weeks are compensated or not.
- 3) Weeks with Stop Payments. All weeks for which checks are written to individuals for whom a "stop payment order" is in effect for the particular week the check is written.
- 4) All weeks paid under the Short Time Compensation (STC) (Workshare), Extended Benefits (EB), Trade Readjustment Allowance (TRA), Disaster Unemployment Assistance (DUA) programs, any temporary Federal-State supplemental compensation programs, or other special programs, such as EUC.

(2) Monetary Denials

Unless otherwise stated, definitions refer to those used in ET Handbook 401, 3rd edition. ETA report cell references are those used in ET Handbook 402, 4th edition.

a. Include all initial claims that meet the definition for inclusion in the ETA 5159 Claims and Activities report on lines 101 (State UI), 102 (UCFE, No UI), and 103 (UCX only), for item 2 (new intrastate, excluding transitional), item 6 (transitional), and item 7 (interstate received as liable State) and for which eligibility was denied because of:

- Insufficient wages,
- Insufficient hours/weeks/days,
- Failure of high quarter wage test,
- Requalification wage requirement, or
- Other State monetary eligibility requirement

b. Exclude denied claims made under the STC, EB, TRA, DUA programs, any temporary Federal-State supplemental compensation programs, or other special programs, such as EUC.

ET HANDBOOK NO. 395

Note: In order to allow time for States to request and receive wage credits from out-of-State employers (combined wage claims) or Federal wages (UCFE and/or UCX programs), the construction of the sampling frame for monetary denials will be delayed two weeks. Monetary denial records that satisfy the following criteria will be included in the UI transactions file.

- 1) Transaction date (positions 26-33 in the UI transactions file) must be greater (later) than or equal to the date 14 days prior to the beginning date of the batch.
- 2) Transaction date must be less (earlier) than or equal to the date 14 days prior to the ending date of the batch.
- 3) Claim date (positions 18-25 in the UI transactions file) must be less (earlier) than or equal to the transaction date.
- 4) Claimant is monetarily ineligible for unemployment compensation (UC) as of the date that the UI transactions file is created (run date, positions 60-67 in the UI transactions file).

Example: For batch 200123 (June 3 - 9, 2001), the sampling frame will consist of new initial and transitional claims for which: 1) a determination denying monetary eligibility was issued between May 20 and May 26; 2) the claim date is on or prior to the date of the determination denying eligibility; and 3) the claimant is monetarily ineligible for UC as of the date that the program that constructs the transactions file is run.

(3) Separation Denials

Unless otherwise stated, definitions refer to those used in ET Handbook 401, 3rd edition. ETA report cell references are those used in ET Handbook 402, 4th edition.

a. Include all separation determinations that meet the definition for inclusion in the ETA 9052 Nonmonetary Determinations Time Lapse (Detection Date) report in cells c1 (intrastate), c5 (interstate), and c193 (multiclient) and for which eligibility was denied based on any of the following issues:

- Voluntary quit (either personal or work connected),
- Discharge,
- Labor dispute, or
- Other separation issue reportable under definitions in ET Handbook 401

ET HANDBOOK NO. 395

b. Exclude denied claims made under the STC, EB, TRA, DUA programs, any temporary Federal-State supplemental compensation programs, or other special programs, such as EUC.

(4) Nonmonetary-Nonseparation Denials

a. Include all nonmonetary-nonseparation determinations that meet the definition for inclusion in the ETA 9052 Nonmonetary Determinations Time Lapse (Detection Date) report in cells c97 (intrastate), c101 (interstate), and c193 (multiclient) and for which eligibility was denied based on any of the following issues:

- Able and/or available to work,
- Actively seeking work,
- Disqualifying/unreported income,
- Refusal of suitable work or offer of job referral,
- Refusal of referral to profiling services,
- Failure to report,
- Failure to register with the employment service, or
- Other nonseparation eligibility issue (for example, alien status, athlete, school employee, seasonality, removal of disqualification, and determination of whether claimant's activities or status constitutes service or employment).

b. Exclude denied claims made under the STC, EB, TRA, DUA programs, any temporary Federal-State supplemental compensation programs, or other special programs, such as EUC.

Notes for Separation and Nonseparation Definitions

(1) In general, the ETA 9052 report uses the same definitions as the ETA 207 report (ET Handbook 401, pp. I-4-3 to I-4-12). However, nonmonetary redeterminations, which are reported on the ETA 207 report, are not reported on the ETA 9052 report and should not be included in the DCA separation or nonseparation sampling frames. The following actions are not reportable nonmonetary determinations and should not be included in the DCA separation or nonseparation sampling frames:

- Determinations made solely for deciding whether charges should be made to an employer's experience rating account.
- Routine exploration of facts or questioning claimants in association with the claims taking process except under circumstances of disagreement. Several examples of routine questioning or decisions

that are not countable are provided on pages I-4-4 and I-4-5 of ET Handbook 401.

- Overpayment notices on uncontested earnings detected by any method (for example, crossmatch) should not be included in the DCA nonseparation transactions files.

(2) If nonmonetary determinations that deny eligibility were conducted for more than one issue (for example active work search and pension), or for separation issues involving more than one employer in the base period, separate records should be created for each determination, and only the determination selected for the sample will be investigated. SESAs should distinguish these separate records in the UI transactions file by the transaction date, if the determinations were issued on different dates. If the determinations were issued on the same date, States can use positions 72-80 in the UI transactions file to record the separation or nonseparation issue code, or other identifying information, such as an agency-assigned sequence number. The identifying information can be mapped to the appropriate data element in the rec1.dat file.

(3) A multiclaimant determination based on a single set of facts which applies to two or more similarly situated individuals and which may result in the issuance of one or more notices, depending upon the number of individual claimants involved, should be represented by a single record in the DCA transactions files.

F. UI Transactions File Sort

The records in the UI transactions file are sorted first by transaction (sample) type (item 7) in ascending order: 1) UI paid claims, 2) monetary denials, 3) separation denials, and 4) nonmonetary-nonseparation denials.

Within each sample type records are sorted in ascending order on two keys. For the UI paid claims sampling frame, the primary sort key is the total amount "paid" to the claimant (item 21). For the three denials sampling frames, the primary sort key is the transaction date of the denial (date the denial was issued by the SESA) (item 5). The secondary sort key for all four sample types is the social security number (SSN) (item 3).

When these primary and secondary sorts are completed, the first record in the UI transactions file will correspond to the UI benefits payment (sample type 1) with the smallest amount paid, offset, intercepted, or withheld and the lowest SSN within that amount. The last record among the UI benefits payments in the UI transactions file will correspond to the payment with the largest amount paid, offset, intercepted, or withheld and the highest SSN within that amount. The first record in each of the three denials

ET HANDBOOK NO. 395

sample types (monetary, separation, nonmonetary-nonseparation) will correspond to the denial with the earliest transaction date and the lowest SSN within that date. The last record in each of the three denials sample types will correspond to the denial with the latest transaction date and the highest SSN within that date.

3. Control Record

The control record is a required input to both BAM COBOL programs. COBOL program one checks the validity of the data in the control record and uses the control record to edit some of the data fields in the UI transactions file. COBOL program two uses the control record in its sample selection algorithm.

Record Format of the Control Record

<u>Data Element</u>	<u>Positions</u> <u>Formats / Edit Criteria</u>
State Code	1-22-digit numeric (FIPS); must be 1-56, 72, or 78, except for codes 3, 7, and 14.
Current Week's Batch #	3-8 6-digit numeric in format YYYYWW; YYYY must be \leq current year; WW must be \geq 01 and \leq 53.
UI Paid Claims Random #	9-146-digit numeric; implied decimal (.xxxxxx).
Monetary Random #	15-20 6-digit numeric; implied decimal (.xxxxxx).
Separation Random #	21-26 6-digit numeric; implied decimal (.xxxxxx).
Nonmon.-Nonsep. Random #	27-32 6-digit numeric; implied decimal (.xxxxxx).
Batch Week Beginning Date	33-40 8-digit numeric in format MMDDYYYY; MM must be \geq 01 and \leq 12; DD must be \geq 01 and \leq max. days in MM; YYYY must be \leq current year.
Batch Week Ending Date	41-48 8-digit numeric in format MMDDYYYY; must be $>$ Batch

ET HANDBOOK NO. 395

Week Beginning Date; MM must be ≥ 01 and ≤ 12 ; DD must be ≥ 01 and \leq max. days in MM; YYYY must be \leq current year.

UI Paid Claims 49-502-digit numeric;
Sample Size must be ≥ 2 .

ET HANDBOOK NO. 395

<u>Data Element</u>	<u>Positions</u> <u>Formats / Edit Criteria</u>
Monetary Denials Sample Size	51-522-digit numeric; must be ≥ 2 .
Separation Denials Sample Size	53-542-digit numeric; must be ≥ 2 .
Nonmon.-Nonsep. Denials Sample Size	55-56 2-digit numeric; must be ≥ 2 .
Max Pay	57-59 3-digit numeric; whole dollars; the maximum WBA in the State, including dependents' allowances.
Filler	60-80 zero-filled

4. COBOL Population Edit and Sample Selection Programs

The BAM COBOL programs can be compiled on IBM OS/VS or COBOL II compilers. States must write the job control language to compile the source code. Because ADP systems vary from State to State, some SESAs may have to modify the source code in order to successfully compile the COBOL programs on their State ADP systems. States should permanently store the executable (object code) COBOL files in a program library or partition on its ADP system from where it can be run on a routine basis.

The COBOL programs perform the following tasks, which are described in detail in the subsequent sections:

COBOL Program 1

- edits the input control record to identify data element codes which do not meet the specified format or range;
- verifies that the UI transactions file is sorted according to the specifications in section 2 (F), above;

ET HANDBOOK NO. 395

- edits the UI transactions file to 1) identify records with data element codes which do not meet the specified format or range and 2) identify records that meet the definition for inclusion in the sampling frames for UI paid claims and the three types of denials;
- produces an error report of records which fail any of the edits and the identification of the failed edit(s);
- creates a file consisting of the records in the UI transactions file that meet the definition for inclusion in the sampling frames.

COBOL Program 2

- selects the sample cases according to the prescribed algorithm;
- writes records selected for the samples to the properly formatted output file;
- creates a file of aggregate sample and population information for UI paid claims and the three types of denials, and produces a report for each of the four transaction types which summarizes the aggregate data.

A. Editing the Input Control Record

Both BAM COBOL programs require an input control record, which is prepared by each State. Input control data are used in the sample selection algorithm and to edit the input file of UI transactions. This information includes the two-digit State FIPS code; two eight-digit dates for beginning and ending dates of the batch (weekly sample) being selected; a six-digit number for the batch; four six-digit random start numbers (for sample selection), which are provided by the Department; four two-digit numbers, which are provided by the BAM supervisor, that designate the number of cases to be selected for the weekly UI paid claims, monetary, separation, and nonmonetary-nonseparation denials samples; and the maximum amount of UI benefits payable in the State.

COBOL program one edits the input control record to insure that the fields contain valid entries. If any of the edits fail, the appropriate error message will be displayed and the program will terminate. The required formats and definitions for the input control record data are provided in section 3 of this document.

B. Verifying the Sort of the UI Transactions File

Samples are selected for BAM using a systematic selection algorithm. With systematic selection, the first sample case is selected at random and subsequent cases are selected at a fixed interval. The procedure will therefore produce a sample which

reflects the way in which the records in the sampling frame file are sorted. Because of this, it is critical that the records in the UI transactions file be sorted according to the specifications in section 2 (F) (page III-16).

COBOL program one verifies that:

- The first N_1 records in the file are UI benefit payments (Sample Type "1"), the next N_2 records in the file are monetary denials (Sample Type "2"), the next N_3 records in the file are separation denials (Sample Type "3"), and the last N_4 records in the file are nonmonetary-nonseparation denials (Sample Type "4").

Note: All four types of records may not be present in the file. If more than one type of record is in the file, the program verifies the proper sort sequence, as described in the preceding paragraph. If only one type of record is present, the program verifies that the records are sorted according to the appropriate primary and secondary sort keys, as described in the following two sections.

- The primary sort key for the UI benefit records is the total amount "paid" to the claimant (item 21) (ascending) and the secondary sort key is the social security number (item 3) (ascending).
- The primary sort key for the three denials sampling frames is the transaction date of the denial (date the denial was issued by the SESA) (item 5) (ascending) and the secondary sort key is the social security number (item 3) (ascending).

If the UI transactions file fails the sort edit, the COBOL program will terminate, identify the record(s) out of sequence, and display an error message advising the user to re-sort the UI transactions input file.

C. Editing the UI Transactions File

The COBOL program one uses the following criteria to edit the UI transactions file. The program generates an error report, which will include all records that fail one or more of the edits. Data elements failing an edit will be flagged. An example of the format of the error report is shown on page III-25.

Data Element # and Name
Edit Criteria

- | | |
|---------------------------|--|
| 1. State I.D. Code | Must be valid numeric FIPS code for SESA from input control record; must be 1-56, 72, or 78, except for codes 3, 7, and 14. |
| 2. Batch Number | Must match batch # in input control record: 6-digit numeric YYYYWW; YYYY must be \leq current year; WW must be \geq 01 and \leq 53. ¹ |
| 3. Social Security Number | Must be numeric > 0. |
| 4. Claim Date | 8-digit numeric MMDDYYYY; MM must be \geq 01 and \leq 12; DD must be \geq 01 and \leq max. days in MM; YYYY must be \leq current year. |

Can be all zeros if Transaction Type (item 7) equals 3 (separation denial) or 4 (nonmonetary-nonseparation denial) and Claim Type (item 16) equals 0.

- | | |
|---------------------|--|
| 5. Transaction Date | 8-digit numeric MMDDYYYY; MM must be \geq 01 and \leq 12; DD must be \geq 01 and \leq max. days in MM; YYYY must be \leq current year. |
|---------------------|--|
- ²Must be greater (later) than or equal to Item 4 (Claim Date).¹

¹ Record must meet edit criteria for inclusion in sampling frame.

² Edit criteria may vary from State to State for this item. In some States it is possible for the Transaction Date to be greater than the Run Date, so this data element is edited against the Claim Date.

ET HANDBOOK NO. 395

Data Element # and Name
Edit Criteria

5. Transaction Date

If Transaction Type (item 7) equals 1, 3, or 4:

(Continued)

Must be greater (later) than or equal to Batch Week Beginning Date from input control record.¹

Must be less (earlier) than or equal to Batch Week Ending Date from input control record.¹

If Transaction Type (item 7) equals 2 (monetary denial):

Must be greater (later) than or equal to 14 days prior to the Batch Week Beginning Date from input control record.¹

Must be less (earlier) than or equal to 14 days prior to the Batch Week Ending Date from input control record.¹

6. Sample Selection Indicator

Must equal 2.

7. Transaction (Sample) Type

Must equal 1, 2, 3, or 4.¹

8. Gender

Must equal 1, 2, or 8 (INA).

9. Date of Birth

6-digit numeric MMYYYY; MM must be ≥ 01 and ≤ 12 ; YYYY must be \geq (current year - 100) and \leq YYYY of Item 4 (Claim Date); can be 0001 (INA).

10. Ethnic Classification

Must equal 1-5 or 8 (INA).

¹ Record must meet edit criteria for inclusion in sampling frame.

ET HANDBOOK NO. 395

Data Element # and Name
Edit Criteria

11. Program Type

Must equal 1-7 (UI, UCFE, UCX, UI-UCFE, UI-UCX, UI-UCFE-UCX, UCFE-UCX), or 9 (missing).¹

12. Unemployment Duration Code

Must equal 1 (regular UI) or 3 (State additional, no EB).¹

13. Amount Paid to Claimant

Must be equal to or less than max. WBA from input control record.
Can be all zeros.

14. Amount Offset Applied

Must be equal to or less than max. WBA from input control record. Can be all zeros.

15. Amount of Intercept or

Withholding Must be equal to or less than max. WBA from
input control record. Can be all zeros.

16. Claim Type

For UI paid claims (Sample Type "1"): must equal 12, 13, or
14.¹

For monetary denials (Sample Type "2"): must equal 01 (new) or 03
(transitional).¹

For separation denials (Sample Type "3"): must equal 01 (new), 02
(additional), 12 to 14 (week claimed) or 00 (no week claimed).¹

For nonmonetary-nonseparation denials (Sample Type "4"): must
equal 01 (new), 02 (additional), 03 (transitional), 04 (reopened claim),
12 to 14 (week claimed) or 00 (no week claimed). Denied claims for
waiting week credit should be coded 13.¹

If Claim Type = 12 or 14, item 21 must be > 0.

¹ Record must meet edit criteria for inclusion in sampling frame.

ET HANDBOOK NO. 395

Data Element # and Name

Edit Criteria

17. Filing Status Indicator

Must equal 1 (intrastate) or 2 (interstate liable).¹

18. Workshare Percentage

Must equal 00.¹

19. Run Date for Program 8-digit numeric MMDDYYYY; can be all zeros;

If greater than 0:

MM must be ≥ 01 and ≤ 12 ; DD must be ≥ 01 and \leq max. days in MM;
YYYY must be \leq current year.

Must be greater (later) than Item 4 (Claim Date).

Must be greater (later) than or equal to Batch Week Beginning Date from input control record.

20. Adjustment Indicator

Must equal 1 or 2.

Must equal 1 if Item 16 = 15.

21. Total Amount "Paid" to

Claimant Must be equal to the sum of items 13, 14 and 15. Must be equal to or less than max. WBA from input control record. Can be all 0's.

For UI paid claims (Sample Type "1"): item 21 must be greater than 0.¹

For monetary denials (Sample Type "2"): item 21 must equal 0.¹

ET HANDBOOK NO. 395

For separation and nonmonetary-nonseparation denials (Sample Types "3" or "4"): item 21 can be equal to or greater than 0.¹

¹ Record must meet edit criteria for inclusion in sampling frame.

ET HANDBOOK NO. 395

BAM UI Transactions File Error Report

Page 1

State of XX

Run
Date
01/08/2
001

<u>Field</u>	<u>Code</u>	<u>Field</u>	<u>Code</u>	<u>Field</u>	<u>Code</u>
1	99	2	199701	3	111223333
4	1228199 6	5	01031997	6	2
7	1	8	1	9	071971
10	1	11	1	12	1
13	180	14	000	15	000
16	13	17	3*	18	00
19	0105199 7	20	2		
1	99	2	199701	3	444556666
4	1207199 6	5	12301996	6	2
7	3	8	0+	9	111968
10	3	11	2	12	1
13	000	14	000	15	000
16	01	17	1	18	00
19	0105199 7	20	2		

* Field failed edit for inclusion in sampling frame.
+ Field failed coding edit.

D. Extract Flag for UI Paid Claims and Denials Sampling Frames

The information that is collected for the cases in the BAM samples is used to make inferences about the claimant population. To ensure that these inferences are statistically reliable, the populations must be defined consistently each week. The COBOL program performs this task by editing the UI transactions file to insure that only those records defined in section 2 (E) are included in the UI paid claims and monetary, separation, and nonmonetary-nonseparation denials sampling frames.

A record in the UI transactions file must meet several criteria, which are denoted in section 4 (C), to be included in the sampling frame file. COBOL program one sets an extract flag for each field (data element) that meets the selection criteria. Records meeting all of the criteria will be written to a sampling frame file from which the four BAM samples are selected.

E. Selecting the UI Paid Claims and Denials Samples

COBOL program two uses a systematic random sampling procedure to select the UI paid claims and three denials samples from the sampling frames created each week. The COBOL program uses the sample sizes and random start numbers from the input control record in the sample selection algorithm.

The weekly sample sizes and random start numbers are provided by the Department for each State for inclusion in the input control record. The random start numbers must be updated in the input control record each week. The annual sample sizes for UI paid claims and the three types of denials are fixed by the Department for the calendar year. BAM supervisors may change the weekly sample sizes in the input control record to accommodate investigator vacation schedules or other staffing contingencies. However, SESAs are expected to pull at least the minimum number of cases each week. States may not over sample during a portion of the year in order to meet the annual sample allocation and then suspend sampling for the remainder of the calendar year. The minimum weekly and quarterly samples, based on current annual sample allocations are:

Sample	Annual Allocation	Normal Weekly	Minimum Weekly	Normal Quarterly	Minimum Quarterly
Paid Claims	360*	7	5	90	81
Paid Claims	480	9	6	120	108
Denials	150 / 450**	3	2	37-38	32

* Allocation for ten smallest States in terms of UI workload.

** 150 cases each of monetary, separation, and nonmonetary-nonseparation denials will be selected each year, for a total of 450 DCA cases.

F. Systematic Sampling Procedure

COBOL program two counts the number of records included in the sampling frame. A skip interval is computed by dividing the number of records in the sampling frame by the number of records to be sampled that week. The first sample case selected is determined by multiplying the skip interval by the random start number assigned in the input control record for that sample (UI paid claims, monetary, separation, or nonmonetary-nonseparation denials). The random start number is a six-place decimal with a value greater than zero and less than one. The product of the skip interval and the random start number is rounded to the nearest integer. If the rounded integer is zero, the case corresponding to the rounded skip interval is selected as the first case in the sample.

For example, assume the following:

Number of Records in the Sampling Frame (N) = 118

Random Start Number (r) = .260903.

Total Number of Cases to be Sampled (n) = 4.

Skip interval (k) = $118 / 4 = 29.5$

Initial case selected (i) = $.260903 \times 29.5 = 7.697 = 8$ (rnd)

Record 8 in the sampling frame is the first record selected for the sample.

Subsequent cases are selected using systematic sampling.

1. Select the initial sample case as described above.
2. Select the next (n-1) cases by adding multiples of the skip interval (k), rounded to the nearest integer, to the case number of the initial selection (i): $i + \text{round}(jk)$, where $j = 1, 2, \dots, (n - 1)$.

In the example, cases 8, 38, 67, and 97 will be selected from the sampling frame of 118 records.

If the last case designated for selection by the sampling algorithm is greater than the size of the sampling frame (N), the case will be selected from the beginning of the sampling frame. That is, the sampling frame will be considered to be circular. For example, if the last case selected is $N + 1$, the 1st case in the sampling frame will be selected.

The general rule is:

if $(i + \text{round}(jk)) > N$, select case h, where $h = [(i + \text{round}(jk)) - N]$ and $1 \leq h < i$.

The Sample Selection Indicator will be changed from a value of 2 to a value of 1 for all records selected for one of the four samples: UI paid claims, monetary denials, separation denials, and nonmonetary-nonseparation denials.

G. Output Files and Reports

After the sample selection procedure has been completed, COBOL program two produces two output files and related reports:

1. HITFILE (see example on next page) consists of the records selected for the samples. The records in this file are in the same format and sort sequence as the UI transactions file: UI paid claims records will be written first, followed by monetary, separation, and nonmonetary-nonseparation denials.

The SSNs and claim dates of the sample cases are used to query the SESA database to create a file of claimant data, rec1.dat, which is used in investigating the accuracy of the payment or denial. The rec1.dat file is described in section 5, "Downloaded Files".

ET HANDBOOK NO. 395

JOB [JOB NO.] [STATE] EMPLOYMENT SECURITY COMMISSION
RUN DATE: 01/08/2001 HITFILE OF BAM SAMPLE CASES

```
992001011112233331228200012312000111071971111040000000131000108200120400000
00000
992001014445566661228200001032001112021968111075000000131000108200120750000
00000
992001017778899991221200012302000112111962221145000000131000108200121450000
00000
992001011113355551228200001022001111081965311025150000131000108200121750000
00000
992001012224466661221200012302000112101948121200000000131000108200122000000
00000
992001017779913571228200001032001111041974511225000000131000108200122250000
00000
992001014446686421228200012302000122031970111000000000011000108200120000000
00000
992001019991197531228200001032001121011957231000000000011000108200120000000
00000
992001016668801231221200012312000131121955111000000000011000108200120000000
00000
992001015550043211228200001032001132051977411000000000021000108200120000000
00000
992001018882244661228200012302000142091950211000000000131000108200120000000
00000
992001019876543211221200001022001141021959111000000000131000108200120000000
00000
```

SESA BAM supervisors may request additional information for each case sampled, for example the claimant's name, local address, phone number, and UI claim history or wages. These optional data elements will be produced only for the benefit of the SESA BAM unit and will not be picked up by the Department. State optional data must be downloaded in the format described in section 5 and is currently available only for paid claims. A future release of the DCA software will accommodate State option data for denied claims.

In addition to creating the HITFILE, the COBOL program will produce a hard copy report consisting of all of the UI transactions file data elements for each of the sampled cases:

2. sfsun.dat (see example on page III-38) consists of aggregate data for the population and sample cases for several claimant characteristics: gender, ethnic group, age, and program type. In addition to these characteristics, the amount paid to the claimant will be used to check the validity of the UI paid claims population and sample. This summary data is used to check the representativeness of the weekly UI paid claims and

ET HANDBOOK NO. 395

denials samples. This file is analogous to the PRELUDE_SF_SUM file created by the original BAM COBOL program, although the format of this file is different from PRELUDE_SF_SUM. The sfsun.dat file is described in section 5.

In addition to creating the sfsun.dat file, the COBOL program will produce a hard copy report consisting of the data elements described in Attachment C for each of the four sample types. The following are examples of the SFSUM hard copy reports for the UI paid claims and monetary denials samples and populations.

ET HANDBOOK NO. 395

JOB [JOB NO.] [STATE] EMPLOYMENT SECURITY COMMISSION
SFSUM REPORT

RUN DATE: 01/08/2001

TRANSACTION TYPE: 1 - UI BENEFITS

State: 99

Batch: 200101

SIZE	06	005382	
DOLLARS	00860		000805231
VARIANCE		2718.432	2919.341
MALE	03	002823	
FEMALE	03	002559	
GENDER MISS	00	000000	
WHITE	03	003542	
NON-WHITE	03	001840	
ETHNIC MISS	00	000000	
AGE < 25	01	000639	
AGE 25-34	03	001863	
AGE 35-44	01	001295	
AGE 45-64	01	000871	
AGE 65+	00	000714	
AGE MISS	00	000000	
< \$51		01	000540
\$ 51-\$100	01	000904	
\$101-\$150	01	001482	
\$151-\$200	02	001983	
\$201+		01	000473
AMOUNT MISS	00	000000	
UI	06	005001	
UCFE/UCX	00	000381	
PROGRAM MISS	00	000000	
=====			
SKIP INTERVAL			000897
RANDOM NUMBER		217658	
FIRST SELECT			000195
=====			

ET HANDBOOK NO. 395

JOB [JOB NO.] [STATE] EMPLOYMENT SECURITY COMMISSION
SFSUM REPORT

RUN DATE: 01/08/2001

TRANSACTION TYPE: 2 - MONETARY DENIALS

State: 99

Batch: 200101

SIZE	02	000245
MALE	01	000132
FEMALE	01	000113
GENDER MISS	00	000000
WHITE	01	000177
NON-WHITE	01	000068
ETHNIC MISS	00	000000
AGE < 25	00	000021
AGE 25-34	01	000073
AGE 35-44	01	000065
AGE 45-64	00	000048
AGE 65+	00	000038
AGE MISS	00	000000
UI	02	000202
UCFE/UCX	00	000043
PROGRAM MISS	00	000000
=====		
SKIP INTERVAL		000123
RANDOM NUMBER	725190	
FIRST SELECT		000089
=====		

H. COBOL Program Specifications

A description of the COBOL program modules, installation procedures, and the technical specifications of the input and output files are provided in Attachment A.

5. Downloaded Files

Each week, two files are downloaded from the SESA mainframe ADP system to the UI Sun ADP system: rec1.dat, which consists of claimant data obtained from the SESA database for the cases selected for the four BAM samples, and sfsun.dat, which is created by COBOL program two. The Department will provide software to convert data in these files to the Informix database on the Sun computer. This software requires the data passed from the SESA mainframe to the Sun computer to be in a specific format. It is the responsibility of the SESA to assure that data transferred to the Sun computer adhere to these formats, which are described in detail below.

ET HANDBOOK NO. 395

SESA data processing staff are also responsible for any modifications to the job control language of the COBOL program and any additional programming needed to download the rec1.dat and sfsun.dat files to the Sun computer, using ftp or another file transfer utility, for example. States are responsible for securing login permission and permission to download files from their State ADP system to the Sun computer.

States may choose to manually enter the population and sample comparison data and sample case information into the Sun computer by using the software provided by the Department. The procedures for UI paid claims data are described in ET Handbook No. 400, Unemployment Insurance Benefit Quality Control ADP User Guide.

A. Output File of Sampled Cases

COBOL program two creates a file of records selected for the UI paid claims and three denials samples (HITFILE). This file is used to query the SESA database to identify information on an individual claimant including demographic characteristics, employment history, benefit year data, and information specific to the initial or continued claim. Data reflect status at the time of sample selection for such items as number of base period employers, base period wages, weekly benefit amount, etc. All data available in the SESA UI databases must be extracted to create the rec1.dat file for downloading to the Sun computer.

The control keys for selecting data from the SESA database are social security number (SSN) and claim date, which is the effective date of the initial claim or the week ending date of a week claimed.

1. Timing and Frequency. SESAs will create the rec1.dat file each week as soon as possible after the samples of UI benefit payments and denied UI claims have been selected by the COBOL program. The file must be available on Monday morning for assignment of cases to the BAM investigators. The file is downloaded to the Sun computer either electronically or by tape and stored in /opt/bqc/data/tmp/rec1.dat.

2. Data Element Definition. The data elements and formats for rec1.dat records are provided in Attachment B. Some of the fields may be missing, optional, or not applicable and are left blank, as indicated.

3. Data Corrections. Experience from the BAM program has shown that claimants are occasionally sampled in error, or that claimant identifiers change during the course of an investigation. The BAM supervisor will normally be the person who identifies sample or identifier errors. Provisions have been made for reconciliation of either of these errors on the Sun computer system. Upon the written request of the SESA, the Department will log on to the Sun computer in order to code a sample case that does not meet the definition for inclusion in the UI paid claims or denials universe.

The Sun computer cannot correct errors on the SESA mainframe. Therefore, the BAM supervisor is responsible for alerting the SESA ADP unit regarding changes or errors.

4. File Format for Transfer to the Sun Computer. States must download the rec1.dat file from their mainframe computer to the Sun ADP system. These data are stored in the UI database on the Sun. Successful case conversion depends on fixed formats and file-naming conventions, which are described in this section. SESAs are responsible for the programming which creates the rec1.dat file in the required format.

Each record in the rec1.dat file consists of ten 80-character lines. The total size of each record is 800 bytes. Positions 1 through 79 of each line must contain data or spaces (HEX '20', octal '040', for example). Position 80 on each line must be coded with a line feed (ASCII - 10, HEX '0A', EBCDIC 25, octal '012', for example).

The first three lines are defined by the Department and cannot be changed. As indicated in the following table, some fields wrap from one line to the next line. Line four is reserved for future use and will remain blank. The remaining six lines are reserved for State use and can contain such information as the names and addresses of UI claimants. BAM supervisors are responsible for providing the record formats of optional fields to their ADP staffs. All ten lines must be formatted and transferred whether or not the State optional lines are used for data. Positions not used for data must be filled with spaces, not null.

The following table summarizes the contents of each line of the rec1.dat file record. The data elements and formats for rec1.dat records are provided in Attachment B.

ET HANDBOOK NO. 395

<u>Line #</u>	<u>rec1.dat Data Element Numbers</u> <u>Positions</u>
1	Items 1 thru 24 (first position) 1 - 79
2	Items 24 (last position) thru 50 80 - 158
3	Items 51 thru 59159 - 169 (68 spaces reserved in remainder of line 3) (170 - 237)
4	Leave blank (spaces); reserved for future use.
5-10	Lines reserved for State use.

Note: Positions refer to the format of the rec1.dat file record in Attachment B.

An example of a rec1.dat file (partial listing of records) is shown on the following page.

ET HANDBOOK NO. 395

Example of recl.dat File

14442328099199906012319990112 0099405630 5 1	37509750	11811061961111208021998 1375	07181998
16446356299199906012319990510 0117756170 5 1	29907774	55003101957111201101999 1307	12121998
17130787199199906013019990204 0258105170 5 1	37509750	31012281934111212061998 1375	09101998
17740674999199906010219990420 0301185270 5 1	07501950	13004281951121202081998 1075	01251998
18346211799199906013019990208 0325502300 5 1	16504290	21005101955211207261998 1145	05021998
18938904099199906012319990616 0388725490 5 1	29607696	51012261948111201031999 1296	12101998

B. Population and Sample Comparison File

COBOL program two will aggregate population and sample data for selected claimant characteristics to evaluate the statistical validity of the UI paid claims and denials samples. These aggregated data are written to the sfsum.dat file and is downloaded to the UI Sun computer either electronically or by tape. The file will be stored in /opt/bqc/data/tmp/sfsum.dat on the Sun computer. Software provided by the Department will store the aggregated data in the UI database. The Department will pick up this data for storage on the National Office UI database.

This file will include the following information:

- 1) The total size of the UI paid claims or denials population file from which the sample was selected.
- 2) The skip interval (K) calculated.
- 3) The random start number provided by the Department and specified in the input control record.
- 4) The sequence number of the first sampled case.
- 5) Aggregate sample and population data for gender, ethnic group, age, and program. For UI paid claims, aggregate sample and population data for the amount paid to the claimant and the sample and population variances for the amount paid will also be produced.

File Format. The sfsum.dat file consists of four records of three 80-character lines, which are summarized in the following table. Position 80 of each line is coded with a line feed. The first record in the file is for UI paid claims, followed in order by records for monetary, separation, and nonmonetary-nonseparation denials. The data elements and formats for sfsum.dat records are provided in Attachment C.

UI BAM Population Edit and Sample Selection COBOL Program Specifications and Installation

Installation of the COBOL Programs

The BAM denials COBOL software consists of two source code files: the edit program and the sampling program. The source program code is written in ASCII. Transfer the COBOL program source code files from the UI Sun computer to your State mainframe computer system or network.

The two programs must be compiled separately and given names consistent with the naming conventions at your State's ADP site. The programs have been compiled and tested under both IBM OS/VS COBOL and COBOL II. If the program code will be compiled using a different compiler, the source code may need to be modified to conform to your local ADP environment. After compiling the COBOL program source code, permanently store the executable (object code) files in a program library or partition on your State's ADP system where it can be run on a routine basis.

In the redesign of the COBOL program all internal COBOL sorts have been replaced with SORT utility steps that run before the edit program. Sample JCL for executing the programs on IBM compatible systems is provided at the end of this section.

The main processing steps are as follows:

1. Using programs specific to your ADP site, create the weekly file of UI benefit payments in the new format, as described in section 2 of this documentation.
2. Using a sort control statement similar to the one in step 010 in the sample JCL, sort the UI payment transactions by total amount paid and by SSN.
3. Using programs specific to your site, create a transactions file for the three types of denials: monetary, separation and nonmonetary-nonseparation.
4. Using a sort control statement similar to the one in step 020 in the sample JCL, sort the denials transactions by TRANTYPE, TRANYYYY, TRANMMDD, and SSN.
5. Concatenate the UI payment and denial files (step 030).
6. Execute the edit program to create the sampling frame and error report (step 040).
7. Execute the sampling program to create the HITFILE (sample cases) and SFSUM files (step 050).

8. Using programs specific to your ADP site, create the rec1.dat file in the new format, as described in section 5 and Attachment B of this documentation.

COBOL Program Files

1. Input Files

a. UI Transactions File

This file contains all the weekly UI transactions records, which contain data extracted from the SESA mainframe database.

record order:

UI paid claims (Transaction Type 1): amount paid, offset, intercepted, withheld or deducted (item 21 in UI transactions record) and social security number (item 3), in ascending order;

Monetary, separation, and nonmonetary-nonseparation denials (Transaction Types 2, 3, and 4): transaction date (item 5 in UI transactions record) and social security number (item 3), in ascending order.

access mode:

sequential

record length:

80 bytes

retention:

save on tape or disk for 120 days

b. Control Record

This file contains a single record which provides control information for each weekly run (for example, random number, number of records to be sampled each week, batch number, etc.). Certain data in the record must be changed each week (batch #, random #, and dates).

access mode:

single record

record length:

80 bytes

retention:

none

2. Output Files and Reports

a. **Error Listing**

This report consists of records in the UI transactions file for which the COBOL program has identified data range, format, or relational errors. The report should be reviewed to correct data value or format problems.

b. **Sampling Frame of UI Transactions**

This file contains all records meeting the edit criteria for inclusion in the UI paid claims, monetary denials, separation denials, and nonmonetary-nonseparation denials sampling frames.

record order:
Same as UI Transactions File
access mode:
 sequential
record length:
 80 bytes
output media:
 disk or tape
retention:
 none

c. **HITFILE**

This file contains the records selected for the four BAM samples: UI paid claims and monetary, separation, and nonmonetary-nonseparation denials. Record format is the same as the UI transactions file. The HITFILE is used to extract data from the State's UI database to create the rec1.dat file, which is downloaded to BAM tables in the UI database on the Sun computer.

record order:
Same as sampling frame and transactions file
access mode:
 sequential
record length:
 80 bytes
output media:
 disk or tape

retention:
 optional

d. sfsun.dat

This file contains aggregate sample and population data for the four types of UI transactions included in BAM: UI paid claims and monetary, separation, and nonmonetary-nonseparation denials. The data consists of selected characteristics which are used to weight the BAM data and conduct statistical tests of sample validity. Data in this file is downloaded to the b_comparison table in the UI database on the Sun computer.

access mode:
 sequential
 record length:
 80 bytes (3 lines per record)
 output media:
 disk or tape
 retention: retain hard copy SFSUM report for 120 days; data in the b_comparison and b_dca_comparison tables in the UI database are permanently retained on disk or archived.

Sample Job Control Language

```

//* * * * *
//* SAMPLE JCL TO SORT 'ALLOW' AND 'DENY' TRANSACTIONS AND RUN
//* THE EDIT AND SAMPLE PROGRAMS.
//* STEP010 - SORT UC TRANS BY TOTAL PAID, SSN
//* STEP020 - SORT DENIAL TRANS BY TRANTYPE, TRANYYYY, TRANMMDD, /*
AND SSN
//* STEP030 - CONCATENATE THE TWO FILES (TRANTYPES 1,2,3,4)
//* STEP040 - EDIT THE CONTROL AND TRANSACTION FILES
//* STEP050 - CREATE HITS AND SFSUM FILES
//* * * * *
//STEP010 EXEC PGM=SORT
//SORTIN DD DSN=YOUR.INITIAL.CLAIMS.TRANSACTIONS,
//    DISP=(OLD,DELETE,KEEP)
//    DD DSN=YOUR.CONTINUED.CLAIMS.TRANSACTIONS,
//    DISP=(OLD,DELETE,KEEP)
//SORTOUT DD DSN=YOUR.SORTED.TYPE1.TRANSACTIONS,
//    UNIT=STORAGE,MGMTCLAS=IMSTD,
//    DISP=(NEW,CATLG,DELETE),AVGREC=K,
//    DCB=(LRECL=80,RECFM=FB),
    
```

ET HANDBOOK NO. 395

```
//      SPACE=(80,(50,20),RLSE)
//SYSOUT DD SYSOUT=*
//SYSIN  DD *
      SORT FIELDS=(69,3,CH,A,9,9,CH,A)
/*
//STEP020 EXEC PGM=SORT
//SORTIN DD
DSN=YOUR.UNSORTED.DENIALS.TRANS,DISP=(OLD,DELETE,KEEP)
//SORTOUT DD DSN=YOUR.SORTED.DENIALS.TRANS,
//      UNIT=STORAGE,MGMTCLAS=IMSTD,
//      DISP=(NEW,CATLG,DELETE),AVGREC=K,
//      DCB=(LRECL=80,RECFM=FB),
//      SPACE=(80,(30,10),RLSE)
//SYSOUT DD SYSOUT=*
//SYSIN  DD *
      SORT FIELDS=(35,1,CH,A,30,4,CH,A,26,4,CH,A,9,9,CH,A)
/*
//STEP030 EXEC PGM=IEBGENER
//SYSUT1 DD DSN=YOUR.SORTED.TYPE1.TRANSACTIONS,
//      DISP=(OLD,DELETE,KEEP)
//      DD DSN=YOUR.SORTED.DENIALS.TRANS,DISP=(OLD,DELETE,KEEP)
//SYSUT2 DD DSN=YOUR.UNEDITED.TRANSACTION.FILE,
//      UNIT=STORAGE,MGMTCLAS=IMSTD,
//      DISP=(NEW,CATLG,DELETE),AVGREC=K,
//      DCB=(LRECL=80,RECFM=FB),
//      SPACE=(80,(30,10),RLSE)
//SYSPRINT DD SYSOUT=*
//SYSIN  DD DUMMY
/*
//STEP040 EXEC PGM=?????? /*YOUR NAME FOR THE EDIT PROGRAM*/
//INCNTRL DD DSN=YOUR.NAME.FOR.THE.CONTROL.FILE,DISP=SHR
//INTRAN  DD
DSN=YOUR.UNEDITED.TRANSACTION.FILE,DISP=(OLD,DELETE,KEEP)
//OTTRAN  DD DSN=YOUR.NAME.FOR.THE.SAMPLE.FRAME,
//      MGMTCLAS=IMSHORT,STORCLAS=ISFAST,
//      DISP=(NEW,CATLG,DELETE),AVGREC=K,
//      DCB=(RECFM=FB,LRECL=80),
//      SPACE=(80,(100,100),RLSE)
//OTERROR DD SYSOUT=*,
//      DCB=(RECFM=FBA,LRECL=81)
//SYSOUT  DD SYSOUT=*
//SYSABEND DD SYSOUT=*
//SYSUDUMP DD SYSOUT=*
```

ET HANDBOOK NO. 395

```
//SYSABOUT DD SYSOUT=*
//SYSDBOUT DD SYSOUT=*
//*
//STEP050 EXEC PGM=?????? /*YOUR NAME FOR THE SAMPLING PGM*/
//INCNTRL DD DSN=YOUR.NAME.FOR.THE.CONTROL.FILE,
//      DISP=SHR
//INTRANS DD DSN=YOUR.NAME.FOR.THE.SAMPLE.FRAME,
//      DISP=(OLD,DELETE,KEEP)
//OTPRINT DD SYSOUT=*,
//      DCB=(RECFM=FBA,LRECL=133)
//OTSAMPL DD DSN=YOUR.NAME.FOR.THE.HITS.FILE,
//      DISP=(NEW,CATLG,DELETE),
//      SPACE=(80,(5,2),RLSE),AVGREC=K,
//      DCB=(RECFM=FB,LRECL=80)
//OTSFSUM DD DSN=YOUR.NAME.FOR.THE.SFSUM.FILE,
//      DISP=(NEW,CATLG,DELETE),
//      SPACE=(80,(5,2),RLSE),AVGREC=K,
//      DCB=(RECFM=FB,LRECL=80)
//SYSOUT DD SYSOUT=*
//SYSABEND DD SYSOUT=*
//SYSUDUMP DD SYSOUT=*
//SYSABOUT DD SYSOUT=*
//SYSDBOUT DD SYSOUT=*
//*
```

Record Format for rec1.dat File

<u>Item #</u>	<u>Field Name</u>	<u>Size</u>	<u>Positions</u>	<u>Formats/Codes</u> ¹
1	Social Security #	9	1-9	9-digit SSN (State use only)
2	State ID	2	10-11	2-digit FIPS Code
3	Batch Number	6	12-17	YYYYWW
4	Claim Date (Week Ending or Effective Date)	8	18-25	MMDDYYYY
5	Local Office Number	4	26-29	SESA assigned #
6	U.S. Citizen	1	30	1 to 3 or Blank
7	Education	2	31-32	00 to 12, 14 to 16, 20 or Blank

¹ Unless otherwise noted, refer to Chapter IV for paid claims and Chapter VIII for denied claims for data element codes.

ET HANDBOOK NO. 395

- 8 Voc/Tech Training
 1 33
1 to 3 or Blank
- 9 In Training
 2 34-35
00, 11 to 14, 21 to 24, or Blank
- 10² Occupation Code
 3 36-38
3-digit major and minor
(Last Employer)
 SOC/O*NET code or Blank

² Required for UI paid claims cases only; leave blank for denials cases.

ET HANDBOOK NO. 395

<u>Item #</u>	<u>Field Name</u>	<u>Size</u>	<u>Positions</u>	<u>Formats/Codes¹</u>
11	Date of Birth	8	39-46	MMDDYYYY or Blank
12	Gender	1	47	1, 2 or Blank
13	Ethnic Classification	1	48	1 to 5 or Blank
14	Program Code	1	49	1 to 8 or Blank
15	Combined Wage	1	50	1 to 6 or Blank
16	Benefit Yr. Beginning	8	51-58	MMDDYYYY or Blank
17	Initial Claim Filing Method	1	591 to 5	or Blank
18 ²	# Prior Nonsep Issues	2	60-61	2 digits or Blank
19 ²	# Prior Nonsep Issues	2	62-63	2 digits or

¹ Unless otherwise noted, refer to Chapter IV for paid claims and Chapter VIII for denied claims for data element codes.

² Required for UI paid claims cases only; leave blank for denials cases.

ET HANDBOOK NO. 395

(Disqualifying)

Blank

20 Reason for Separation
2 64-65 10 to 69 or
(Before Investigation)
Blank

21 Date of Separation
8 66-73
MMDDYYYY or
(Before Investigation)
Blank

22 Recall Status
1 74
0, 1, 2 or
(Before Investigation)
Blank

ET HANDBOOK NO. 395

<u>Item #</u>	<u>Field Name</u>	<u>Size</u>	<u>Positions</u>	<u>Formats/Codes¹</u>
23	NAICS Last Employer	4	75-78	4-digit industry group NAICS code or Blank
24	# Base Period Employers (Before Investigation)	2	79-80	2 digits or Blank
25	Base Period Wages (Before Investigation)	6	81-86	6 digits (whole dollars) or Blank
26	NAICS Primary Base Period Employer	4	87-90	4-digit industry group NAICS code or Blank
27	High Quarter Wages (Before Investigation)	5	91-95	5 digits (whole dollars) or Blank
28	# Weeks Worked in BP (Before Investigation)	3	96-98	3 digits or Blank
29	WBA (Before Invest.)	3	99-101	3 digits (whole

¹ Unless otherwise noted, refer to Chapter IV for paid claims and Chapter VIII for denied claims for data element codes.

ET HANDBOOK NO. 395

dollars) or Blank

- 30 MBA (Before Invest.)
5 102-1065 digits (whole

dollars) or Blank

- 31 Monetary Redeterm.
1 107 1, 2, or Blank
(Before Investigation)

- 32 Remaining Balance (after
5 108-1125 digits (whole
week paid or denial

dollars) or
determination)

Blank

ET HANDBOOK NO. 395

<u>Item #</u>	<u>Field Name</u>	<u>Size</u>	<u>Positions</u>	<u>Formats/Codes¹</u>
33	# Dependents Claimed	2		113-1142 digits, 00, (Before Investigation) or Blank
34	Dependents Allowance	3		115-1173 digits (whole (Before Investigation) dollars) or Blank
35 ²	First CWE Date	8		118-125 MMDDYYYY or Blank
36 ²	Date of First Pay't.	8		126-133MMDDYYYY or Blank
37 ²	KW Cert. Method	1	134	1 to 3 or Blank
38 ³	Week Claimed/Paid	1	135	1 to 5 or Blank
	Filing Method			

¹ Unless otherwise noted, refer to Chapter IV for paid claims and Chapter VIII for denied claims for data element codes.

² Required for UI paid claims cases only; leave blank for denials cases.

³ Required for UI paid claims cases and any denial decision when a week was claimed; leave blank for denial decisions if no week was claimed.

ET HANDBOOK NO. 395

- 39⁴ Amount Paid and/or
 3 136-1383 digits (whole
 Offset for KW

 dollars) or Blank
- 40 Total Earnings for KW
 3 139-1413 digits (whole
 (Before Investigation)
 dollars), 000, or Blank
- 41 Earnings Deduct. for KW
 3 142-1443 digits (whole
 (Before Investigation)
 dollars), 000, or Blank

⁴ Required for UI paid claims cases. For denials cases, leave blank if there is no payment associated with the denial determination week of issue. Otherwise, enter the amount paid, offset, intercepted, withheld or deducted for the denial determination week of issue.

ET HANDBOOK NO. 395

<u>Item #</u>	<u>Field Name</u>	<u>Size</u>	<u>Positions</u>	<u>Formats/Codes¹</u>
42	Other Deduct. Income for KW (Before Investigation)	3	145-1473	digits (whole dollars), 000, or Blank
43	Other Deduction for KW (Before Investigation)	3	148-1503	digits (whole dollars), 000, or Blank
44	Required to Seek Work	1	151	1 to 5 or Blank
45	JS Registration Req.	1	152	1, 2 or Blank
46	Actively/Currently Registered w/ JS	1	153	1, 2 or Blank
47	Reason JS Reg. Deferred	1	154	1 to 6 or Blank
48	# of JS Referrals	2	155-156	2 digits or Blank
49	Union Referral Status	1	157	0 to 3 or Blank

¹ Unless otherwise noted, refer to Chapter IV for paid claims and Chapter VIII for denied claims for data element codes.

ET HANDBOOK NO. 395

- 50⁵ Union Service
 1 158
0 to 3 or Blank
- 51⁵ Union Assistance
 1 159
1, 2 or Blank
 Requested
- 52⁵ Claimant Union Assisted
1 160 1, 2 or Blank
- 53⁵ Monetary Denial Reason
2 161-16200 thru 59 or blank
- 54⁵ Nonmonetary- 2 163-16400 thru 79 orblank
 Nonseparation Denial Reason

⁵ Data element added for denied claims.

ET HANDBOOK NO. 395

<u>Item #</u>	<u>Field</u>	
	<u>Name</u>	<u>Size Positions</u> <u>Formats/Codes</u> ¹
55 ⁵	Claim Type	1 1650 to 5
56 ⁵	Initial Determination Appealed ⁶	1 1660 to 3 or Blank
57 ⁵	Result of Initial Determination Appeal ⁶	1 1670 to 6 or Blank
58 ⁵	Sample Type	1 1681 to 4
59	Ethnicity	1 1690, 1 or Blank

¹ Unless otherwise noted, refer to Chapter IV for paid claims and Chapter VIII for denied claims for data element codes.

⁵ Data element added for denied claims.

⁶ Appeal status at time case was selected for sample; data element can be updated if status changes before case is closed.

Record Format for sfsun.dat File
(All Fields are Numeric)

<u>Item #</u>	<u>Name</u>	<u>Field</u>	<u>Size</u>
			<u>Positions</u>
1	Batch		
	6		1-6
2 ¹	Sample Type		
	7	1	
3	Sample Size		
	2		8-9
4	Population Size		
		6	
			10-15
5 ²	Random Start #		
		6	
			16-21
6 ³	Skip Interval		
	6		22-27

¹ The first record will be for UI paid claims (sample type = 1), followed by monetary denials (sample type = 2), separation denials (sample type = 3), and nonmonetary-nonseparation denials (sample type = 4).

² Reported with six digits, implied decimal (.xxxxxx).

³ Reported with one implied decimal (xxxxx.x).

ET HANDBOOK NO. 395

- 7 Initial Case Selected
 6
28-33
- 8 Sample - Male
 2
 34-35
- 9 Population - Male
 6
 36-41
- 10 Sample - Female
 2
 42-43
- 11 Population - Female
 6
44-49
- 12 Sample - Gender Missing
 2
50-51

ET HANDBOOK NO. 395

<u>Item #</u>	<u>Name</u>	<u>Field</u>	<u>Size</u>
	<u>Positions</u>		
13	Population - Gender Missing		6 52-57
14	Sample - White		2 58-59
15	Population - White		6 60-65
16	Sample - Non-white		2 66-67
17	Population - Non-white		6 68-73
18	Sample - Ethnic Missing		2 74-75
19	Population - Ethnic Missing		6 76-81
20	Sample - Age < 25		2 82-83
21	Population - Age < 25		6 84-89

ET HANDBOOK NO. 395

- 22 Sample - Age 25-34
 2
90-91
- 23 Population - Age 25-34
 6
92-97
- 24 Sample - Age 35-44
 2
98-99
- 25 Population - Age 35-44
 6
100-105
- 26 Sample - Age 45-64
 2
106-107
- 27 Population - Age 45-64
 6
108-113
- 28 Sample - Age 65+
 2
114-115
- 29 Population - Age 65+
 6
116-121
- 30 Sample - Age Missing
 2
122-123

ET HANDBOOK NO. 395

<u>Item #</u>	<u>Name</u>	<u>Field</u>	
		<u>Size</u>	<u>Positions</u>
31	Population - Age Missing	6	124-129
32 ⁴	Sample - UI Program	2	130-131
33 ⁴	Population - UI Program	6	132-137
34 ⁵	Sample - UCFE/UCX	2	138-139
35 ⁵	Population - UCFE/UCX	6	140-145
36	Sample - Program Missing	2	146-147
37	Population - Program Missing	6	148-153

⁴ UI program codes include regular UI, UI-UCFE, UI-UCX or UI-UCFE-UCX (program type codes 1, 2, 3, and 4 in the UI transactions file).

⁵ Program codes include UCFE and/or UCX only (program type codes 5, 6, and 7 in the UI transactions file).

ET HANDBOOK NO. 395

47 ⁶	Population - > \$200 Paid 6 188-193
48 ⁶	Sample - Amt. Paid Missing 2 194-195
49 ⁶	Population - Amt. Paid Missing 6 196-201
50 ⁶	Sample - Amount Paid 5 202-206
51 ⁶	Population - Amount Paid 9 207-215
52 ^{6,7}	Sample - Amt. Paid Variance 8216-223
53 ^{6,7}	Population - Amt. Paid Variance 8224-231

⁶ For the monetary, separation, and nonmonetary-nonseparation denials, this item will equal zero.

⁷ Reported with three implied decimal places (xxxxx.xxx).

CHAPTER IV

DATA COLLECTION

1. **Introduction**. Data from each case sampled for BAM is entered into an automated system. The data are obtained both from existing records and from case investigations. This chapter identifies the data elements collected for each case. Collectively, the data elements are referred to as the DCI (data collection instrument), and applies to the investigation of paid claims. The data collection instrument for denied claims is displayed in chapter VIII, attachment "A".

ET Handbook No. 400, Benefits Quality Control ADP User Guide, contains complete descriptions and instructions for the automated system. This chapter provides definitions for coding case information and data entry.

2. **Overview**

a. **Computer Record**. The data from BAM investigations are collected and arrayed in a computer record including the following parts (screens):

- Part B -- Claimant Information
- Part C -- Benefit Year Information
- Part D -- Separation Information
- Part ME - Monetary Eligibility Information
- Part F -- Benefit Payment History
- Part G -- Registration/Work Search Information

Note: There is no Part A; control information is covered in ET Handbook No. 400.

Note: "E" is the system command for Exit; therefore, "ME" is used to record monetary eligibility data.

The definitions for classifying the propriety of payments and closing cases, screens H and I, are covered in chapter V.

b. **Responsibility for Data Entry**. The SESA determines who will enter the data into the automated record (e.g., investigator, clerk, etc.). SESAs may find it advantageous to develop a method to organize the data prior to entry (i.e., coding sheet).

c. Features of the Data Entry System. Refer to ET Handbook No. 400, Benefits Quality Control ADP User Guide.

3. **Data Elements and Descriptions.** The balance of this chapter contains the data elements to be gathered and verified by the BAM investigator for each case. Although some elements may be downloaded from the mainframe computer to this record and others are assigned by the software, most data must be entered manually. For each data element, the following information is provided:

- Name: full name of data element
- Short Name: as abbreviated for printout
- Definition
- Codes available for data element

The definitions provide specific instructions for each data element. The following general instructions are applicable for data elements involving money. All coded entries must be in whole dollars, with the exception of hourly wages which require both dollars and cents. For those entries requiring whole dollars, SESAs that have formal policies regarding the rounding of dollars should follow those policies. Other SESAs should round to the nearest whole dollar, i.e., drop decimals of (4) or less; round up decimals of (5) or more.

PART B -- CLAIMANT INFORMATION

- (b1) Name: Primary Method by which Claimant BAM Information Obtained

Short Name: Method Info Obt

Definition: Enter the code which best describes the method by which the information contained on the claimant questionnaire was obtained.

1 = In-person interview
2 = Telephone interview
3 = Mail

PF1 (-1) = Not obtained

- (b2) Name: United States Citizenship

Short Name: Citizen

Definition: Enter applicable code after appropriate verifications.

1 = U.S. Citizen
2 = Alien eligible under 3304(a)(14)FUTA
3 = Alien ineligible under 3304(a)(14)FUTA

PF1 (-1) = Information not available

- (b3) Name: Education

Short Name: Education

Definition: Enter highest level of academic education completed after appropriate verifications.

0 = Never attended school
01 thru 11 = Highest grade completed
12 = High school graduate or GED
14 = Some college (but no degree)
15 = Associate's degree
16 = BA or BS Degree
20 = Graduate Degree (Masters, MD, PhD, JD, etc.)

ET HANDBOOK NO. 395

PF1 (-1) = Information not available

Note regarding this element and (b4): If the experience leads to a certificate it is to be considered vocational or technical (voc/tech) school training. If the individual gets a degree (diploma) it is considered "formal" education. If training is post high school and claimant indicates training is for a certificate, proceed to voc/tech question. If it does not lead to a degree it is to be considered voc/tech training.

(b4) Name: Vocational or Technical School Training

Short Name: Voc/Tech School

Definition: Enter applicable code after appropriate verification.

- 1 = Never attended
- 2 = Attended, but not certified
- 3 = Attended and received certificate

PF1 (-1) = Missing or information not available

(b5) Name: Training Status during Key Week

Short Name: In Training

Definition: Enter the applicable code after verification

0 = Not in training

UI Approved Training:
Not UI Approved Training:

- 11 = Tech./voc.
- 21 = Tech./voc.
- 12 = WIA
- 22 = WIA

ET HANDBOOK NO. 395

13 = Academic
23 = Academic
14 = Other
24 = Other

PF1 (-1) = Missing or information not available

(b6) Name: Occupational Code (Last job prior to most recent Initial/Additional Claim)

Short Name: Occ Code Last

Definition: Enter the first three digits of the SOC / O*NET code (major and minor occupation group level) for claimant's last job.

PF1 (-1) = Missing or information not available

(b7) Name: Occupational Code For Usual Job

Short Name: Occ Code Usual

Definition: Enter the first three digits of the SOC / O*NET code (major and minor occupation group level) for claimant's usual (primary) occupation.

PF1 (-1) = Missing or information not available

PF3 = Same as (b6) (Occupational Code for Last Job)

(b8) Name: Normal Hourly Wage, Usual Job

Short Name: Normal Hr Wage

Definition: Enter normal hourly wage for the claimant's primary occupation after appropriate verifications.

Express without decimal point in dollars and cents per hour. (e.g., \$5.00 per hour is coded as 500.)

ET HANDBOOK NO. 395

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, then divide by 40 or normal weekly hours for claimant's usual occupation.

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

PF1 (-1) = Missing or information not available

(b9) Name: Occupational Code (Seeking Work)

Short Name: Occ Code Seeking

Definition: Enter the first three digits of the SOC / O*NET code (major and minor occupation group level) for type of work that claimant is seeking.

PF1 (-1) = Information missing or not available

PF3 = Same as (b6) (Occupational Code for Last Job)

(b10) Name: Lowest Acceptable Hourly Wage

Short Name: Lowest Hr Wage

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

Express without decimal point in dollars and cents per hour.

If no State formula, use appropriate formula provided below:

Weekly wages - divided by 40 or normal weekly hours for the occupation claimant is seeking.

Monthly wages- divide by 4.33, then divide by 40 or normal weekly hours for the occupation claimant is seeking.

Yearly wages - divide by 52, then divide by 40 or normal weekly hours for the occupation claimant is seeking.

ET HANDBOOK NO. 395

PF1 (-1) = Missing or information not available

(b11) Name: Date of Birth

Short Name: Birth Date

Definition: Enter Date of Birth (MM/DD/YYYY). If month of birth is not available, code "MM" as 06. If day of birth is not available, code "DD" as 01.

PF1 (-1) = date unknown or missing.

(b12) Name: Sex

Short Name: Sex

Definition: Enter appropriate code.

1 = Male
2 = Female

PF1 (-1) = Not available from any source

(b13) Name: Ethnicity and Race Classification Code

Short Name: Race-Ethnic

This is a two-position data element

Definition: Enter appropriate ethnic code in the first position.

0 = Not Hispanic or Latino
1 = Hispanic or Latino
9 = Ethnicity Unknown

Definition: Enter appropriate race code in the second position.

1 = White
2 = Black or African American
3 = Asian

ET HANDBOOK NO. 395

4 = American Indian or Alaska Native

5 = Native Hawaiian or Other Pacific Islander

6 = Multiple Categories Selected

9 = Race Unknown

PART C -- BENEFIT YEAR INFORMATION

(c1) Name: Program Code

Short Name: Program

Definition: Enter the code that identifies the type of claim that was taken:

- 1 = UI
- 2 = UI-UCFE
- 3 = UI-UCX
- 4 = UI-UCFE-UCX
- 5 = UCFE
- 6 = UCFE-UCX
- 7 = UCX
- 8 = EUC

Code Interstate claims in one of the above categories

(c2) Name: Combined Wage Claim

Short Name: CW Claim

Definition: Enter code which applied at the time the Key Week payment was made.

- 1 = Yes
- 2 = No
- 3 = Pending

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 if claimant declined to combine wages.

Use code 3 if out-of-state wages had been requested but not received or acted upon at the time that the Key Week payment was made.

(c3) Name: Benefit Year Beginning

Short Name: Ben Year Beg

Definition: Enter effective date of most recent new or transitional claim, not reopened or additional (MM/DD/YYYY).

(c4) Name: Initial Claim Filing Method

Short Name: Init Clm File

Definition: Enter filing method for the most recent new, additional, or transitional claim.

- 1 = In-Person Claim
- 2 = Mail Claim (including e-mail)
- 3 = Telephone Claim (including automated, interactive telephone systems)
- 4 = Employer Filed Claim
- 5 = Other (including Internet, fax, or electronic other than e-mail)

PF1 (-1) = Missing or information not available

(c5) Name: Benefit Rights Given

Short Name: BRI

Definition: Enter all codes that apply regarding method by which claimant was given Benefit Rights Interview.

- 0 = Not Given
- 1 = In-person (individual) Interview
- 2 = Group Interview
- 3 = Booklet/Pamphlet
- 4 = Video/Other Multimedia

PF1 (-1) = Missing or information not available

(c6) Name: Number of Eligibility Review Program Interviews (ERPs) Held, Current Benefit Year

Short Name: ERPs

Definition: Enter number of ERPs (1-9) held during the claimant's current benefit year up to and including the Key Week. If more than 9 were held, enter 9.

- 0 = Claimant should have had ERP but did not

PF1 (-1) = Missing or information not available

ET HANDBOOK NO. 395

PF2 (-2) = Not applicable (claimant not required

to have ERP or first ERP scheduled after the KW)

(c7) Name: Last ERP Date

Short Name: Last ERP

Definition: Enter date (MM/DD/YYYY) of claimant's most recent ERP up to and including Key Week.

PF1 (-1) = Missing or information not available

PF2 (-2) = Not applicable

(c8) Name: Number of Prior Nonseparation Determinations Made

Short Name: Prior Nonsep Issues

Definition: Enter number of prior nonseparation issues disposed of in current benefit year through the Key Week. This includes both formal and informal determinations meeting workload validation criteria made during this period.

Exclude issues detected by the BAM process.

0 = None

(c9) Name: Number of Prior Disqualifications for Nonseparation Issues

Short Name: Prior Nonsep Disq

Definition: Enter number of prior disqualifications which resulted from nonseparation issues identified in (c8).

Exclude denials reversed by appeal if the decision was issued before the Key Week ending date. All other reversals should also be excluded, including those reversed at the Local Office or other levels, which may occur prior to the official appeal.

0 = None

PART D -- SEPARATION INFORMATION

(d1) Name: Reason for Separation Before Investigation

Short Name: Reason Sep Before

Definition: Enter the code that identifies the reason the claimant was separated from the last job up to and including the Key Week. The separation to be coded is that separation which precedes the period of unemployment (new/additional claim) in which the Key Week occurred. This element reflects the information contained in the agency records.

- 10 = Lack of Work (e.g., RIF, temporary lay off)
- 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.

(d2) Name: Reason for Separation After Investigation

Short Name: Reason Sep After

Definition: Enter the code that correctly identifies why the claimant was separated from the job that preceded the period of unemployment in which the Key Week occurred. The separation to be coded is the most recent employment that affects the claimant's eligibility for benefits. This information may reflect an employer other than the one identified in D1.

PF3 = Same as (d1) (Reason for Separation Before Investigation)

- 10 = Lack of Work (e.g., RIF, temporary lay off)
- 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 could be identified.

(d3) Name: Date of Separation Before Investigation

Short Name: Date Sep Before

Definition: Enter date of separation as defined by State law/policy, from last employer used to determine code assigned in (D1). (MM/DD/YYYY).

If the claimant has not been separated, i.e., (d1) was coded 60-69, enter the last day worked prior to establishment of the most recent new/additional claim prior to the Key Week.

(d4) Name: Date of Separation After Investigation

Short Name: Date Sep After

Definition: Enter the date of separation as defined by State law/policy, from last employer after investigation as identified in (d2).

If the claimant has not been separated, i.e., (d2) was coded 60-69, enter the last day worked prior to establishment of the most recent new/additional claim prior to the Key Week.

PF1 (-1) = Missing or information not available

PF3 = Same as (d2)

(d5) Name: Recall Status Before Investigation

Short Name: Recall Stat Before

Definition: Enter code which indicates claimant's recall status for the Key Week.

0 = No recall

1 = Definite recall (specific return date)

2 = Indefinite recall (no specific return date)

PF1 (-1) = Missing or information not available

PF2 (-2) = Not applicable (e.g., partial)

(d6) Name: Recall Status After Investigation

Short Name: Recall Stat After

ET HANDBOOK NO. 395

Definition: Enter correct recall status code as of Key Week.

0 = No recall

1 = Definite recall (specific return date)

2 = Indefinite recall (no specific return date)

PF1 (-1) = Missing or information not available

PF2 (-2) = Not applicable (e.g., partial)

PF3 = Same as (d5)

(d7) Name: Tax Rate for Last Employer

Short Name: Tax Rate Last Emp

Definition: Enter last employer's UI tax rate at the time of filing for the most recent new or additional claim.

Round to nearest hundredth of a percent (e.g., 14.92% should be entered as 1492; 3.6% should be entered as 360; 7.478% should be entered as 748).

Enter 9999 if employer reimburses fund. (Decimal field will display "99.99".)

Enter PF1 (-1) if non-subject employing unit or information is not available.

(d8) Name: Industry Code (Last Employer)

Short Name: Ind Code Last Emp

Definition: Enter first four digits (industry group level) of NAICS code for the claimant's last employer as identified in (D2). If only a two-digit NAICS sector level is available on the State's computer system, enter the two digits followed by two zeros. For example, if the only industry code available is 17, enter 1700.

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

PART E -- MONETARY ELIGIBILITY

(e1) Name: Number of Base Period Employers Before Investigation

Short Name: BP Emps Before

Definition: Enter number of subject base period employers, before investigation. Include seasonal, school, and out-of-state employers if they paid wages which were used in the monetary determination from which the Key Week payment was made.

(e2) Name: Number of Base Period Employers After Investigation

Short Name: BP Emps After

Definition: Enter number of subject base period employers after investigation.

0 = no base period employers as a result of the investigation (monetarily ineligible).

PF3 = no change from the number of base period employers before investigation (e1).

(e3) Name: Base Period Wages Before Investigation

Short Name: BP Wages Before

Definition: Enter total amount of all base period wages from subject employers. Express in whole dollars.

(e4) Name: Base Period Wages After Investigation

Short Name: BP Wages After

Definition: Enter total amount of all base period wages from subject employers. Express in whole dollars.

ET HANDBOOK NO. 395

PF3 = Same as (e3) (Base Period Wages Before Investigation)

Must be zero (0) if (e2) is zero.

(e5) Name: High Quarter Wages Before Investigation

Short Name: High Qtr Wages Before

Definition: Enter whole dollar amount of claimant's high quarter(s) base period wages (after investigation) used to establish weekly benefit amount (WBA).

Include seasonal wages and school wages, if used.

Enter 99999 if greater than \$99999.

Enter PF2 (-2) if not applicable and/or not in State records.

(e6) Name: High Quarter Wages After Investigation

Short Name: High Qtr Wages After

Definition: Enter whole dollar amount of claimant's high quarter(s) base period wages (after investigation) used to establish weekly benefit amount (WBA).

Enter 99999 if greater than \$99999.

PF3 = Same as (e5) (High Quarter Wages Before Investigation)

Enter zero (0) if (e2) is zero.

PF2 (-2) = Not applicable AND not obtained by the investigation.

(e7) Name: Number of Weeks Worked in Base Period Before Investigation

Short Name: Wks Worked Before

ET HANDBOOK NO. 395

Definition: Enter number of actual weeks, as defined by State law and procedures, that the claimant worked in base period prior to the investigation.

Complete this item if required by State law for computing monetary eligibility.

PF2 (-2) = Weeks of work not required.

(e8) Name: Number of Weeks Worked in Base Period After Investigation

Short Name: Wks Worked After

Definition: Enter number of actual weeks, as defined by State law and procedures, claimant worked in base period after investigation. Complete this item if required by State law for computing monetary eligibility.

PF3 = Same as (e7) (Number of Weeks Worked in Base Period Before Investigation)

PF2 (-2) = Weeks of work are not required

Must be zero (0) if (e2) is zero.

(e9) Name: Weekly Benefit Amount (WBA) Before Investigation

Short Name: WBA Before

Definition: Enter claimant's maximum WBA for the Key Week, based on the monetary determination from which the original Key Week payment was made. Express in whole dollars.

Disregard dependents' allowances, pension deductions, or Key Week earnings (if any).

Do not use adjusted WBA based on monetary redetermination made as a result of nonmonetary issues (i.e., a separation issue or administrative penalty).

(e10) Name: Weekly Benefit Amount (WBA) After Investigation

ET HANDBOOK NO. 395

Short Name: WBA After

Definition: Enter claimant's correct maximum WBA based on the monetary determination which should have applied at the time original Key Week payment was made. Express in whole dollars.

Disregard dependents' allowances, pension deductions, or Key Week earnings (if any).

Disregard WBA resulting from a monetary redetermination caused by nonmonetary issues (i.e., a separation issue or administrative penalty).

PF3 = Same as (e9) (Weekly Benefit Amount Before Investigation)

Must be zero (0) if (e2) is zero.

(e11) Name: Maximum Benefit Amount (MBA) Before Investigation

Short Name: MBA Before

Definition: Enter maximum benefit amount, based on monetary determination from which original Key Week payment was made. Express in whole dollars.

Do not use adjusted MBA based on monetary redetermination made as a result of nonmonetary issues (i.e., a separation issue or administrative penalty).

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

(e12) Name: Maximum Benefit Amount (MBA) After Investigation

Short Name: MBA After

Definition: Enter maximum benefit amount based on the monetary determination which should have applied to Key Week at the time that the original payment for Key Week was made. Express in whole dollars.

ET HANDBOOK NO. 395

Disregard MBA resulting from a monetary redetermination caused by nonmonetary issues (i.e., a separation issue or administrative penalty).

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

Must be zero (0) if (e2) is zero.

Enter PF3 if the MBA in (e11) did not change after BAM investigation.

(e13) Name: Number of Dependents Claimed Before Investigation

Short Name: Depend Before

Definition: Enter the number of dependents claimed.

Enter zero (0) if none and State has a dependency provision.

Enter PF2 (-2) if State does not have a dependency provision.

(e14) Name: Number of Dependents Claimed After Investigation

Short Name: Depend After

Definition: Enter the correct number of dependents that should be claimed.

Enter zero (0) if none and State has a dependency provision.

PF3 = Same as (e13) (Number of Dependents Claimed Before Investigation)

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

(e15) Name: Dependents' Allowance Before Investigation

Short Name: Depend Allow Before

ET HANDBOOK NO. 395

Definition: Enter the whole dollar amount of dependents' allowance before investigation, if any, that was paid to the claimant for the Key Week.

Enter zero (0) if claimant is not eligible for allowance and State has a dependency provision.

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

(e16) Name: Dependents' Allowance After Investigation

Short Name: Depend Allow After

Definition: Enter the correct whole dollar amount of dependents' allowance that should have been paid to the claimant during the Key Week.

Enter zero (0) if claimant not eligible for allowance and State has a dependency provision.

PF3 = Same as (e15) (Dependents' Allowance Before Investigation)

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

(e17) Name: Industry Code (Primary Base Period Employer)

Short Name: Ind Code Primary Emp

Definition: Enter first four digits (Industry group level) of NAICS code for claimant's primary base period employer from whom the most wages were earned.

If only two digit major group is available on the State's computer system, enter the two digits followed by two zeros. For example, if the only industry code available is 17, enter 1700.

PF1 (-1) = Information missing or not available

(e18) Name: Monetary Redetermination Before Investigation

Short Name: Mon Redet Before

ET HANDBOOK NO. 395

Definition: Enter appropriate code which indicates if SESA redetermined claimant's monetary eligibility prior to Key Week payment date.

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

1 = Yes

2 = No

(e19) Name: Remaining Balance (RB) as of KW Ending Date

Short Name: Remaining Bal

Definition: Enter remaining balance of claimant's benefits at the time the Key Week was claimed even though it was paid at a later date.

Deduct amount of Key Week payment regardless of date paid when computing remaining balance.

Exclude amounts for dependency allowances.

0 = balance is exhausted

EXAMPLE: Week 01 is Key Week. MBA is \$2600 and WBA is \$100. Key Week was paid the week after week 02 was paid. The SESA record will indicate a balance of \$2400 based on the Key Week payment date. However, for BAM purposes, the remaining balance is \$2500 since payments are arrayed chronologically by compensable week ending date.

COMPUTE REMAINING BALANCE AS FOLLOWS:

Array payments in chronological order by compensable week ending date.

Sum dollar amount of all weeks paid including Key Week.

Deduct this amount from Maximum Benefit Amount.
Result is remaining balance.

PART F -- BENEFIT PAYMENT HISTORY

(f1) Name: Total Earnings for Key Week Before Investigation

Short Name: KW Earnings Before

Definition: 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.

Enter 999 if \$999 or more.

Enter zero (0) if none.

(f2) Name: Total Earnings for Key Week After Investigation

Short Name: KW Earnings After

Definition: 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.

Enter 999 if \$999 or more.

PF3 = Same as (f1) (Total Earnings for Key Week Before Investigation)

Enter zero (0) if none.

(f3) Name: Earnings Deduction for Key Week Before Investigation

Short Name: Earn Deduct Before

Definition: 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.

ET HANDBOOK NO. 395

This amount may be less than amount reported on the certification by claimant because of earnings disregarded by law in computation of amount deducted.

Enter zero (0) if no earnings deduction.

(f4) Name: Earnings Deduction for Key Week After Investigation

Short Name: Earn Deduct After

Definition: Enter whole dollar amount that should have been deducted from WBA because of earnings.

Do NOT include other deductible income such as pensions, holiday pay, vacation pay, pay in lieu of notice, separation pay, etc.

Enter zero (0) if no earnings deduction.

PF3 = Same as (f3) (Earnings Deduction for Key Week Before Investigation)

(f5) Name: Total Other Deductible Income for KW Before Investigation

Short Name: Other Income Before

Definition: Enter total whole dollar amount of other income (deductible under state law) received (or prorated) before the provisions of State law are applied to deduct it from benefits paid.

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.

Enter zero (0) if none.

(f6) Name: Total Other Deductible Income for KW After Investigation

Short Name: Other Income After

ET HANDBOOK NO. 395

Definition: Enter total whole dollar amount of other income (deductible under state law) received (or prorated) before the provisions of State law are applied to deduct it from benefits paid. 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.

PF3 = Same as (f5) (Total Other Deductible Income for KW Before Investigation)

(f7) Name: Other Income Deductions for Key Week Before Investigation

Short Name: Other Deduct Before

Definitions: 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.

Enter zero (0) if no other income deduction.

(f8) Name: Other Income Deductions for Key Week After Investigation

Short Name: Other Deduct After

Definition: Enter whole dollar amount that should have been deducted from WBA for the Key Week due to a pension, holiday pay, vacation pay, pay in lieu of notice, separation pay, etc.

Enter zero (0) if no other income deduction.

PF3 = Same as (f7) (Other Income Deductions for Key Week Before Investigation)

(f9) Name: First Compensated Week Ending Date

Short Name: First CWE Date

Definition: Enter Week Ending Date (MM/DD/YYYY) of first week compensated (paid/offset, totally or partially) in the benefit year as defined for the Claims and Payment Activities Report (ETA 5-159, Part B).

ET HANDBOOK NO. 395

Note: This is not necessarily the first compensable week as used for computation of time lapse, i.e., the definition in Part B includes part-total and partial compensation which are included in the BAM population, but generally excluded from Part C which is used for time lapse.

(f10) Name: Date of First Payment

Short Name: Date First Pay

Definition: Enter date payment was made (or offset applied) for the first compensated week identified in F9. (MM/DD/YYYY)

(f11) Name: Key Week Filing Method

Short Name: KW File Meth

Definition: Enter filing method for Key Week claim.

- 1 = Mail Claim
- 2 = In-person Claim
- 3 = Employer filed (i.e., partial)
- 4 = Telephone
- 5 = Other (i.e. electronic)
- PF1 (-1) = Missing or information not available

(f12) Name: Key Week Certification Procedure

Short Name: KW Cert

Definition: Enter appropriate code.

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

(f13) Name: Original Amount Paid and/or Offset for Key Week

Short Name: Orig Amt Pd

ET HANDBOOK NO. 395

Definition: Enter original whole dollar amount paid. Include in this amount dependent allowance and child support intercepted, (if any), Federal, State and/or local income tax withholding, and the recovery of over-issuances of food stamp coupons for Key Week. Code \$98.00 as 98 without a leading zero.

PART G -- JS REGISTRATION/WORK SEARCH

(g1) Name: Work Search Requirements

Short Name: WS Requirements

Definition: Enter the appropriate code which applied at the time eligibility for the Key Week was determined.

1 = Required to actively seek work (in addition to union contact if applicable)

2 = An agency directive (written or verbal) temporarily 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.)

PF2 (-2) = No active work search policy

(g2) Name: Job Service Registration Required for the KW

Short Name: JS Req

Definition: Enter the appropriate code which applies to the Key Week according to law and policy.

1 = Yes

2 = No

Use code 2 only if the State does not require registration OR there is 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.

(g3) Name: Actively/Currently Registered with Job Service as of KW

ET HANDBOOK NO. 395

Short Name: Act/Cur Regist

Definition: Enter the appropriate code which applies to the Key Week.

1 = Yes

2 = No

State written law, policy, and procedures govern whether claimants are required to be registered with the Job Service and what constitutes registration. BAM coding should be consistent with such law, policy, and procedures.

PF1 (m) = Information is missing or not available.

(g4) Name: Reason JS Registration Deferred

Short Name: JS Defer

Definition: Enter appropriate code.

1 = Union member

2 = Job attached

3 = Partial

4 = Seasonal

5 = Approved training

6 = Other

PF2 (-2) = claimant not deferred

(g5) Name: Number of Job Service Referrals

Short Name: JS Refers

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

Enter zero 0 if no referrals while registered in CBY.

PF1 (-1) = Information missing or not available.

PF2 (-2) = Claimant not registered during CBY.

(g6) Name: Registered with Private Employment Agency

Short Name: Regis Priv Agency

ET HANDBOOK NO. 395

Definition: Enter code which applied as of the Key Week.

- 1 = registered with private agency
- 2 = not registered with private agency

PF1 (-1) = Information missing or not available.

(g7) Name: Number of Private Employment Agency Referrals

Short Name: Priv Agency Refers

Definition: Enter number of times the claimant was referred for employment by a Private Employment Agency during Key Week.

Enter zero (0) if registered but not referred.

PF1 (-1) = Information missing or not available.

PF2 (-2) = Claimant not registered.

(g8) Name: Union Referral Status

Short Name: Union Status

Definition: Enter appropriate code which applies to the Key Week after appropriate verification.

- 0 = Claimant NOT a member of a union.
- 1 = Claimant is a member of a union with a hiring hall and was eligible to be referred by the union during the Key Week.
- 2 = Claimant is a member of a union with a hiring hall but was not eligible for union referral during the Key Week.
- 3 = Claimant is a member of a non-hiring-hall union.

PF1 (-1) = Missing or not available

(g9) Name: Number of Union Referrals for the Key Week

Short Name: Union Refers

ET HANDBOOK NO. 395

Definition: Enter number of times that a union with a hiring hall referred claimant for employment during the Key Week. All such referrals should be verified. Do not include referrals associated with a non-hiring-hall union; however, contacts resulting from such referrals may be included in (g10).

PF1 (-1) = Information Not Available, or (g8) coded PF1.

PF2 (-2) = Not Applicable, or (g8) is code 0, 2, or 3.

(g10) Name: Number of Job Contacts Listed for KW

Short Name: KW Contacts

Definition: Enter number of all Key Week job contacts indicated from any source. Note: If claimant sought work in Key Week although not required to do so, enter number of contacts and make appropriate verifications.

Enter zero (0) if no contacts were indicated.

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

Enter PF2 (-2) if not required to and did not seek work. Cannot be PF2
(-2) if (g1) equals code 1.

(g11) Name: Number of Job Contacts Made Prior to Key Week but used to Satisfy Work Search Requirements for KW

Short Name: Prior KW Contacts

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

Enter PF2 (-2) if State does not allow contacts outside the KW to satisfy work search requirements.

Enter zero (0) if no contacts were indicated or KW contacts were sufficient to meet the requirements.

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

ET HANDBOOK NO. 395

(g12) Name: Number of Work Search Contacts Investigated for Key
Week Eligibility

Short Name: Contacts Inv

Definition: Enter total number of work search contacts investigated by the BAM unit, regardless of investigation determination regarding acceptability. Do not include here any work-search contacts that were not investigated by BAM unit.

Enter zero (0) if no job contacts were investigated and enter zeros for (g13), (g14), and (g15).

Enter PF3 (same) if (g12) is the same as (g10).

This number cannot exceed the sum of (g10) and (g11).

(g13) Name: Number of Acceptable Work Search Contacts

Short Name: Contacts Acc

Definition: Include only work search contacts for which documentation exists in BAM file that such contacts were made by claimant and were acceptable contacts within State's written law/policy on active search for work.

This number must be less than or equal to the number in (g12).

Must be zero (0) if (g12) is zero.

(g14) Name: Number of Unacceptable Work Search Contacts

Short Name: Contacts Unacc

Definition: Include only job contacts for which written documentation exists in BAM 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 the number in (g12).

Must be zero (0) if (g12) is zero.

ET HANDBOOK NO. 395

(g15) Name: Number of Work Search Contacts for KW that Could not be Verified as Either Acceptable or Unacceptable

Short Name: Contacts Unver

Definition: Include here the work search contacts for which there was insufficient information to make a judgment of either acceptable or unacceptable, within the State's written law/policy on work search.

This number must be less than or equal to the number in (g12).

CHAPTER V CLASSIFYING PROPRIETY OF PAYMENTS

1. **Introduction.** The outcome of each case investigated is a set of data about that claim and classification as to whether or not the payment was proper. Each payment sampled for BAM must be accounted for in the coding and analysis of program data, because a single case represents a very large number of payments in the statewide population. At the end of a set measurement period, the coded findings of all completed cases are analyzed on the basis of information available.

The previous chapter (IV) contains the definitions of all data elements collected during the investigation of each sampled case (screens B-G). This chapter provides specific instructions for recording the propriety of payments and for closing cases (screen H) and classifying errors detected during the investigations (screen I).

There are 11 elements in Screen H:

(h1)	Key Week Action Code Flag
(h2)	Amount That Claimant Should Have Been Paid
(h3)	Total Dollar Amount of Overpayments
(h4)	Total Dollar Amount of Underpayments
(h5)	Total Overpayment Amount for Key Week
(h6)	Total Underpayment Amount for Key Week
(h7)	Investigation Completed
(h8)	Investigation Completion Date
(h9)	Supervisory Review Completed
(h10)	Supervisor Completion Date
(h11)	Supervisor Identification

2. **Coding Proper Payments.** Most cases are proper, and the system is designed to accommodate this condition. When the investigator has completed the case and entered all of the codes onto screens B-G and determined that the case is a proper payment, a "1", "2", or "3" is entered in the "Key Week Action Code Flag" (h1) element. Most of the time the investigator will enter "1" as a correct payment/offset. Below are the codes for correct payments for this data element:

(h1) Name: Key Week Action Code Flag

Short Name: Action Code Flag

1 = Correct payment/offset.

2 = Overpayment established or WBA, Key Week dependents' allowance (KWDA) entitlement, MBA, or remaining balance (RB)

decreased which was later "officially" reversed. BAM agrees with the "official" action.

3 = Supplemental check issued/offset applied, which was later "officially" reversed. BAM agrees with the "official" action.

3. **Coding Improper Payments.** The payment error coding system accommodates underpayments as well as overpayments. Multiple actions taken for a single issue, multiple issues detected for a single case, and various extents of agreement or disagreement between the BAM unit and other units in the UI system concerning official policy or actions taken for the sampled cases also are provided for. As a result, the instructions for assigning the Key Week codes reflect many complexities that may occur.

The payment error coding system records findings of case investigations as applied to official (written) policies. It is important to clarify the relationship between BAM and the formal UI system, as BAM is a part of the system. The BAM payment error coding system encompasses appealable **actions taken by any SESA unit**, including BAM, which modify actions taken on payment errors, e.g., monetary redeterminations, establishment of overpayments, etc. It encompasses **actions in progress** by units other than BAM on improper Key Week payments, of which actions BAM is in agreement. It also encompasses findings when no actions are permitted, e.g., because of SESA finality provisions.

a. Screen I. If the payment was **not** a proper payment, a code "9" is entered into the above data element (h1) Key Week Action Code Flag:

9 = Improper Payment - Improper payment codes are defined in the Error Issue (ERRISU) Table. Data entry of code 9 in this data element will trigger Screen I for data input.

When code 9 is entered into (h1), Screen I is retrieved by the system for data entry of issues. This interrupts data entry into Screen H. The user will see a new screen into which individual issues or mispayments are to be recorded. The system has the capacity to record up to 20 individual issues. If there are more than 20 issues, select and code the 20 largest issues.

Note: If Key Week Action Code Flag (h1) = 1, 2, or 3 (proper payment), Screen I will not be displayed.

Identify all issues/actions that affect the Key Week payment. This includes issues where official action may be taken and also where official action is prohibited. Screen I records the following information for **each** issue:

ET HANDBOOK NO. 395

- (ei1) Dollar Amount of Key Week Error
- (ei2) Key Week Action
- (ei3) Error Cause
- (ei4) Error Responsibility
- (ei5) QC Detection Point
- (ei6) Prior Agency Action
- (ei7) Prior Employer Action
- (ei8) QC Action Regarding Key Week Appealed

SESAs may modify the last digits of the codes of four of these items in Screen I to provide more detailed information for their use: Cause code (ei3), Detection Point code (ei5), Prior Agency Action code (ei6), and Prior Employer Action code (ei7). The last digit in each of these codes is zero. SESAs may choose to develop additional categories using any digits from 1-9 to provide further detail in these areas.

Definitions and explanations for the above data elements of Screen I are detailed below:

(1) **(ei1) Dollar Amount of Key Week Error.** Enter the total whole dollar amount of the error (overpayment or underpayment) for the Key Week as determined or confirmed by the BAM investigation. Exclude dollars that affect weeks other than the Key Week.

(2) **(ei2) Key Week Action.** Enter the code that identifies what type of error/issue was revealed by the BAM investigation. Select one code from either the overpayment group or the underpayment group below:

(a) **Overpayment** Codes

- 10 = Fraud Overpayment/Voided Offset.
- 11 = Nonfraud Recoverable overpayment/voided offset.
- 12 = Nonfraud Nonrecoverable Overpayment or official action taken to adjust future benefits by decreasing WBA, MBA, KWDA, or RB.
- 13 = QC determines payment was too large, although payment is "technically" proper due to finality rules.
- 14 = QC determines payment was 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.

ET HANDBOOK NO. 395

- 15 = QC determines payment 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 BAM disagrees with "official" action (e.g., Appeals unit reverses BAM determination and BAM disagrees).

(b) **Underpayment** Codes

- 20 = Supplemental Check Issued/Offset applied or increase in WBA, KWDA, or RB.
- 21 = QC determines payment was too small, although payment "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/offset applied which was later "officially" reversed, revised, adjusted, or modified, and BAM disagrees with the "official" action (e.g., Appeals unit reverses BAM determination and BAM disagrees).

(3) **(ei3) Error Cause.** Each payment error must be assigned a Cause code. The listings of these codes are presented below grouped by major category. Enter the **one** code from the six major categories below that best identifies the cause of the payment error.

The last digit is reserved for SESA use to provide greater detail.

(a) In the **Benefit Year**, unreported or errors in reporting/recording earnings or days/hours of work affecting the Key Week due to:

- 100 = Unreported (concealed) earnings or days/hours of work.
- 110 = Earnings or days/hours of work incorrectly estimated/reported/recorded or deducted.

ET HANDBOOK NO. 395

120 = Errors in reporting or unreported Severance Pay.

130 = Errors in reporting or unreported Vacation Pay.

140 = Errors in reporting or unreported Social Security or Pension Benefits.

150 = Other causes related to reporting or recording of earnings or days/hours of work.

(b) In the **Base Period**, errors in Reporting/Recording Earnings or Weeks, Days, or Hours of Work affecting the Key Week due to:

200 = Earnings or weeks/days/hours of work incorrectly estimated/reported/recorded.

210 = One or more base period employers not reported by claimant.

220 = Other causes related to errors in reporting or recording earnings or weeks/days/hours of work for base period.

(c) **Separation** Issues due to:

300 = Voluntary Quits

310 = Discharges

320 = Other causes related to 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 causes related to eligibility issues.

(e) **Dependents' Allowances** Incorrect due to:

500 = Dependents' information incorrectly reported/recorded or allowance incorrectly calculated.

510 = Other causes related to dependents' allowances.

(f) **Other** Causes due to:

600 = Benefits paid during a period of disqualification, even though a stop-pay order was in effect.

610 = Redetermination (at deputy level) or reversal (appeal or higher authority).

620 = Back pay award.

630 = All other causes.

(4) **(ei4) Error Responsibility.** Each payment error must be assigned a Responsibility code. Enter the appropriate code to indicate the party responsible (by action or inaction) for the payment error. If more than one party contributed to the error, enter the appropriate code for each with partial responsibility; however, do not enter the same code more than once.

- 1 = Claimant
- 2 = Employer
- 3 = Agency
- 4 = Third party

The Responsibility codes given above may be difficult to assign to certain cases. Although it would be desirable to define a set of rules that would lead everyone, regardless of background or training, to assign exactly the same code to each payment error, this cannot be done. Rather, the informed judgements of the BAM staff must be relied on to determine the most appropriate code for each case.

(5) **(ei5) BAM Detection Point.** For each payment error enter the code which indicates the point where the error was first detected by the BAM investigation. The last digit of this code is reserved for SESA use in providing greater detail.

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

ET HANDBOOK NO. 395

60 = Job Service/Employment Service records

70 = Verification with union

(6) **(ei6) Prior Agency Action.** For each payment error, a code is assigned which indicates any action(s) taken by the SESA on the Key Week issue as of the date sample selected. Enter appropriate code from below. The last digit is reserved for SESA use to provide greater detail regarding prior action.

- 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 SESA had correctly resolved issue between the time the original record for the KW was created and the time the BAM sample was selected thereby resulting in the correct action being taken and all issues resolved before the BAM investigation was completed.
- 30 = SESA identified KW issue prior to KW selection but took incorrect action.
- 40 = SESA had sufficient documentation to identify that there was a KW issue but did not resolve the issue.
- 50 = Official procedures/forms had not been properly followed/completed by SESA thereby precluding ability to detect KW issue.

(7) **(ei7) Prior Employer Action.** For each payment error a code is assigned to indicate action(s) taken by the employer affecting the KW issue as of the date sample was selected. Enter the appropriate code from below. The last digit is reserved for State use to provide greater detail regarding employer actions.

- 10 = Employer provided adequate information to SESA in a timely manner for determination.
- 20 = Employer provided adequate information after due date for determination.
- 30 = Employer provided inadequate/incorrect information in a timely manner for determination.
- 40 = Employer provided inadequate/incorrect information after due date for determination.
- 50 = Employer did not respond to request for information.

ET HANDBOOK NO. 395

- 60 = Employer, as an interested party, was not requested by agency to provide information for determination.
- 70 = Not an employer related issue.

(8) **(ei8) BAM Action Regarding Key Week Appealed.** Information must be recorded on appeals filed as a result of BAM action on the Key Week. Enter the appropriate code from below to identify the appeal status for the issue:

- 1 = No appeal filed against BAM determination, or not applicable.
- 2 = Claimant appealed BAM determination, and employer was an interested party.
- 3 = Claimant appealed BAM determination, and employer was not an interested party.
- 4 = Employer appealed BAM determination, and claimant was an interested party.
- 5 = Both claimant and employer appealed BAM determination.
- 6 = SESA appealed BAM determination.

For each additional issue (up to 20 per case), repeat the above steps (ei1-ei8) in screen l.

After entering information on the issue(s), code the remainder of the case in h2 through h11 as follows:

b. Amount That Claimant Should Have Been Paid (h2). Enter the correct whole dollar amount that the claimant should have received for the Key Week.

(h2) Name: Amount That Claimant Should Have Been Paid

Short Name: Amt Should Have Been Paid

Definition: Enter the whole dollar amount that the claimant should have received for the Key Week 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.

ET HANDBOOK NO. 395

If the Key Week is a **proper** payment, i.e., (h1) is coded 1, 2, or 3, the system will automatically stamp the amount in (f13).

If the Key Week payment is an **improper** payment, calculate the result of errors that affect the Key Week payment. This includes overpayments, underpayments, and denied weeks listed in screen I, **except** formal warnings or appeal reversals (Key Week Action codes 14, 16, and/or 23 of item ei2).

If the Key Week should have been totally denied as a result of one or more issues, no matter what other additional changes affect the WBA, enter 0.

Refer to Key Week Error Summary Worksheet (section 4, below) for assistance with multiple issues.

c. Total Dollar Amount of Overpayments (h3). This element captures the total amount of overpayments established for the claimant as a result of the BAM investigation.

(h3) Name: Total Whole \$ Amount of Overpayments (include KW)

Short Name: Total Amt OP

Definition: 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 BAM investigation.

Include in this figure only overpayments, etc., officially established for weeks claimed or paid.

Include payments from any extended benefit programs.

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.

If an overpayment established as a result of BAM investigation is reversed on appeal, this amount must be reduced by the amount involved in the reversal.

Include amounts from prior benefit years if applicable.

Code only overpayments for this claimant.

d. Total Dollar Amount of Underpayments (h4). This element captures the total amount of underpayments established for the claimant as a result of the BAM investigation.

(h4) Name: Total Whole \$ Amount of Underpayments (include KW)

Short Name: Total Amt UP

Definition: Enter whole dollar amount of all underpayments, offsets applied, or adjustment (to either WBA or MBA), including Key Week, established as a result of BAM investigation. Include in this figure only underpayments, etc., established for weeks actually claimed or paid.

Include EB and FSC programs, if applicable.

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

Exclude any prospective errors relating to weeks not claimed.

If supplemental check was issued or offset applied which was later officially reversed on appeal and BAM agrees with the official action (code 03) then this amount must be reduced by the amount involved in the reversal.

Include amounts from prior benefit years if applicable.

Note: Code only underpayments for this claimant.

e. Total Overpayment Amount for the Key Week (h5). This element captures the total amount of Key Week overpayments, in a case, except for those recorded as formal warnings or officially reversed appeal decisions with which BAM disagrees.

(h5) Name: Total Overpayment Amount for the Key Week

Short Name: Total KW OP

Definition: Enter the whole dollar amount of the total overpayment due to overpayment issues. It must not exceed the original amount paid (item f13). Exclude action codes 14 and 16.

Refer to Key Week Error Summary Worksheet (section 4, below) for assistance with multiple issues.

f. Total Underpayment Amount for Key Week (h6). This element captures the total amount of Key Week underpayments in a case, **except** for those recorded as officially reversed appeal decisions with which BAM disagrees.

(h6) Name: Total Underpayment Amount for the Key Week

Short Name: Total KW UP

Definition: Enter the whole dollar amount of the total underpayment due to underpayment issues. Include all underpayment issues regardless of whether they are "technically" proper. Exclude action code 23.

The total cannot exceed the State maximum WBA.

Refer to Key Week Error Summary Worksheet (section 4, below) for assistance with multiple issues.

4. **Key Week Error Summary Sheet**. When a case has multiple issues affecting the Key Week, it can be difficult to compute the proper dollar amounts for:

- Amount Claimant Should Have Been Paid (h2),
- Total Overpayment Amount for Key Week (h5), and
- Total Underpayment Amount for Key Week (h6).

Each SESA must develop a standard BAM form to be available for use in computing the entries for the above items. The form must contain, at a minimum, the capacity to record the information on the two-page facsimile that follows in section (a). The format of the facsimile should be adequate for most SESAs; however, some SESAs, i.e., those with dependents allowances, will need to make modifications.

The form must be completed for all cases with multiple issues. When utilized, it must be retained in the case file. (See Chapter VII.)

a. Key Week Error Summary Sheet -- Facsimile.

KEY WEEK ERROR SUMMARY WORKSHEET

Record issues (overpayments and underpayments) as independent actions in section A or B below as appropriate, but **exclude** formal warnings and officially reversed actions (Key Week Action codes 14, 16, and 23 from ei2 of Screen I).

Cause Code -- Enter the Error Cause code (ei3).

\$ Amount -- Dollar Amount of Key Week issue.

DQW (Disqualified Week) -- Enter X if this issue would cause the claimant to be disqualified for the entire week for nonmonetary reasons, e.g., VQ denial, not able and available, paid for waiting week, etc.

Case ID:	(f13) Amount Paid: \$
-----------------	------------------------------

A. Overpayments			
	Cause Code	\$ Amount	DQW
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
Total OP:			

B. Underpayments		
	Cause Code	\$ Amount
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
Total UP:		

KEY WEEK ERROR SUMMARY WORKSHEET (continued)

ET HANDBOOK NO. 395

C. (h2) Amount That Claimant Should Have Been Paid	
Complete one of the following to determine (h2):	
1.	If KW is DGW, (h2) = 0:
<i>or</i>	
2.a	If KW is not DGW, enter WBA After Investigation (e10)
2.b	List specific adjustments to WBA for KW, e.g., reduction for earnings: _____ _____ _____
Enter total \$ amount of adjustments:	
2.c	Subtract 2(b) from 2(a); (h2) =

D. (h5) Total Key Week Overpayments	
1.	Enter the Total OP from A, page 1:
2.	Enter the Amount Paid for KW (f13):
Total KW OP equals lesser of (1) or (2) (h5):	

E. (h6) Total Key Week Underpayments	
1.	Enter the SESA maximum WBA:
2.	Enter the Amount Paid for KW (f13):
3.	(1) - (2):
4.	Enter the Total UP from B, page 1:
Total KW UP equals lesser of (3) or (4) (h6):	

ET HANDBOOK NO. 395

b. Instructions. On the front page of the worksheet, list all errors/issues in the applicable boxes (A for overpayments or B for underpayments), with the exception of formal warnings and officially reversed actions. (Key Week Action codes 14, 16, and 23 are not used in the official error rate; therefore, they cannot be included in these calculations.)

For each error/issue, enter the Error Cause code that has been coded in (ei3) and the Dollar Amount of Key Week Error that has been coded in (ei1). If this error would cause the claimant to be ineligible for the entire Key Week or cause a disqualification for the entire Key Week, enter an X in the DQW column. Add the dollar amounts in each box, and enter the total at the bottom.

Complete the backside of the worksheet as follows:

(1) Box C. This can be used to figure the dollar amount for (h2), the Amount Claimant Should Have Been Paid.

If an X has been entered in the DQW column on any line in box A of page 1, enter 0 on item 1, and go no further.

If there is no X in box A, complete item 2. Enter the amount coded for DCI element (e10), WBA After Investigation, in (a).

If there are adjustments to the WBA to be made to the payment for the Key Week, list each in (b), and enter the total dollar amount of the adjustments. Subtract the amount in (b) from (a) to obtain the amount that the claimant should have been paid for the Key Week, and enter in (c).

(2) Box D. This can be used to figure the dollar amount for (h5), Total Key Week Overpayments.

Enter the total from the bottom of box A of page 1. Enter the amount of the original Key Week payment as coded in DCI item (f13). Compare the two figures, and enter the lesser as (h5), Total Key Week Overpayments.

(3) Box E. This can be used to figure the dollar amount for (h6), Total Key Week Underpayments.

Enter the maximum WBA payable in the SESA on line (1). Enter the amount of the original Key Week payment on line (2). For line (3), subtract the figure in (2) from that in (1). Enter the total from the bottom of box B of page 1 onto line (4). Compare the figures in (3) and (4), and enter the lesser as (h6), Total Key Week Underpayments.

c. Completed Examples of Key Week Error Summary Sheets. Three completed examples are presented on the following pages. It should be noted that the figures entered on the worksheets are for illustration only; they are not accurate for any

ET HANDBOOK NO. 395

particular SESA since calculations will be based upon each SESA's own formulas for monetary determinations, wage reductions, etc.

ET HANDBOOK NO. 395

Completed example #1

a. Key Week Error Summary Sheet.

KEY WEEK ERROR SUMMARY WORKSHEET

Record issues (overpayments and underpayments) as independent actions in section A or B below as appropriate, but **exclude** formal warnings and officially reversed actions (Key Week Action codes 14, 16, and 23 from ei2 of Screen I).

Cause Code -- Enter the Error Cause code (ei3).

\$ Amount -- Dollar Amount of Key Week issue.

DQW (Disqualified Week) -- Enter X if this issue would cause the claimant to be disqualified for the entire week for nonmonetary reasons, e.g., VQ denial, not able and available, paid for waiting week, etc.

Case ID:	(f13) Amount Paid: \$
-----------------	------------------------------

A. Overpayments			
	Cause Code	\$ Amount	DQW
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
Total OP:			

B. Underpayments		
	Cause Code	\$ Amount
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
Total UP:		

KEY WEEK ERROR SUMMARY WORKSHEET (continued)

ET HANDBOOK NO. 395

C. (h2) Amount That Claimant Should Have Been Paid	
Complete one of the following to determine (h2):	
1.	If KW is DGW, (h2) = 0:
<i>or</i>	
2.a	If KW is not DGW, enter WBA After Investigation (e10)
2.b	List specific adjustments to WBA for KW, e.g., reduction for earnings: _____ _____ _____
Enter total \$ amount of adjustments:	
2.c	Subtract 2(b) from 2(a); (h2) =

D. (h5) Total Key Week Overpayments	
1.	Enter the Total OP from A, page 1:
2.	Enter the Amount Paid for KW (f13):
Total KW OP equals lesser of (1) or (2) (h5):	

E. (h6) Total Key Week Underpayments	
1.	Enter the SESA maximum WBA:
2.	Enter the Amount Paid for KW (f13):
3.	(1) - (2):
4.	Enter the Total UP from B, page 1:
Total KW UP equals lesser of (3) or (4) (h6):	

Completed example #2

KEY WEEK ERROR SUMMARY WORKSHEET

Record issues (overpayments and underpayments) as independent actions in section A or B below as appropriate, but **exclude** formal warnings and officially reversed actions (Key Week Action codes 14, 16, and 23 from ei2 of Screen I).

Cause Code -- Enter the Error Cause code (ei3).

\$ Amount -- Dollar Amount of Key Week issue.

DQW (Disqualified Week) -- Enter X if this issue would cause the claimant to be disqualified for the entire week for nonmonetary reasons, e.g., VQ denial, not able and available, paid for waiting week, etc.

Case ID:	(f13) Amount Paid: \$
-----------------	------------------------------

A. Overpayments			
	Cause Code	\$ Amount	DQW
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
Total OP:			

B. Underpayments		
	Cause Code	\$ Amount
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
Total UP:		

KEY WEEK ERROR SUMMARY WORKSHEET (continued)

ET HANDBOOK NO. 395

C. (h2) Amount That Claimant Should Have Been Paid	
Complete one of the following to determine (h2):	
1.	If KW is DGW, (h2) = 0:
<i>or</i>	
2.a	If KW is not DGW, enter WBA After Investigation (e10)
2.b	List specific adjustments to WBA for KW, e.g., reduction for earnings: _____ _____ _____
Enter total \$ amount of adjustments:	
2.c	Subtract 2(b) from 2(a); (h2) =

D. (h5) Total Key Week Overpayments		
1.	Enter the Total OP from A, page 1:	
2.	Enter the Amount Paid for KW (f13):	
Total KW OP equals lesser of (1) or (2) (h5):		

E. (h6) Total Key Week Underpayments		
1.	Enter the SESA maximum WBA:	
2.	Enter the Amount Paid for KW (f13):	
3.	(1) - (2):	
4.	Enter the Total UP from B, page 1:	
Total KW UP equals lesser of (3) or (4) (h6):		

Completed example #3

a. Key Week Error Summary Sheet

KEY WEEK ERROR SUMMARY WORKSHEET

Record issues (overpayments and underpayments) as independent actions in section A or B below as appropriate, but **exclude** formal warnings and officially reversed actions (Key Week Action codes 14, 16, and 23 from ei2 of Screen I).

Cause Code -- Enter the Error Cause code (ei3).

\$ Amount -- Dollar Amount of Key Week issue.

DQW (Disqualified Week) -- Enter X if this issue would cause the claimant to be disqualified for the entire week for nonmonetary reasons, e.g., VQ denial, not able and available, paid for waiting week, etc.

Case ID:	(f13) Amount Paid: \$
-----------------	------------------------------

A. Overpayments			
	Cause Code	\$ Amount	DQW
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
Total OP:			

B. Underpayments		
	Cause Code	\$ Amount
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
Total UP:		

KEY WEEK ERROR SUMMARY WORKSHEET (continued)

ET HANDBOOK NO. 395

C. (h2) Amount That Claimant Should Have Been Paid	
Complete one of the following to determine (h2):	
1.	If KW is DGW, (h2) = 0:
<i>or</i>	
2.a	If KW is not DGW, enter WBA After Investigation (e10)
2.b	List specific adjustments to WBA for KW, e.g., reduction for earnings: _____ _____ _____
Enter total \$ amount of adjustments:	
2.c	Subtract 2(b) from 2(a); (h2) =

D. (h5) Total Key Week Overpayments	
1.	Enter the Total OP from A, page 1:
2.	Enter the Amount Paid for KW (f13):
Total KW OP equals lesser of (1) or (2) (h5):	

E. (h6) Total Key Week Underpayments	
1.	Enter the SESA maximum WBA:
2.	Enter the Amount Paid for KW (f13):
3.	(1) - (2):
4.	Enter the Total UP from B, page 1:
Total KW UP equals lesser of (3) or (4) (h6):	

5. **Case Completion.** The following elements, (h7) through (h11), are utilized to close the case files.

(h7) Name: Investigation Completed

Short Name: Inv Completed

Definition: Enter code of 1 when case investigating has been completed, i.e., after the investigator has finished all field work, reports, determinations, and coding.

Entry of this character will only be allowed if all previous data elements have been coded. It will cause the current system date to be stamped in (h8).

(h8) Name: Investigation Completion Date

Short Name: Inv Complete Date

Definition: The BAM software will automatically enter the current date when Investigation Completed (h7) has been coded 1.

(h9) Name: Supervisory Review Completed

Short Name: Supv Rev Completed

Definition: Enter code of 1 when BAM Manager/BAM Supervisor has reviewed and approved completed case. Data entry in this field will cause The BAM software to enter the current date in (h10) and the login ID of the user in (h11).

0 = the completed case has not been reviewed

When either 1 or 0 is entered the case will be closed. Subsequent adjustments to the case data must be made by reopening the case.

(h10) Name: Supervisor Completion Date

Short Name: Supv Complete Date

Definition: The BAM software will automatically enter the current date when Supervisory Review Completed (h9) has been coded 1 or 0.

(h11) Name: Supervisor Identification

Short Name: Supv ID

Definition: The BAM software will automatically enter the login ID of the person performing this supervisory function.

6. **Reopening Cases.** On occasion, completed cases must be reopened to make corrections or to update coded records. The following elements are used:

(ro1) Name: Reopen Case

Short Name: Reopen Case

Definition: Enter one of the following codes:

3 = SESA has recognized an error in the data of this closed case and has made the correction(s).

4 = an appeal decision requires changes to the data of a closed case.

5 = data of a closed case were changed as a result of a monitor review.

6 = case reopened pending further information.

(ro2) Reopen Case Date

Short Name: Reopen Case Date

Definition: The current system date entered by the QC software when ro1 is 3, 4, or 5. The system will enter 00/00/0000 when the Reopen Case (ro1) code is 6.

(ro3) Reopen Case Identification

Short Name: Reopen ID

Definition: The login ID of the person performing the reopen function.

Refer to the "Reopen Completed Cases" section of ET Handbook No. 400 for detailed instructions.

CHAPTER VI

INVESTIGATIVE PROCEDURES

1. **Introduction**. These investigative procedures apply equally to BAM and DCA investigations. For more information on where DCA investigations differ see Chapter VIII pages 2 and 3. The investigation is the mechanism for intensively reviewing payments to determine if they were made to eligible claimants and, if so, whether payments were made in the proper amounts. Each case selected for BAM is an original payment for a specific week of unemployment, referred to as a "Key Week". Each Key Week is investigated to verify that all information pertaining to eligibility and payments is treated in conformity with State written law and policy. The data obtained from the investigations will be used to draw inferences about the claimant population as a whole. It is important, therefore, that the investigative requirements are adhered to for each case.

The investigation also involves gathering data about the claimants and claims sampled for entry into an automated data base. These data, in combination with the classification of the case findings, will be used for State analysis and corrective action.

2. **Standard Forms**. Each SESA must develop a standard BAM form to be used in investigations for:

- Claimant Questionnaire - see required format in Appendix B
- Work Search Verification - Employer
- Work Search Verification - Labor Organization
- Employment/Wage/Earnings Verification
- Disqualifying/Deductible Income Verification
- Authorization to Release Information (where required)
- Fact-finding Statement
- Dependency Eligibility Verification (if applicable)
- Summary of Investigation
- Interstate Request

The questions on all forms which address eligibility must be adequate to obtain information which the SESA requires to determine adherence to provisions of law and written policy. All forms used for interviews must provide space for the name/signature of the person being interviewed, the SESA investigator's signature, the method used to obtain the information, and the date of the interview.

In States where an "Authorization to Release Information" form is required, the investigator must have this form signed and dated by the claimant.

3. **Investigative Requirements**. Investigators must adhere to the minimum requirements presented in the Investigative Guide (Appendix C) which summarizes the data sources, initial action, and documentation required for each data item gathered

during the investigation. The following general requirements must also be adhered to during the course of BAM investigations:

a. Investigative Method. Investigations are comprised of reviews of SESA records and interviews of claimants, employers, and third parties. States must attempt to obtain the information required for investigations using one of the following methods: in-person, telephone, FAX or mail. The State will have the option of using the method which it determines to be the most efficient and effective based on the circumstances of each case.

b. Investigative Focus. Investigations begin with the assumption that the Key Week was properly paid; however, all areas of eligibility are explored which could directly affect the Key Week and the establishment of the initial claim. This is distinguished from issues arising during weeks claimed prior to the Key Week, which could potentially involve a disqualification which would not affect the Key Week. Disqualifying issues of this type must be pursued if discovered, but the SESA need not structure the investigation to uncover such issues (e.g., refusal of suitable work results in 10-week disqualification) which would not include the Key Week.

c. Factfinding. Investigators must conduct new and original factfinding in accordance with the Secretary's Standard for Claim Determinations as prescribed in sections 6010-6015, part V of the ES Manual on all issues which have not been detected previously. Also, the facts of previously resolved issues affecting the Key Week must be verified. State laws or policy which might make an issue moot (e.g., when a decision becomes final by virtue of the expiration of the appeal period without an appeal being filed) must not preclude pursuit of issues for BAM purposes. The issues must be pursued until a supportable conclusion is reached. (Non Key Week issues should be referred to other SESA staff for pursuit and resolution unless adjudication by BAM staff would only involve incidental time and resources).

d. Evidentiary Facts. Investigations of new issues must be conducted by obtaining evidentiary facts, as distinguished from ultimate conclusions. Open-ended questions must be asked, and, if the contact is made in-person, employer records should be reviewed and may be copied by the investigator.

e. Information/Source Documentation. Where information is obtained in-person, the signature of the person providing the information must be obtained on the verification and/or factfinding statement. Where information is obtained using mail or telephone/FAX, the name of the person providing the information should be printed in the signature block by the BAM investigator. In some instances, the forms developed for the remaining sections of this chapter will provide ample space to record the statements. In other instances, it will be more convenient to utilize separate documents. For these latter situations, SESAs must either develop formats to use exclusively for BAM or utilize forms already in use for other purposes.

f. State Law and Policy. States' written laws and policies are the bases for all determinations. Written policy is that policy which is distributed SESA-wide and, upon request, may be made available to the public.

g. Conclusions and Agency Actions. All conclusions pertaining to the Key Week that are drawn from the BAM process must be formalized in official agency actions if errors are found, except where prohibited by SESA provisions such as finality.

h. Supporting Documentation. All determinations made as a result of BAM investigations must have supporting documentation.

i. Non-English Speaking Claimants. All requirements which SESAs normally apply to contacts with non-English speaking claimants must also be applied to contacts for BAM.

4. Investigative Methodology. Investigative methodology is a system of principles, procedures and practices which have been designed to obtain the information necessary to classify the propriety of benefit payments. The investigator must interview claimants, employers, and third parties to: (1) verify the information originally used in the claim and (2) to gather information to determine if there are undetected issues or issues that were improperly treated. The methods of contact to be used are: in-person, telephone, FAX, and/or mail, and a combination of methods may be used in a case. States should structure the investigation in a manner which will permit them to obtain the best information possible. Studies have shown that in claimant interviews and work search verifications, the in-person method of contact provides the best quality of information, while the use of telephone, FAX and/or mail appears to work equally well for prior employer and third party verifications.

a. Claimant Interview. The claimant interview anchors the BAM investigation and is a major detection point for a number of overpayments and underpayments. The claimant questionnaire is a required standard form (see Appendix B) to be completed by the claimant. States must alter the questionnaire to satisfy unique aspects of their laws. States cannot introduce conditions of eligibility not reasonably related to the fact or cause of unemployment. Department approval must be obtained prior to making any change to the questionnaire which alters the content. Such approval may be obtained by sending a copy of the requested changes to the appropriate Regional Office. All requirements which SESAs normally apply to contacts with non-English speaking claimants must also be applied to contacts for BAM. If the claimant questionnaire is translated into another language, a copy must be sent to appropriate Regional Office for approval.

States with dependency allowance provisions in their laws must develop a section of the questionnaire for determining eligibility for dependency allowances. Advance Department approval for the section must be obtained by sending a copy to the appropriate Regional Office.

ET HANDBOOK NO. 395

The questionnaire must be signed by the investigator in the space provided to certify the information was obtained in accordance with the SESA requirements. If the questionnaire was not completed, an explanation signed by the investigator must be entered on (or attached to) the signature page, in which case it will be sufficient to retain this page only in the case folder, in lieu of retaining the entire questionnaire. A claimant's return to work or exhaustion of benefits is not, in and of itself, adequate justification for failure to conduct the interview or obtain the questionnaire.

b. Employer Interviews. Contact with all prior or current employers, with whom employment could affect the Key Week, must be made by the investigator to verify the facts of separation, base period wages, and benefit year earnings. In situations where the employer uses an agent or representative, BAM should also contact the agent to verify any information received from that source.

All Employer verifications may be conducted using the method determined by the State to be the most appropriate given the circumstances of the case. When changes in wages, earnings, or separations are detected, State law and policy should be the catalyst in determining the method of follow-up contact to be utilized. For example, in cases where there is potential fraud, SESA law and policy may require an in-person visit to obtain signatures or other documentation necessary to effect official determinations. In verifying separation information, all contacts must be made in accordance with accepted SESA fact-finding procedures. Regardless of the method of contact used, the name and position of the person providing any information must be obtained.

c. Work Search Interviews. The investigator must investigate all Key Week work search contacts, including any referrals by union halls, Job Service, and private employment agencies, to verify that the contact satisfied State requirements and to uncover any potential issues bearing on eligibility and payment of benefits. While the method of contact to be used is at the State's discretion, this is also an area similar to the claimant interview where tests have shown a significant loss in quality when methods other than in-person were used to obtain information.

If State law and/or policy permits job contacts made during other weeks to be applied to the Key Week, then all such contacts must be verified. These verifications are to be made following the same guidelines as Key Week contacts. In States where law and/or policy permits work search contacts to be made by e-mail, Internet, or other electronic methods, these contacts may be verified using these same methods.

If SESA records or the investigation indicates that the claimant is a union member and obtains work through that union, verification must be made with the union following the general guidelines for verifying work search contacts. This is done to detect potential issues resulting from union referrals to employers, referral refusals, or job refusals and to confirm that any deferrals from Job Service registration and/or work search requirements have been properly granted.

ET HANDBOOK NO. 395

d. Third-Party Verifications. Third-party verifications are required when issues arise that could affect a claimant's eligibility.

Potential able and available issues related to medical condition, school attendance, etc. must be verified. The method of contact to be used is at the discretion of the State. Registration with Job Service may be verified and documented by obtaining a printout or a copy of the Job Service records that indicate whether the claimant is actively registered for referral during the Key Week. State written law, policy, and procedures govern whether claimants are required to be registered with the Job Service and what constitutes registration. BAM coding should be consistent with such law, policy, and procedures.

Prior verification by the State of alien status will be acceptable for BAM purposes if properly documented. If SESA records are inadequate to verify alien status, BAM must conduct verification.

Interstate third-party verifications should be completed by the State using the method of telephone/FAX to the extent possible. Assistance may be requested from the State where the third-party is located, if necessary.

The potential for claimant employment during the benefit year should be verified using the State Directory of New Hires where available. This new hire directory is mandatory under section 453A of the Social Security Act, and BAM should access this resource when possible.

5. **Disqualifying/Deductible Income Verifications.** Verifications must be made of receipt of all remuneration which could directly affect the Key Week for which claimants could be disqualified or have benefits reduced. States should verify this income by using the method of contact determined by the State to be the most appropriate.

6. **Dependency Eligibility Verifications.** In States with dependency allowance provisions in their laws, the investigator must verify the dependents who were claimed. This verification must, at a minimum, consist of the methods prescribed by State law and/or policy.

7. **UCFE.** BAM staff should work with the SESA's Federal Programs Coordinator to determine the most expedient way of obtaining wage, separation, earnings, and work search information from Federal installations. Form ES-936 may be utilized to obtain wage and separation information from a Federal employer. If an in-person verification is deemed necessary by the State, the Federal Programs Coordinator may be able to assist BAM investigators in gaining access to Federal installations.

Additionally, the BAM review of the original claim file must include examination of the response from the Louisiana Claims Control Center (LCCC) and any subsequent state

ET HANDBOOK NO. 395

reconciliation actions to ensure that the Federal wages were not used more than once to pay a claim. If no documentation is on file to indicate that the LCCC was notified of the claim, BAM is to initiate a request as specified in the UCFE Handbook (No. 391) and examine the response from LCCC when it is received.

8. **UCX.** In-person employer contacts are not to be made with the military. Verifications of military wages and separations are accomplished through review of claim documents.

When a UCX claim is taken, the SESA sends an inquiry to the LCCC. The LCCC response to each inquiry enables the SESA to (1) validate the legitimacy of the DD-214 which the claimant used to establish the claim and (2) detect potential duplicate claims. The response contains the following data:

- beginning and ending dates of military service,
- tabulation of net amount of time served,
- number of days of accrued leave paid,
- character of service, pay grade, and
- date of receipt by LCCC of any previous notice of claim filed.

BAM must compare the DD-214 to the response from the LCCC to verify that the wages have not been previously assigned. The pertinent information on the DD-214 must be compared with the corresponding information on the LCCC response to ensure that the DD-214 has not been altered. Ensure that the information on the claims documents has been accurately copied from the DD-214. Also, ensure that the monetary determination was based on the appropriate Federal Schedule of Remuneration, i.e., the one in effect at the time the claim was filed.

Copies of the DD-214, the response from the LCCC, and the Federal Schedule of Remuneration should be retained in the BAM case file.

If the LCCC has not been contacted, or if potential issues have not been resolved, they must be pursued by BAM.

9. **Interstate Requests.** Some investigations require contacting claimants, employers, or other parties in another State. The same procedures apply to interstate that apply to intrastate verifications. Interstate contacts may be conducted using the method of contact determined by the State to be the most appropriate given the circumstances of the case. If unable to obtain adequate information, assistance may be requested of the other State where necessary. However, each State has the final responsibility of obtaining all the necessary data to complete the case investigation.

10. **Summary of Investigation.** Each completed case must contain a Summary of Investigation. Each SESA must develop a format which includes, at a minimum, a

narrative that explains the pertinent facts of the case: the basis for any decision that an error was made and any complexities of the case, e.g., difficulty obtaining information, evaluation of statements taken, reasons for delay, or any special circumstances that occurred. Alternately, this may be satisfied by appropriate reference to explanations elsewhere in the case file. In order for each case to be able to stand on its own, the Summary must be substantiated by documentation in the case file.

11. **Appeals.** All appeals hearings resulting from BAM determinations affecting the Key Week must be attended by the BAM investigator responsible for obtaining the information which led to the determination. The investigator will provide testimony concerning any questions on the BAM process and the facts upon which the determination was based. When an appeals hearing is not attended by a BAM staff member, an explanation must be provided in the BAM case file.

12. **Completion of Cases and Timely Data Entry.** Prompt completion of investigations is important to ensure the integrity of the information being collected by questioning claimant and employers before the passage of time adversely affects recollections. Prompt entry of associated data is necessary for both the SESA and the Department to maintain current data bases. Therefore, the following time limits are established for completion of all cases for the year. (The "year" includes all batches of weeks ending in the Calendar Year.):

- a minimum of 70 percent of cases must be completed within 60 days of the week ending date of the batch, and 95 percent of cases must be completed within 90 days of the week ending date of the batch; and
- a minimum of 98 percent of cases for the year must be completed within 120 days of the ending date of the Calendar Year.

A case is complete when the investigation has been concluded as required, all official actions for the Key Week (except appeals) have been completed, the supervisor has signed off, and the results have been entered into the computer.

If a SESA's rates for completion of cases sampled for investigation for the year are less than the requirements, and it believes that such failure was attributable to reasons beyond its control, the SESA may submit a documented analysis to the Department (Regional Office) requesting a relief from Departmental actions (i.e., requirement to submit a corrective action plan and a footnote in the BAM Annual Report). The analysis must demonstrate that all time limits would have been met had the uncontrollably delayed cases been timely.

13. **Reopening Cases.** Cases may be reopened for the following:

ET HANDBOOK NO. 395

- to correct errors (detected by either the SESA or Federal reviewers) or
- to update information, e.g., as a result of appeal decisions.

Case completion timeliness will be recalculated when a case is reopened to either correct errors detected by the SESA or to update information. Therefore, it is important to minimize reopenings by ensuring that, to the extent possible, the data are complete and correctly entered initially.

CHAPTER VII

RECORDS AND REPORTING

1. Introduction. This chapter designates the requirements for records and reporting. During the period for which records and reports are required to be maintained, they must be available for Federal monitoring.

2. Documentation. Each case file must contain, at a minimum, a copy of all agency documents from the claimant's original claim file in addition to any documents pertaining to the BAM investigation that were utilized. These documents include but are not limited to:

- Claimant Questionnaire
- Copy of Key Week Certification
- Disqualifying Ineligibility Ruling
- Copy of Claimant Identification
- Authorization to Release Information, if required by SESA
- Signed statements on factfinding issues
- Work Search Verification - Employer
- Work Search Verification - Labor Organization
- Work Search Verification - Private Employment Agency
- Employment/Wages/Earnings Verification
- Disqualifying Income Verification
- Verification of Dependents, if applicable
- Monetary determinations/redeterminations
- Nonmonetary determinations/redeterminations
- Key Week Error Summary Worksheet
- Overpayment/underpayment actions
- Appeals decisions
- Summary of Investigation

3. Retention of Records. Case files (folders) are to be retained by the SESA for the same periods of time required by the SESA for other claims records.

4. Transmission of Data to the National Office. BAM records must be available for daily electronic transmittal of data from States to the National Office.

CHAPTER VIII

DENIED CLAIMS ACCURACY (DCA) OVERVIEW

1. Introduction. The Unemployment Insurance (UI) Benefit Accuracy Measurement (BAM) program has continued to measure the accuracy of paid claims in all States, the District of Columbia and Puerto Rico since it became mandatory in 1987. Since the beginning of the BAM program, the Department has committed to a thorough review of denied claims. In 1986-87, a pilot study was conducted to measure the accuracy of determinations to deny unemployment compensation for monetary, separation, and nonseparation eligibility reasons. Although this initial pilot identified significant rates of errors in the determinations investigated, national implementation was deferred due to resource constraints and other program priorities, such as the implementation of Benefit Timeliness and Quality and the Tax Performance System. Since this earlier pilot was conducted, the Department of Labor's Office of Inspector General, and the Vice President's National Performance Review committee have urged the Department to measure the accuracy of determinations that deny eligibility for UC claimants. Because a significant time had elapsed since the initial pilot, a second pilot was conducted in five States, from September 1997 through September 1998. This second pilot confirmed the earlier findings that a significant percentage of denied claims were in fact, erroneous.

2. Overview of DCA. State resources have been made available for Denials implementation and on-going investigations through the reduction in sample sizes and changes in the methodology used to conduct regular BAM investigations. Denied intrastate and interstate claims in the State UI, UCFE, and UCX programs will be included in the DCA sample.

As in the investigation of paid claims, States will have the responsibility to draw samples, perform investigations, identify errors, compute error rates, analyze data, and initiate corrective action if appropriate. The primary Federal responsibilities are to ensure system integrity, reduce non-sampling errors through monitoring SESA practices and procedures, and analyze DCA data to assess the impact of Federal requirements on the UI system.

The Attachment to this chapter contains the Data Collection Instrument (DCI), with instructions and database specifications for DCA.

Each BAM unit must ensure that the DCA program meets the Methods and Procedures requirements for organization, authority, and written procedures as indicated in chapter II.

3. Investigative Requirements. DCA investigations will be conducted in accordance with the procedures described in detail in Chapter VI, of this Handbook. The following general requirements must be adhered to, and differ from the investigation of paid claims:

a. Investigations consist of the review of agency records, contact with the claimant, employer(s), and all other relevant parties to verify information pertinent to the determination that denied eligibility. Unlike the investigation of paid claims, in which all prior determinations affecting claimant eligibility for the compensated week are evaluated, the investigation of denied claims is limited to the issue upon which the denial determination is based. For example, if a continued week claim is denied because the agency determined that the claimant was not available for work, only that availability issue is to be investigated. The monetary, separation, and any other nonmonetary determinations which could have affected eligibility will not be investigated. The DCA investigator must maintain this “narrow focus” for the specific issue throughout the investigation. As in the investigation of paid claims, States have the flexibility to conduct the investigation of denied claims utilizing in-person interviews, telephone, mail, e-mail or fax to collect information.

b. DCA Investigators must verify facts contained in the case file, obtain any missing information, as well as conduct new and original factfinding that may be relevant to the denials determination. This may involve contacting employers, or third parties who had not been contacted previously by the agency.

4. DCA Investigative Methodology.

a. Sample Design and Sample Sizes. Each week, States will select systematic random samples from three separate sampling frames constructed from the universes of UI claims for which eligibility was denied for monetary, separation, or nonseparation reasons. States must use the BAM population edit and sample selection software program to select the weekly samples.

All States will sample a minimum of 150 cases of each type of denial in each calendar year. The annual sample allocation of 150 cases for each of the three types of denials is the minimum necessary to produce a sufficient number of error cases to produce program improvement information. These sample allocations also take into account the difficulty of obtaining information from claimants who were denied benefits and the possibility that DCA case completion rates will be less than the completion rate for BAM paid claims.

b. Claimant Interview. The claimant interview for DCA will remain an integral part of the investigation. The claimant questionnaires are required forms (see appendix B) to be completed by the claimant. Unlike BAM paid claims, it will be necessary to have more than one claimant questionnaire in order to address the three types of disqualifying issues: monetary, separations, and nonseparations. The investigator must obtain the completed questionnaire for the applicable denials issue. Every effort should be made to complete the claimant questionnaire even though locating the claimant may be somewhat difficult since they will not be in a “paid” status. All other requirements for DCA claimant questionnaires are the same as paid claims.

5. Interstate Requests. Interstate claims are included in the DCA sample selection process. The same procedures apply to interstate that apply to intrastate verifications. Interstate contacts may be conducted using the method of contact determined by the State to be the most appropriate means of contact. In cases where the State is unable to obtain adequate information, assistance may be requested of the other State's BAM unit. However, each State has the final responsibility of obtaining all the necessary information to complete the case investigation.

6. Other Verifications. Where applicable for DCA, the following investigative processes are the same as BAM paid claims: Employer Interviews; Work Search Interviews; Third-Party Verifications; Disqualifying/Deductible Income Verifications; Dependency Eligibility Verifications; UCFE Verifications; UCX Verifications; Summary of Investigation; Appeals; and Reopening Cases.

7. Completion of DCA Cases and Timely Data Entry. As in paid claims, prompt completion of investigations is important to ensure the integrity of the information being collected by questioning claimant and employers before the passage of time adversely affects recollections. Prompt entry of associated data is necessary for both the SESA and the Department to maintain current data bases. However, due to the fact that contacting the claimant and obtaining claimant information is more difficult than in paid claims, the timeliness standards differ as the following indicates:

- a minimum of 60 percent of cases must be completed within 60 days of the week ending date of the batch, and 85 percent of cases must be completed within 90 days of the week ending date of the batch; and
- a minimum of 98 percent of cases for the year must be completed within 120 days of the ending date of the Calendar Year.

**Benefit Accuracy Measurement (BAM)
Denied Claims Accuracy (DCA)**

Data Collection Instrument

U.S. Department of Labor
Employment and Training Administration
Office of Workforce Security
200 Constitution Avenue N.W.
Washington, D.C. 20210

TABLE OF CONTENTS

b.	Case Control and Claimant Information	1
c.	Benefit Year Information	1
d.	Monetary Information	31
e.	Separation Information	43
f.	Nonseparation Information	46
g.	Case Action and Error Issue Information	71
h.	Comparison Data	88
i.	Case Assignment Information	107
j.	Reopen Case Data	103
k.	Database Description	107
l.	Database Schema	110

1. Case Control and Claimant Information

Master Table (b_dca_master)

Field: batch

Name: Batch Number

Description: Enter number provided as output from Mainframe computer program that selects all sample cases - indicates calendar year (YYYY) and week (WW).

Field Type: Integer

Field Size: 6

Format: (YYYYWW)

Edits:

YYYY must be greater than **1985**.

WW must be between **01** and **52**, inclusive.

Exception: In certain years (for example 1988, 1994, 2000) WW is between **01** and **53**. Batch number may never be NULL.

WW 01 is always the 1st Saturday in January of each year.

Field: seq

Field Name: Sequence Number

Description: Enter number provided as output from computer program that selects all sample cases. This number indicates the sequence of case(s) selected within each activity. It is used to control access to a particular case.

Field Type: Smallint

Field Size: 2

Edits:

The sequence number cannot be NULL.

ET HANDBOOK NO. 395

The sequence number values are from **01-99**.

Must be equal to or less than the batch week's corresponding sample size, **b_dca_comparison.sampsize**.

Field: samptype

Field Name: Sample Type

Description: Enter the code for the type of record selected or sampled. The codes and their meaning are:

- 1 = Benefit payment
- 2 = Monetary denial
- 3 = Nonmonetary/Separation issue denial
- 4 = Nonmonetary/Nonseparation issue denial

Field Type: Smallint

Field Size: 1

Edits:

Must be 1-4.

Sample Type cannot be NULL.

Field: ssn

Field Name: Social Security Number

Description: Enter the Social Security Number (actual, not transformed) of the claimant provided as output from the sample selection program .

Field Type: Character

Field Size: 9

Edits:

The SSN may be broken down into its three (3) respective parts; area, group, and serial. The breakdown is as such: XXX-YY-ZZZZ where XXX is the area,

ET HANDBOOK NO. 395

YY is the group and ZZZZ is the serial. The SSN **must** be nine digits in length and **cannot** be NULL.

Area:

The area cannot be all zeros.

The area ranges from **001-587**, **589-649**, and **700-728** (see following table).

The areas that have been allocated but have not yet been assigned include: **588**, **650-665**, **667-699**, **750-763**.

Area **666** does not exist.

Code **999** is valid to identify instances in which two individuals are using the same SSN.

Group:

The group cannot be all zeros; therefore, the group ranges from **01-99**.

Serial:

The serial cannot be all zeros: therefore, the serial ranges from **0001-9999**.

ET HANDBOOK NO. 395

Area Code	State Name	Area Code	State Name	Area Code	State Name
001 - 003	New Hampshire	433 - 439	Louisiana	586	Guam
004 - 007	Maine	440 - 448	Oklahoma		Amer. Samoa
008 - 009	Vermont	449 - 467	Texas		Phil. Isl.
010 - 034	Massachusetts	468 - 477	Minnesota	700 - 728	Railroad Workers
035 - 039	Rhode Island	478 - 485	Iowa		
040 - 049	Connecticut	486 - 500	Missouri		
050 - 134	New York	501 - 502	North Dakota		
135 - 158	New Jersey	503 - 504	South Dakota		
159 - 211	Pennsylvania	505 - 508	Nebraska		
212 - 220	Maryland	509 - 515	Kansas		
221 - 222	Delaware	516 - 517	Montana		
223 - 231	Virginia	518 - 519	Idaho		
232 - 236	West Virginia	520	Wyoming		
232, 237-346	North Carolina	521 - 524	Colorado		
247 - 251	South Carolina	525, 585	New Mexico		
252 - 260	Georgia	526 - 527	Arizona		
261 - 267	Florida	528 - 529	Utah		
268 - 302	Ohio	530	Nevada		
303 - 317	Indiana	531 - 539	Washington		
318 - 361	Illinois	540 - 544	Oregon		
362 - 386	Michigan	545 - 573	California		
387 - 399	Wisconsin	574	Alaska		
400 - 407	Kentucky	575 - 576	Hawaii		
408 - 415	Tennessee	577 - 579	Dist. of Columbia		
416 - 424	Alabama	580	Virgin Islands		
425-428, 587	Mississippi	580 - 584	Puerto Rico		
429 - 432	Arkansas				

Field: clmdate

Field Name: Claim Date

Description: Enter the month (MM), day (DD), and year (YYYY) of the effective date, if the record is a new, initial, additional, transitional, or reopened claim. Enter the month, day, and year of the week ending date if the record is a week claimed. Enter the month, day, and year of the week ending date of the compensated week if the record is a week paid. This date is provided as output from the sample selection program.

Field Type: Date

Field Size: 10

Format: MM/DD/YYYY

Edits:

Must be less than or equal to the batch ending date.

Must be greater than **12/31/1985**.

If Sample Type = 3 or 4, and Claim Type = 0, can be "02/02/0002", Not Applicable; For all Sample Types, if Claim Type = 1, 2, 3, 4, or 5, Claim Date cannot = "02/02/0002".

Field: clmtype

Field Name: Claim Type

Description: Enter the code for the type of claim. The valid codes are:

- 0 = No Week Claimed
- 1 = New Initial Claim
- 2 = Additional Claim
- 3 = Transitional Claim
- 4 = Reopened Claim
- 5 = Continued Week Claim (including first and final payments)

Field Type: Smallint

Field Size: 1

Edits:

Must be 0-5.

Claim Type cannot be NULL.

Field: state

Field Name: State

Description: Enter State Alpha identification code.

Field Type: Character

Field Size: 2

ET HANDBOOK NO. 395

State Code	State Name	State Code	State Name
AL	Alabama	NE	Nebraska
AK	Alaska	NV	Nevada
AZ	Arizona	NH	New Hampshire
AR	Arkansas	NJ	New Jersey
CA	California	NM	New Mexico
CO	Colorado	NY	New York
CT	Connecticut	NC	North Carolina
DE	Delaware	ND	North Dakota
DC	District of Columbia	OH	Ohio
FL	Florida	OK	Oklahoma
GA	Georgia	OR	Oregon
HA	Hawaii	PA	Pennsylvania
ID	Idaho	PR	Puerto Rico
IL	Illinois	RI	Rhode Island
IN	Indiana	SC	South Carolina
IA	Iowa	SD	South Dakota
KS	Kansas	TN	Tennessee
KY	Kentucky	TX	Texas
LA	Louisiana	UT	Utah
ME	Maine	VT	Vermont
MD	Maryland	VA	Virginia
MA	Massachusetts	VI	Virgin Islands
MI	Michigan	WA	Washington
MN	Minnesota	WV	West Virginia
MS	Mississippi	WI	Wisconsin
MO	Missouri	WY	Wyoming
MT	Montana		

Field: locoff

Field Name: Local Office

Description: Enter the SESA local office code, itinerant point number, or code designating telephone or electronically filed claims through which the claim was filed.

Field Type: Character

Field Size: 4

Edits:

The edits of this field are State dependent. Specifically, the values used for validation can be derived from **uidb.b_qcslo.lo_id**.

Field: invid

Field Name: Investigator Identification

Description: Enter the code of investigator or supervisor to whom the case was assigned. The BAM supervisor assigns these codes. If more than one investigator worked on the case, enter code of investigator who established whether or not the payment/determination under investigation was correctly made. Entry of this code will automatically enter the current date in the assignment date field.

Field Type: Smallint

Field Size: 2

Edits:

The edits of this field are State dependent. Specifically, the values used for validation can be derived from **uidb.b_uaf.id**.

Field: methinfoot

Field Name: Primary Method Claimant Information Obtained

ET HANDBOOK NO. 395

Description: Enter the code which best describes the method by which the information contained on the claimant questionnaire was obtained.

- 1 = In-person interview
- 2 = Telephone interview
- 3 = Mail or other method (including e-mail or fax)
- 1 = Information not available or missing

Field Type: Character

Field Size: 2

Edits:

Valid Codes: 1, 2, 3, or -1.

Field: citizen

Field Name: U.S. Citizen

Description: Enter applicable code after appropriate verifications.

- 1 = U.S. Citizen
- 2 = Alien eligible under 3304(a)(14)FUTA
- 3 = Alien ineligible under 3304(a)(14)FUTA
- 1 = Information not available or missing

Field Type: Character

Field Size: 2

Edits:

Valid Codes: 1, 2, 3, or -1.

If the value equals 3, then the Error Issue Cause, **b_dca_errisu.cause**, must contain a 200 or 400 series error.

Field: dob

Field Name: Date of Birth

Description: Enter month, day, and year of Birth. If month of birth is unknown, use "06". If day of birth is unknown, use "01". If date of birth is unknown use, "01/01/0001".

Field Type: Date

Field Size: 10

Format: MM/DD/YYYY

Edits:

01/01/0001 = Information not available or missing

Field: gender

Field Name: Gender

Description: Enter appropriate code.

1 = Male

2 = Female

-1 = Information not available or missing

Field Type: Character

Field Size: 2

Edits:

Valid code: 1, 2 and -1.

Field: ethnic

Field Name: Race / Ethnic Classification

Description: Enter appropriate ethnic code.

ET HANDBOOK NO. 395

The two-digit race / ethnic codes for the claimant are summarized in the following table: If neither race nor Hispanic/Latino ethnicity is known, code '99'.

First Position → Second Position ↓	0 - Not Hispanic or Latino	1 - Hispanic or Latino	9- Ethnicity Unknown
1 - White	01	11	91
2 - Black or African American	02	12	92
3 - Asian	03	13	93
4 - American Indian or Alaska Native	04	14	94
5 - Native Hawaiian or Other Pacific Islander	05	15	95
6 - Multiple Categories Reported	06	16	96
9 - Race Unknown	09	19	99

Field Type: Character

Field Size: 2

Edits:

Valid Codes: See table.

Field: educ

Field Name: Education

Description: Enter highest level of academic education completed after appropriate verifications.

ET HANDBOOK NO. 395

- 0 = Never attended school
- 1 thru 11 = Highest grade completed
- 12 = High school graduate or GED
- 14 = Some college (but no degree)
- 15 = Associate's Degree
- 16 = BA or BS Degree
- 20 = Graduate Degree (Masters, MD, PhD, JD, etc.)
- 1 = Information not available or missing

Field Type: Character

Field Size: 2

Edits:

Valid Codes: 0, 1 - 12, 14 - 16, 20 or -1.

Field: voctech

Field Name: Vocational or Technical School Training

Description: Enter applicable code after appropriate verification of job related course.

- 1 = Never attended
- 2 = Attended, but not certified
- 3 = Attended and received certificate
- 1 = Missing or information not available
- 2 = Not Applicable

Field Type: Character

Field Size: 2

Edits:

Valid Codes: 1, 2, 3, -1, or -2.

Field: trainstat

Field Name: Training Status

Description: Enter the applicable code, after verification, for the claimant's training status during the Key Week or Denial period.

0 = Not in training

UI Approved Training: Not UI Approved Training:

11 = Tech./voc.

21 = Tech./voc.

12 = WIA

22 = WIA

13 = Academic

23 = Academic

14 = Other

24 = Other

-1 = Information not available or missing

-2 = Not Applicable

Field Type: Character

Field Size: 2

Edits:

Valid Codes: 0, 11 - 14, 21 - 24, -1, or -2.

Field: usualocc

Field Name: Occupation Code For Usual Job

Description: Enter the first three digits of the SOC / O*NET code (minor occupation group level) for claimant's usual (primary) occupation.

Field Type: Character

Field Size: 3

Edits:

Field is edited on the first two positions for the following valid 2-digit SOC major occupational groups.

Code SOC Major Group

ET HANDBOOK NO. 395

- 11 Management Occupations
- 13 Business and Financial Operations Occupations
- 15 Computer and Mathematical Occupations
- 17 Architecture and Engineering Occupations
- 19 Life, Physical, and Social Science Occupations
- 21 Community and Social Services Occupations
- 23 Legal Occupations
- 25 Education, Training, and Library Occupations
- 27 Arts, Design, Entertainment, Sports, and Media Occupations
- 29 Healthcare Practitioners and Technical Occupations
- 31 Healthcare Support Occupations
- 33 Protective Service Occupations
- 35 Food Preparation and Serving Related Occupations
- 37 Building and Grounds Cleaning and Maintenance Occupations
- 39 Personal Care and Service Occupations
- 41 Sales and Related Occupations
- 43 Office and Administrative Support Occupations
- 45 Farming, Fishing, and Forestry Occupations
- 47 Construction and Extraction Occupations
- 49 Installation, Maintenance, and Repair Occupations
- 51 Production Occupations
- 53 Transportation and Material Moving Occupations
- 55 Military Specific Occupations

-1 = Information not available or missing.

-2 = Information not applicable.

Field: seekocc

Field Name: Occupation Code (Seeking Work)

Description: Enter the first three digits of the SOC / O*NET code (minor occupation group level) for type of work that claimant is seeking.

Field Type: Character

Field Size: 3

Edits:

Field is edited on the first two positions for the following valid 2-digit SOC major occupational groups. See Occupation Code For Usual Job (usualocc).

Field: ushrwage

Field Name: Normal Hourly Wage, Usual Job

Description: Enter normal hourly wage for the claimant's primary occupation after appropriate verifications. Express in dollars and cents per hour (e.g., \$5.50 per hour is coded as 5.50.). 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, then divide by 40 or normal weekly hours for claimant's usual occupation.

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

Field Type: Money (5,2)

By definition, the *precision* is five (5) and the number of digits to the right of the decimal point, the *scale*, is two (2).

Field Size: 5

Edits:

Validation set by SESA.

-1 = Information not available or missing

-2 = Information not applicable

Field: lohrwage

Field Name: Lowest Acceptable Hourly Wage

Description: Enter lowest hourly wage that claimant was willing to accept. Express in dollars and cents per hour (e.g., \$5.50 per hour is coded as 5.50.). 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 the occupation claimant is seeking.

Monthly wages - divide by 4.33, then divide by 40 or normal weekly hours for the occupation claimant is seeking.

Yearly wages - divide by 52, then divide by 40 or normal weekly hours for the occupation claimant is seeking.

Field Type: Money (5,2)

By definition, the *precision* is five (5) and the number of digits to the right of the decimal point, the *scale*, is two (2).

Field Size: 5

Edits:

Validation set by SESA.

-1 = Information not available or missing

-2 = Information not applicable

Field: program

Field Name: Program Code

Description: Enter appropriate program code which identifies the type of claim that was taken:

1 = UI

2 = UI-UCFE

3 = UI-UCX

4 = UI-UCFE-UCX

5 = UCFE

6 = UCFE-UCX

7 = UCX

ET HANDBOOK NO. 395

8 = [Reserved for temporary programs such as EUC]
9 = Deleted record (did not belong in sampling frame)

Field Type: Character

Field Size: 1

Edits:

Valid Codes: 1, 2, 3, 4, 5, 6, 7, 8 and 9.

Field: cwc

Field Name: Combined Wage Claim

Description: Enter the code which applied at the time the claim was denied or week claimed was paid (either full or partial week paid).

- 1 - CWC Intrastate Claim
- 2 - No Combined Wages, Intrastate Claim
- 3 - Pending out-of-State wages Intrastate Claim
- 4 - CWC Interstate Claim
- 5 - No Combined Wages, Interstate Claim
- 6 - Pending out-of-State wages Interstate Claim

Use codes 1 or 4 if out-of-State wages were used for the monetary determination. Use codes 2 or 5 if there are no out-of-State wages or if the claimant declined to combine. Use codes 3 or 6 if out-of-state wages have been requested but not received or acted upon at the time the payment/determination was made.

Field Type: Smallint

Field Size: 1

Edits:

Valid codes: 1, 2, 3, 4, 5 or 6.

Cannot equal 1 or 4 if the Number of Base Period Employers Before Investigation equals 1, (**b_dca_master.bpempbef = 1**).

Field: byb

Field Name: Benefit Year Beginning

Description: Enter effective date of most recent new or transitional (not reopened or additional) claim for denial or payment being investigated.

Field Type: Date

Field Size: 10

Format: MM/DD/YYYY

Edits:

Can be "02/02/0002" - No Applicable.

If the Claim Date is not "02/02/0002":

Must be earlier than or equal to compensable week ending date.
Cannot be more than 366 days prior to the Claim Date.

2. Benefit Year Information

Master Table (b_dca_master)

Field: icfilmeth

File Name: Initial (New/Additional) Claim Filing Method

Description: Enter filing method for the new initial, transitional, or most recent additional claim for payment/determination under investigation.

- 1 = In-Person Claim
- 2 = Mail Claim (including e-mail)
- 3 = Telephone Claim (including automated, interactive telephone systems)
- 4 = Employer-Filed Claim
- 5 = Other (including Internet, fax, or electronic other than e-mail)
- 1 = Information not available or missing

Field Type: Character

Field Size: 2

Edits:

Valid Codes 1, 2, 3, 4, 5 or -1.

Field: bri

Field Name: Benefit Rights Given

Description: Enter all codes that apply regarding method by which claimant was given Benefit Rights Interview.

Each distinct position within the field **ABCD** is boolean (true/false), where **A** is In-person Interview, **B** is Group Interview, **C** is Booklet or Pamphlet, and **D** is Video / Electronic (including Internet) / or other multimedia. The valid codes are summarized in the following table.

ET HANDBOOK NO. 395

Benefits Rights Given	
A = In-person Interview 0 - Not Given 1 - In-person interview given	B = Group Interview 0 - Not Given 2 - Group interview given
C = Booklet / Pamphlet 0 - Not Given 3 - Booklet / Pamphlet given	D = Video / Electronic / Other Multimedia 0 - Not Given 4 - Video / Electronic (including Internet) / Other Multimedia given

Utilizing this method, there are 16 different combinations:

Benefit Rights Given Combinations	
0000	No Benefits Rights Given
1000	In-person (individual) Interview Only
0200	Group Interview Only
0030	Booklet / Pamphlet Only
0004	Video / Electronic / Other Multimedia Only
1200	In-person (individual) and Group Interview
1030	In-person (individual) and Booklet / Pamphlet
1004	In-person (individual) and Video / Electronic / Other Multimedia
1230	In-person (individual), Group and Booklet / Pamphlet
1204	In-person (individual), Group and Video / Electronic / Other Multimedia
1034	In-person (individual), Booklet / Pamphlet, and Video / Electronic / Other Multimedia
1234	In-person (individual), Group, Booklet / Pamphlet, and Video / Electronic / Other Multimedia
0230	Group Interview and Booklet / Pamphlet
0204	Group Interview and Video / Electronic / Other Multimedia
0234	Group Interview, Booklet / Pamphlet and Video / Electronic / Other Multimedia

Benefit Rights Given Combinations	
0034	Booklet / Pamphlet and Video / Electronic / Other Multimedia

Field Size: 4 (variable entries)

Edits:

Must be one of the 16 code combinations in the above table; '-1', Missing; or '-2', Not Applicable.

Field: priemptic

Field Name: Industry Code of Primary Base Period Employer

Description: Enter four-digit (industry group level) NAICS code for the claimant's primary base period employer, prior to most recent new or additional claim, as of the Claim Date. If only a two-digit NAICS sector level is available on the State's computer system, enter the two digits followed by two zeros.

-1 = Information not available or missing

-2 = Not Applicable (No Primary Base Period Employer)

Field Type: Character

Field Size: 4

Edits:

Field is edited on the first two positions for the following valid 2-digit NAICS codes (sector level):

Code	NAICS Sectors
11	Agriculture, Forestry, Fishing and Hunting
21	Mining
22	Utilities
23	Construction
31-33	Manufacturing
42	Wholesale Trade
44-45	Retail Trade
48-49	Transportation and Warehousing
51	Information
52	Finance and Insurance
53	Real Estate and Rental and Leasing
54	Professional, Scientific, and Technical Services

ET HANDBOOK NO. 395

55	Management of Companies and Enterprises
56	Administrative and Support and Waste Management and Remediation Services
61	Education Services
62	Health Care and Social Assistance
71	Arts, Entertainment, and Recreation
72	Accommodation and Food Services
81	Other Services (except Public Administration)
92	Public Administration

-1 = Information not available or missing.

-2 = Information not applicable.

Field: lastempsic

Field Name: Industry Code of Last Employer

Description: Enter four-digit (industry group level) NAICS code for the claimant's last employer, prior to most recent new or additional claim, as of the Claim Date. If only a two-digit NAICS sector level is available on the State's computer system, enter the two digits followed by two zeros.

Field Type: Character

Field Size: 4

Edits:

Field is edited on the first two positions for the following valid 2-digit NAICS codes (sector level). See Industry Code of Primary Base Period Employer (priempsic).

Field: wkfilmeth

Field Name: Method for Filing Week Claimed

Description: Enter filing method for claim. If "Claim Type" is "0" (no week claimed), this field will be coded "0". If the determination that denied eligibility affected multiple weeks and the claimant used different methods to file the affected weeks, code the filing method for the most recent week affected by the denial determination.

0 = No week claimed

1 = Mail Claim (including e-mail)

2 = In-Person Claim

ET HANDBOOK NO. 395

- 3 = Employer-Filed Claim
- 4 = Telephone Claim (including automated, interactive telephone systems)
- 5 = Other (including Internet, fax, or electronic other than e-mail)
- 1 = Information not available or missing

Field Type: Character

Field Size: 2

Edits:

Must be " 0", " 1", " 2", " 3", " 4", " 5" or Missing ("-1").

Field: origamtpd

Field Name: Original Amount Paid and/or Offset for Denial Period/Week

Description: Enter original whole dollar amount paid and/or offset (including any dependent allowance and/or child support intercept) for weeks affected by denial determination under investigation.

Field Type: Money (5,0)

By definition, the *precision* is five (5) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 5

Edits:

Can equal zero (0).

Original Amount Paid/Offset must be less than or equal to MBA Before Investigation (**b_dca_master.mbabef**).

If Sample Type equals '4':

Original Amount Paid/Offset plus Earnings Deduction Before Investigation plus Other Income Deduction Before Investigation (**b_dca_master.origamtpd+b_dca_master.earndedbef + b_dca_master.othdedsbef**) must be less than or equal to MBA Before Investigation (**b_dca_master.mbabef**).

Field: wksdenbef

ET HANDBOOK NO. 395

Field Name: Number of Weeks Denied Before Investigation

Description: Enter the number of weeks claimant was disqualified as a result of the determination selected for investigation (regardless of whether those weeks have been claimed as of yet).

99 = Indefinite disqualification

-2 = Not applicable (Sample Type equals "1" only)

Field Type: Smallint

Field Size: 2

Edits:

Must be 0 - 52, or 99 for Sample Type equal 2 - 4.

Field: wksdenaft

Field Name: Number of Weeks Denied After Investigation

Description: Enter number of weeks claimant should have been disqualified subsequent to investigation according to DCA findings (regardless of whether those weeks have been claimed as of yet).

99 = Indefinite disqualification

-2 = Not applicable (Sample Type equals "1")

Field Type: Smallint

Field Size: 2

Edits:

Must be 0 - 52, or 99 for Sample Type equal 2 - 4.

Field: wbabef

Field Name: Weekly Benefit Amount (WBA) Before Investigation

Description: Enter claimant's maximum WBA at time of selection for investigation based on monetary determination, expressed in whole dollars. Disregard dependents allowances, pension deductions, or earnings (if any). Do

ET HANDBOOK NO. 395

not use adjusted WBA based on monetary redetermination made as a result of nonmonetary issues (e.g., a separation issue or administrative penalty).

0 = Ineligible

Field Type: Money (3,0)

By definition, the *precision* is three (3) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 3

Edits:

Validation range set by SESA.

Can be zero (0).

Must be zero (0) if the Number of Base Period Employers Before Investigation is zero (0), (**b_dca_master.bpempbef = 0**).

Must be less than or equal to the Maximum Benefit Amount (MBA) Before Investigation (**b_dca_master.mbabef**).

Field: wbaaft

Field Name: WBA After Investigation

Description: Enter claimant's correct maximum WBA based on the monetary determination which should have applied, expressed in whole dollars. Disregard dependents' allowances, pension deductions, or earnings (if any). Disregard WBA resulting from a monetary redetermination caused by nonmonetary issues (e.g., a separation issue or administrative penalty).

0 = Ineligible

Field Type: Money (3,0)

By definition, the *precision* is three (3) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 3

Edits:

ET HANDBOOK NO. 395

Validation range set by SESA.

Must be zero (0) if the Number of Base Period Employers After Investigation is zero (0), (**b_dca_master.bpempaft = 0**).

Must be equal to or less than the Maximum Benefit Amount After Investigation, (**b_dca_master.mbaaft**).

Field: mbabef

Field Name: Maximum Benefit Amount (MBA) Before Investigation

Description: Enter maximum benefit amount, based on monetary determination. Express in whole dollars. Do not use adjusted MBA based on monetary redetermination made as a result of nonmonetary issues (e.g., a separation issue or administrative penalty). Disregard any EB or FSC benefit entitlement, State supplemental payments, dependents' allowances or any deductions.

0 = Ineligible

Field Type: Money (5,0)

By definition, the *precision* is five (5) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 5

Edits:

The Validation range is set by the SESA.

Can be zero (0).

Must be greater than the Remaining Balance (RB) as of Date of Determination/Compensable Week Ending Date, Before Investigation (**b_dca_master.balbef**).

Must be equal to or greater than the Weekly Benefit Amount (WBA) Before Investigation (**b_dca_master.wbabef**).

Field: mbaaft

Field Name: MBA After Investigation

ET HANDBOOK NO. 395

Description: Enter maximum benefit award based on the monetary determination which should have applied. Express in whole dollars. Disregard MBA resulting from a monetary redetermination caused by nonmonetary issues (e.g., a separation issue or administrative penalty). Disregard any EB or FSC benefit entitlement, State supplemental payments, dependents' allowances or any deductions.

0 = Ineligible

Field Type: Money (5,0)

By definition, the *precision* is five (5) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 5

Edits:

Validation range set by SESA.

Must be zero (0) if the Number of Base Period Employers After Investigation is zero (0); (**b_dca_master.bpempaft = 0**).

Field: balbef

Field Name: Remaining Balance (RB) as of Date of Determination/Compensable Week Ending Date, Before Investigation

Description: Enter remaining balance of claimant's benefits as of the date of the determination under investigation or the compensable week ending date even though it was paid at a later date, before the investigation. Deduct amount of the compensable week payment regardless of date paid when computing remaining balance. Exclude amounts for dependency allowances.

0 = balance is exhausted.

COMPUTE REMAINING BALANCE AS FOLLOWS:

Array payments in chronological order by compensable week ending date.

Sum the dollar amount of all weeks paid up to and including the last week in the period included in the determination under investigation.

Deduct this amount from Maximum Benefit Amount.

ET HANDBOOK NO. 395

Result is remaining balance.

EXAMPLE: Claimant's MBA is \$2,600; WBA is \$100. The first compensable week is a partial payment of \$80, which is selected for the DCA sample. The first compensable week was paid after compensable week 2 (a total payment of \$100) was paid. The SESA record will indicate a balance of \$2,420 based on the payments of the two compensable weeks. For DCA, however, the remaining balance is \$2,520 because payments are arrayed chronologically by compensable week ending date, and the first compensable week was the one selected for investigation.

Field Type: Money (5,0)

By definition, the *precision* is five (5) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 5

Edits:

Must be less than or equal to the Maximum Benefit Amount (MBA) Before Investigation (**b_dca_master.mbabef**).

Can be zero (0).

Field: balaft

Field Name: Remaining Balance (RB) as of Date of Determination/Compensable Week Ending Date, After Investigation

Description: Enter remaining balance of claimant's benefits which should have applied, after the investigation. Deduct amount of the compensable week payment regardless of date paid when computing remaining balance. Exclude amounts for dependency allowances.

COMPUTE REMAINING BALANCE AS FOLLOWS:

Array payments in chronological order by compensable week ending date.

Sum the dollar amount of all weeks paid up to and including the last week in the period included in the determination under investigation.

Deduct this amount from Maximum Benefit Amount.

Result is remaining balance.

ET HANDBOOK NO. 395

NOTE: The remaining balance after investigation for erroneously denied claims can be greater than, equal to, or less than the remaining balance before investigation, depending on the type of denial and the specific circumstances of the case.

EXAMPLE 1: Claimant is monetarily ineligible. DCA investigation determines claimant was erroneously denied and that the claimant's MBA should be \$3,900. Remaining Balance Before Investigation is \$0; Remaining Balance After Investigation is \$3,900.

EXAMPLE 2: Claimant's MBA is \$2,600 and WBA is \$100. Claimant's first compensable week was reduced by \$20 due to earnings during the week claimed. DCA investigation determines claimant was erroneously denied and that the claimant should have been paid the full \$100. A supplemental payment of \$20 is issued. Remaining Balance Before Investigation is \$2,520; Remaining Balance After Investigation is \$2,500.

EXAMPLE 3: Claimant is denied a single week claimed on an availability issue. Claimant's remaining balance at the time of the denial was \$1,600. DCA investigation determines claimant was erroneously denied. Claimant did not appeal the denial and finality rules preclude payment for the week denied by the time DCA completes the case. Remaining Balance After Investigation is \$1,600.

Field Type: Money (5,0)

By definition, the *precision* is five (5) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 5

Edits:

Must be less than or equal to the Maximum Benefit Amount (MBA) After Investigation (**b_dca_master.mbaaft**).

Can be zero (0).

3. Monetary Information

Master Table (b_dca_master)

Field: monstatbef

Field Name: Reason for Monetary Denial Before Investigation

Description: Enter the code that identifies the issue used to issue monetary determination. Second digit is for optional State use. This field is coded for denials cases only.

Series ID:

10 = Insufficient wages

20 = Insufficient hours/weeks/days

30 = Failure of high quarter wage test

40 = Requalification Wage Requirement

50 = Other

-2 = Not applicable (Sample Type equals "1", "3" or "4")

Field Type: Character

Field Size: 2

Edits:

Must be 10 to 59.

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is one (1), three (3) or four (4).

Field: monstataft

Field Name: Reason for Monetary Denial After Investigation

Description: Enter the code that the DCA investigation establishes as the correct criterion for the monetary determination. Second digit is for optional State use. This field is coded for denials cases only.

Series ID:

00 = Sufficient wages/hours/weeks/days (claimant monetarily eligible)

10 = Insufficient wages

20 = Insufficient hours/weeks/days

ET HANDBOOK NO. 395

30 = Failure of high quarter wage test

40 = Requalification Wage Requirement

50 = Other

-2 = Not applicable (Sample Type equals "1", "3", or "4")

Field Type: Character

Field Size: 2

Edits:

Must be 10 to 59.

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is one (1), three (3) or four (4).

Field: bpempbef

Field Name: Number of Base Period Employers Before Investigation

Description: Enter number of subject base period employers, before investigation, that were used in calculating Weekly Benefit Amount (WBA) and Maximum Benefit Amount (MBA) for the monetary determination under investigation, even if claimant is ineligible. Include seasonal, school, and out-of-state employers if they paid wages which were used in the monetary determination.

-2 = Not applicable (Sample Type equals '3' and '4' only)

Field Type: Smallint

Field Size: 2

Edits:

Validation range set by SESA.

Can be zero (0).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: bpempaft

ET HANDBOOK NO. 395

Field Name: Number of Base Period Employers After Investigation

Description: Enter number of subject base period employers, after investigation, which should have been used to calculate WBA and MBA, even if claimant is ineligible. Include seasonal, school, and out-of-state employers if they should have been used in calculating the monetary determination.

Enter "0" if it is established that there were no base period employers as a result of the investigation.

-2 = Not applicable (Sample Type equals '3' and '4' only)

Enter the Number of Base Period Employers Before Investigation, **b_dca_master.bpempbef**, value if DCA establishes that there is no change from the number of base period employers before investigation.

Field Type: Smallint

Field Size: 2

Edits:

Validation range set by SESA.

Can be zero (0).

If the Number of Base Period Employers After Investigation is zero (0), (**b_dca_master.bpempaft = 0**), then the Base Period Wages After Investigation (**b_dca_master.bpwaft**), the Weekly Benefit Amount (WBA) After Investigation (**b_dca_master.wbaaft**), and the Maximum Benefit Amount (MBA) After Investigation (**b_dca_master.mbaaft**) must be zero (0).

If the Number of Base Period Employers After Investigation is zero (0), (**b_dca_master.bpempaft = 0**), then the High Quarter Wages After Investigation (**b_dca_master.hqwaft**), the Number of Weeks Worked in Base Period After Investigation (**b_dca_master.bpwksaft**), the Dependent's Allowance After Investigation (**b_dca_master.allowaft**), and the Number of Dependents Claimed After Investigation (**b_dca_master.depaft**) must be zero (0) or -2 (Not Applicable).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: bpwbef

ET HANDBOOK NO. 395

Field Name: Base Period Wages Before Investigation

Description: Enter total amount of all wages from employers identified in "Number of BP Employers Before Investigation". Express in whole dollars. Include seasonal, school, and out-of-state wages if they were used in the monetary determination.

-2 = Not applicable (Sample Type equals '3' and '4' only)

Field Type: Money (5,0)

By definition, the *precision* is five (5) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 6

Edits:

Validation range set by SESA.

Can be zero (0).

Must be greater than or equal to the High Quarterly Wages Before Investigation (**b_dca_master.hqwbef**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: bpwaft

Field Name: Base Period Wages After Investigation

Description: Enter total amount of all BP wages from employers identified in "Number of BP Employers After Investigation". Express in whole dollars. Disregard any state reduction in BP wages due to administrative penalty.

-2 = Not applicable (Sample Type equals '3' and '4' only)

Field Type: Money (5,0)

By definition, the *precision* is five (5) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 6

Edits:

Validation range set by SESA.

Must be zero (0) if the Number of Base Period Employers After Investigation is zero (0); (**b_dca_master.bpempaft = 0**).

Cannot be zero (0) if the Number of Base Period Employers After Investigation is greater than zero (0); (**b_dca_master.bpempaft > 0**).

Must be greater than or equal to the High Quarterly Wages After Investigation (**b_dca_master.hqwaft**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: hqwbef

Field Name: High-Quarter Wages Before Investigation

Description: If available from State records, enter total whole dollar amount of claimant's high-quarter base period wages (before investigation) used in the monetary determination under investigation. State formula for calculating high-quarter wages is to be used. Include seasonal wages and school wages, if used.

Enter 99999 if greater than \$99999.

-1 = Information not available or missing

-2 = Not applicable

Field Type: Money (5,0)

By definition, the *precision* is five (5) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 5

Edits:

Can be zero (0).

Validation range set by SESA.

Must be less than or equal to the Base Period Wages Before Investigation (**b_dca_master.bpwbef**).

ET HANDBOOK NO. 395

Can be Missing (-1) or Not Applicable (-2).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: hqwaft

Field Name: High-Quarter Wages After Investigation

Description: Enter total whole dollar amount of claimant's high-quarter base period wages from those employers identified in "Number of BP Employers After Investigation" that should have been used for the monetary determination under investigation. Use State formula for calculating high-quarter wages.

Enter 99999 if greater than \$99,999.

-1 = Information not available or missing

-2 = Not applicable

Field Type: Money (5,0)

By definition, the *precision* is five (5) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 5

Edits:

Can be zero (0).

Validation range set by SESA.

Must be less than or equal to the Base Period Wages After Investigation (**b_dca_master.bpwaft**).

Must be zero (0) or -2 (Not Applicable) if the Number of Base Period Employers After Investigation is zero (0); (**b_dca_master.bpempaft = 0**).

Cannot be zero (0) if the Base Period Wages After Investigation are greater than zero (0); (**b_dca_master.bpwaft > 0**).

Can be Missing (-1) or Not Applicable (-2).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: bpwksbef

Field Name: Number of Weeks Worked in BP Before Investigation

Description: Enter number of weeks, as defined by State law and procedures, that claimant worked in base period, before investigation. Complete this item if required by State law for eligibility.

-2 = Weeks/hours of work are not required.

Field Type: Smallint

Field Size: 3

Edits:

Validation range set by SESA.

Can be Not Applicable (-2).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: bpwksaft

Field Name: Number of Wks. Worked in BP After Investigation

Description: Enter number of weeks claimant worked in base period after investigation. Complete this item if required by State law for eligibility.

-2 = Weeks/hours of work are not required

Field Type: Smallint

Field Size: 3

Edits:

Validate range set by SESA.

Must be zero (0) or -2 (Not Applicable) if the Number of Base Period Employers After Investigation is equal to zero (0); (**b_dca_master.bpempaft = 0**).

ET HANDBOOK NO. 395

Must be greater than zero (0) or -2 (Not Applicable) if the Number of Base Period Employers After Investigation is greater than zero (0) and Base Period Wages After Investigation are greater than zero (0); (**b_dca_master.bpempaft > 0**) and (**b_dca_master.bpwaft > 0**).

Can be Not Applicable (-2).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: depbef

Field Name: Number of Dependents Claimed Before Investigation

Description: Enter the number of dependents claimed.

0 = None

-2 = State does not have a dependency provision

Field Type: Smallint

Field Size: 2

Edits:

Validation range set by SESA.

Can be zero (0).

Can be Not Applicable (-2).

Must be zero (0) if the Dependents' Allowance Before Investigation is zero (0); (**b_dca_master.allowbef = 0**).

Must be Not Applicable (-2) if the Dependents' Allowance Before Investigation is Not Applicable (-2); (**b_dca_master.allowbef = -2**).

Cannot be Not Applicable (-2) if the Dependents' Allowance Before Investigation is not Not Applicable (-2); (**b_dca_master.allowbef != -2**).

Cannot be zero (0) if the Dependents' Allowance Before Investigation is not zero (0); (**b_dca_master.allowbef != 0**).

ET HANDBOOK NO. 395

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: depaft

Field Name: Number of Dependents Claimed After Investigation

Description: Enter the correct number of dependents that should be claimed.

0 = None

-2 = State does not have a dependency provision

Field Type: Smallint

Field Size: 2

Edits:

Validation range set by SESA.

Can be Not Applicable (-2).

Must be zero (0) or Not Applicable (-2) if the Number of Base Period Employers After Investigation is zero (0); (**b_dca_master.bpempaft = 0**).

Must be zero (0) if the Dependents' Allowance After Investigation is zero (0); (**b_dca_master.allowaft = 0**).

Must be Not Applicable (-2) if the Dependents' Allowance After Investigation is Not Applicable (-2); (**b_dca_master.allowaft = -2**).

Cannot be Not Applicable (-2) if the Dependents' Allowance After Investigation is not Not Applicable (-2); (**b_dca_master.allowaft != -2**).

Cannot be zero (0) if the Dependents' Allowance After Investigation is not zero (0); (**b_dca_master.allowaft != 0**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: allowbef

Field Name: Dependents' Allowance Before Investigation

ET HANDBOOK NO. 395

Description: Enter the whole dollar amount of dependents allowance before investigation, if any, that is payable to the claimant on a week to week basis.

0 = Claimant not eligible for allowance
-2 = State does not have a dependency provision

Field Type: Money (3,0)

By definition, the *precision* is three (3) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 3

Edits:

Validation range set by SESA.

If the State code does not equal Alaska (**b_dca_master.state != "AK"**), then the Dependence Allowance Before Investigation must be less than the Weekly Benefit Amount (WBA) Before Investigation;
(**b_dca_master.allowbef < b_dca_master.wbabef**).

Must be zero (0) if the Number of Dependents Claimed Before Investigation is zero (0); (**b_dca_master.depbef = 0**).

Cannot be zero (0) if the Number of Dependents Claimed Before Investigation is greater than zero (0); (**b_dca_master.depbef > 0**).

Can be Not Applicable (-2);

Must be Not Applicable (-2) if the Number of Dependents Claimed Before Investigation is Not Applicable (-2); (**b_dca_master.depbef = -2**).

Cannot be Not Applicable (-2) if the Number of Dependents Claimed Before Investigation is not Not Applicable (-2); (**b_dca_master.depbef != -2**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: allowaft

Field Name: Dependents' Allowance After Investigation

ET HANDBOOK NO. 395

Description: Enter the correct whole dollar amount of dependents' allowance that should have been payable to the claimant on a week-to-week basis.

0 = Claimant not eligible for allowance
-2 = State does not have a dependency provision

Field Type: Money (3,0)

By definition, the *precision* is three (3) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 3

Edits:

Validation range set by SESA.

If the State code does not equal Alaska (**b_dca_master.state != "AK"**), then the Dependence Allowance After Investigation must be less than the Weekly Benefit Amount (WBA) After Investigation;
(**b_dca_master.allowaft < b_dca_master.wbaaft**).

Can be Not Applicable (-2);

Must be zero (0) or Not Applicable (-2) if the Number of Base Period Employers After Investigation is zero (0); (**b_dca_master.bpempaft = 0**).

Must be zero (0) if the Number of Dependents Claimed After Investigation is zero (0); (**b_dca_master.depaupt = 0**).

Cannot be zero (0) if the Number of Dependents Claimed After Investigation is greater than zero (0); (**b_dca_master.depaupt > 0**).

Must be Not Applicable (-2) if the Number of Dependents Claimed After Investigation is Not Applicable (-2); (**b_dca_master.depaupt = -2**).

Cannot be Not Applicable (-2) if the Number of Dependents Claimed After Investigation is not Not Applicable (-2); (**b_dca_master.depaupt != -2**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

Field: monredet

Field Name: Monetary Redetermination

ET HANDBOOK NO. 395

Description: Enter appropriate code which indicates whether SESA redetermined claimant's monetary eligibility prior to or during course of the DCA investigation. Consider only monetary redeterminations conducted by the State agency independent of the DCA investigation. Do not consider monetary redeterminations conducted by the State agency as a result of the DCA investigation. Do not consider redeterminations resulting from a nonmonetary issue (e.g., a separation issue or administrative penalty).

1 = Yes

2 = No

-2 = Not applicable (Sample Type equals '3' and '4' only)

Field Type: Character

Field Size: 1

Edits:

Must be one (1) or two (2).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is three (3) or four (4).

4. Separation Information

Master Table (b_dca_master)

Field: sepbef

Field Name: Reason for Separation Before Investigation

Description: Enter the code that identifies the reason for claimant's separation. The separation to be coded is that which is subject to the DCA investigation. The second digit of the code is reserved for optional SESA use to code more detailed issue information. For example, at the SESA's option, different types of Voluntary Quit or Discharge could be identified.

Series ID:

- 10 = Lack of Work (e.g., reduction in force, lay off)
- 20 = Voluntary Quit
- 30 = Discharge
- 40 = Labor Dispute
- 50 = Military
- 60 = Not separated (e.g., job attached, leave of absence)
- 2 = Not applicable (Sample Type equals '2' and '4' only)

Field Type: Character

Field Size: 2

Edits:

Must be 10 to 69.

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or four (4).

Field: sepaft

Field Name: Reason for Separation After Investigation

Description: Enter the code that the DCA investigation establishes as the correct reason that the claimant was separated. The second digit of the code is reserved for optional SESA use to code more detailed issue information. For example, at the SESA's option, different types of Voluntary Quit or Discharge could be identified.

ET HANDBOOK NO. 395

Series ID:

00 = No Separation Issue
10 = Lack of Work (e.g., reduction in force, layoff)
20 = Voluntary Quit
30 = Discharge
40 = Labor Dispute
50 = Military
60 = Not separated (e.g., job attached, leave of absence)
-2 = Not applicable (Sample Type equals '2' and '4' only)

Field Type: Character

Field Size: 2

Edits:

Must be 00 - 69.

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or four (4).

Field: sepdatebef

Field Name: Date of Separation Before Investigation

Description: Date of separation from last employer for which code was assigned in "Reason for Separation Before Investigation" (MM/DD/YYYY).

01/01/0001 = Information not available or missing
02/02/0002 = Not applicable (Sample Type equals '2' and '4' only)

Field Type: Date

Field Size: 10

Format: MM/DD/YYYY

Edits:

If Claim Date (**b_dca_master.clmdate**) is not '02/02/0002', date of separation must be less than or equal to the Claim Date plus 14 days and greater than or equal to the Claim Date minus 731 days.

May be "Missing" = 01/01/0001.

ET HANDBOOK NO. 395

Must be Not Applicable (02/02/0002) if the sample type (**b_dca_master.samptype**) is two (2) or four (4).

Field: sepdateaft

Field Name: Date of Separation After Investigation

Description: Date of separation from last employer for which code was assigned in "Reason for Separation After Investigation" (MM/DD/YYYY).

01/01/0001 = Information not available or missing

02/02/0002 = Not applicable (Sample Type equals '2' and '4' only)

Field Type: Date

Field Size: 10

Format: MM/DD/YYYY

Edits:

If Claim Date (**b_dca_master.clmdate**) is not '02/02/0002', date of separation must be less than or equal to the Claim Date plus 14 days and greater than or equal to the Claim Date minus 731 days.

May be "Missing" = 01/01/0001.

Must be Not Applicable (02/02/0002) if the sample type (**b_dca_master.samptype**) is two (2) or four (4).

5. Nonseparation Information

Master Table (b_dca_master)

Field: nonsepbf

Field Name: Reason for Nonseparation Determination Before Investigation

Description: Enter the code which represents the reason for the nonseparation determination before the DCA investigation. The second digit is for optional SESA use to code more detailed issue information.

Series ID:

10 = Able issue

20 = Available issue

30 = Work search issue

40 = Disqualifying/unreported income

50 = Refusal of suitable work

60 = Reporting/registration violation

70 = Other (e.g. alien, athlete, school, seasonality)

-2 = Not applicable (Sample Type equals "1", "2", or "3")

Field Type: Character

Field Size: 2

Edits:

Must be 10 - 79.

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is one (1), two (2) or three(3).

Field: nonsepaf

Field Name: Reason for Nonseparation Determination After Investigation

Description: Enter the code that the DCA investigation establishes as the correct nonseparation issue. The second digit of the code is reserved for optional SESA use to code more detailed issue information. Second digit for State Optional Use. This field is coded for denials cases only.

Series ID:

ET HANDBOOK NO. 395

00 = No nonseparation issue
10 = Able issue
20 = Available issue
30 = Work search issue
40 = Disqualifying/unreported income
50 = Refusal of work
60 = Reporting/registration violation
70 = Other (e.g. alien, athlete, school, seasonality)
-2 = Not applicable (Sample Type equals "1", "2", or "3")

Field Type: Character

Field Size: 2

Edits:

Must be 00 - 79.

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is one (1), two (2) or three (3).

Field: rclstatbef

Field Name: Recall Status Before Investigation

Description: Enter code which indicates claimant's recall status for the determination under investigation.

0 = No recall
1 = Definite recall (specific return date)
2 = Indefinite recall (no specific return date)
-1 = Information not available or missing
-2 = Not applicable

Field Type: Character

Field Size: 2

Edits:

Must be " 0", " 1", " 2", Missing "-1", or Not Applicable "-2".

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: rclstataft

Field Name: Recall Status After Investigation

Description: Enter correct recall status code as of determination under investigation. The valid codes are:

- 0 = No recall
- 1 = Definite recall (specific return date)
- 2 = Indefinite recall (no specific return date)
- 1 = Information not available or missing
- 2 = Not applicable

Field Type: Character

Field Size: 2

Edits:

Must be " 0", " 1", " 2", Missing "-1" or Not Applicable "-2".

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: totearnbef

Field Name: Total Earnings for Week(s) Before Investigation

Description: Enter total amount of earnings for weeks affected by the determination under investigation. Do not include other income such as pensions, holiday pay, vacation pay, pay in lieu of notice, separation pay, etc.

- 0 = none
- 9999 = if \$9999 or more
- 2 = Not applicable

Field Type: Money (4,0)

By definition, the *precision* is four (4) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 4

Edits:

ET HANDBOOK NO. 395

Can be zero (0).

Can be Not Applicable (-2).

If zero (0) then the Earnings Deduction for Week(s) Before Investigation must be zero (0); (**b_dca_master.earndedbef = 0**).

Must be equal to or greater than the Earnings Deduction for Week(s) Before Investigation (**b_dca_master.earndedbef**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: totearnaft

Field Name: Total Earnings for Week(s) After Investigation

Description: Enter total whole dollar amount of earnings for weeks affected by the determination under investigation. Do not include other income such as pensions, holiday pay, vacation pay, pay in lieu of notice, separation pay, etc.

0 = none

9999 = if \$9999 or more

-2 = Not applicable

Field Type: Money (4,0)

By definition, the *precision* is four (4) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 4

Edits:

Can be zero (0).

Can be Not Applicable (-2).

Must be equal to or greater than the Earnings Deduction for Week(s) After Investigation (**b_dca_master.earndedaft**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

ET HANDBOOK NO. 395

Field: earndedbef

Field Name: Earnings Deduction for Week(s) Before Investigation

Description: Enter total amount deducted for all weeks affected by determination under investigation. Total deduction can not exceed WBA times the number of weeks denied. 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.

0 = none

-2 = Not applicable

Field Type: Money (4,0)

By definition, the *precision* is four (4) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 4

Edits:

Must be zero (0) if Total Earnings for Week(s) Before Investigation is zero (0); (**b_dca_master.totearnbef = 0**).

Must be less than or equal to Total Earnings for Week(s) Before Investigation (**b_dca_master.totearnbef**).

The summation of Original Amount Paid/Offset plus Earnings Deduction Before Investigation plus Other Income Deduction Before Investigation must be less than or equal to MBA Before Investigation
(b_dca_master.origamtpd + b_dca_master.earndedbef + b_dca_master.othdedsbef) <= (b_dca_master.mbabef).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: earndedaft

Field Name: Earnings Deduction for Week(s) After Investigation

Description: Enter the total amount deducted for all weeks affected by the determination under investigation. Total can not exceed WBA times the number of weeks denied.

ET HANDBOOK NO. 395

Do not include other deductible income such as pensions, holiday pay, vacation pay, pay in lieu of notice, separation pay, etc.

0 = none
-2 = Not applicable

Field Type: Money (4,0)

By definition, the *precision* is four (4) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 4

Edits:

Must be zero (0) if the Total Earnings for Week(s) After Investigation is zero (0); (**b_dca_master.totearnft = 0**).

Must be less than or equal to Total Earnings for Week(s) After Investigation (**b_dca_master.totearnft**).

The summation of Earnings Deduction After Investigation plus Other Income Deduction After Investigation must be less than or equal to MBA After Investigation (**b_dca_master.earndedaft + b_dca_master.othdedsaft**) \leq (**b_dca_master.mbaaft**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: othdedincbef

Field Name: Total Other Deductible Income for Week(s) Before Investigation

Description: Enter total whole dollar amount of other income deductible under state law and which was included in the determination under investigation. Include pension received for the denial period, regardless of effect on the payment amount, using the State's method of determining 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.

0 = none
-2 = Not applicable

Example: Claimant has a WBA of \$225. During the period under investigation the claimant received payment in lieu of notice of \$200 and a pension payment of

ET HANDBOOK NO. 395

\$100, financed by a base period employer. In this State, both types of income are deductible; however, the pension provision requires only a 50 percent deduction. The amount entered in this field would be \$300, not \$250, because of the instruction to enter a figure including the total amount of pension regardless of its effect on the amount of benefit payment the claimant received.

Field Type: Money (4,0)

By definition, the *precision* is four (4) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 4

Edits:

Can be zero (0).

Can be Not Applicable (-2).

If zero (0) then Other Income Deductions for Week(s) Before Investigation must be zero (0); (**b_dca_master.othdedsbef = 0**).

Must be greater than or equal to Other Income Deductions for Week(s) Before Investigation (**b_dca_master.othdedsbef**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: othdedincaft

Field Name: Total Other Deductible Income for Week(s) After Investigation

Description: Enter the total whole dollar amount of other income deductible under state law affected by determination under investigation. Include pension received for the denial period, 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.

0 = none

-2 = Not applicable

See example for Total Other Deductible Income for Week(s) Before Investigation (othdedincbef).

Field Type: Money (4,0)

By definition, the *precision* is four (4) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 4

Edits:

Can be zero (0).

Can be Not Applicable (-2).

If zero (0), then the Other Income Deductions for Week(s) After Investigation must be zero (0); (**b_dca_master.othdedsoft = 0**).

Must be equal to or greater than the Other Income Deductions for Week(s) After Investigation (**b_dca_master.othdedsoft**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: othdedsbef

Field Name: Other Income Deductions for Week(s) Before Investigation

Description: Enter total amount in whole dollars deducted due to pension, holiday pay, vacation pay, pay in lieu of notice, separation pay, etc. in all weeks affected by determination under investigation. Total deduction can not exceed WBA times the number of weeks denied.

0 = none

-2 = Not applicable

Field Type: Money (4,0)

By definition, the *precision* is four (4) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 4

Edits:

Can be zero (0).

ET HANDBOOK NO. 395

Must be zero (0) if the Total Other Deductible Income for Week(s) Before Investigation is zero (0) (**b_dca_master.othdedincbef = 0**).

Must be less than or equal to the Total Other Deductible Income for Week(s) Before Investigation (**b_dca_master.othdedincbef**).

The summation of Original Amount Paid/Offset plus Earnings Deduction Before Investigation plus Other Income Deduction Before Investigation must be less than or equal to MBA Before Investigation
(**b_dca_master.origamtpd + b_dca_master.earndedbef + b_dca_master.othdedsbef**) <= (**b_dca_master.mbabef**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: othdedsaft

Field Name: Other Income Deductions for Week(s) After Investigation

Description: Enter total amount in whole dollars deducted due to pension, holiday pay, vacation pay, pay in lieu-of notice, separation pay, etc. in all weeks affected by the determination under investigation. Total can not exceed WBA times the number of weeks denied.

0 = none

-2 = Not applicable

Field Type: Money (4,0)

By definition, the *precision* is four (4) and the number of digits to the right of the decimal point, the *scale*, is zero (0).

Field Size: 4

Edits:

Can be zero (0).

Must be zero (0) if the Total Other Deductible Income for Week(s) After Investigation is zero (0) (**b_dca_master.othdedincaft = 0**).

Must be less than or equal to the Total Other Deductible Income for Week(s) After Investigation (**b_dca_master.othdedincaft**).

ET HANDBOOK NO. 395

The summation of Earnings Deduction After Investigation plus Other Income Deduction After Investigation must be less than or equal to MBA After Investigation (**b_dca_master.earndedaft + b_dca_master.othdedsaft**) \leq (**b_dca_master.mbaaft**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: wsreq

Field Name: Work Search Requirements

Description: Enter the code which applies to the determination under investigation according to UI law and policy.

1 = Required to actively seek work (in addition to union contact if applicable)

2 = An agency directive (written or verbal) temporarily suspended the claimant's normal work search for the Denial period affected by the determination.

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 = Not applicable (no active work search policy or Sample Type equals "2" or "3")

Field Type: Smallint

Field Size: 2

Edits:

Must be 1 - 5 or Not Applicable (-2).

If the Number of Job Contacts Listed is Not Applicable (-2)

(**b_dca_master.jobcon = -2**), then the Work Search Requirements cannot equal one (1) (**b_dca_master.wsreq != 1**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: jobcon

ET HANDBOOK NO. 395

Field Name: Number of Job Contacts Listed

Description: Enter number of all job contacts indicated from any source.
Note: if claimant sought work in denial period although not required to do so, enter number of contacts and make appropriate verifications.

- 0 = no contacts were indicated
- 1 = Information is not available
- 2 = Not Applicable (Sample Type equals "2" or "3"; or if claimant not required to seek work and claimant did not seek work.)

Field Type: Smallint

Field Size: 2

Edits:

Validation range set by SESA.

Can be 0, Missing (-1), or Not Applicable (-2).

Cannot be Not Applicable (-2) if Work Search Requirements is one (1);
(**b_dca_master.wsreq = 1**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: prjobcon

Field Name: Number of Job Contacts Made Prior to the Denial Period but Used to Satisfy Work Search Requirements for the Denial Period.

Description: Enter number of work search contacts made prior to the denial period if used to satisfy the State's work search requirements.

- 0 = no contacts were indicated
- 1 = Information is not available
- 2 = Not applicable

Field Type: Smallint

Field Size: 2

Edits:

ET HANDBOOK NO. 395

Validation range set by SESA.

Can be 0, Missing (-1), or Not Applicable (-2).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: wsconinv

Field Name: Number of Work Search Contacts Investigated for Eligibility

Description: Enter total number of work search contacts investigated by DCA, regardless of investigation determination regarding acceptability. Do not include any work search contacts here that were not investigated by DCA.

0 = no contacts were investigated

-2 = Not applicable

Field Type: Smallint

Field Size: 2

Edits:

Can be zero (0).

Can be Not Applicable (-2).

Must be less than or equal to the summation of the Number of Job Contacts and the Number of Job Contacts Made Prior to the Denial Period but Used to Satisfy Work Search Requirements for the Denial Period (**b_dca_master.jobcon + b_dca_master.prjobcon**).

Must be equal to the summation of the Number of Acceptable Work Search Contacts plus the Number of Unacceptable Work Search Contacts plus the Number of Unverifiable Work Search Contacts (**b_dca_master.wsconok + b_dca_master.wsconnotok + b_dca_master.wsconunver**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: wsconok

ET HANDBOOK NO. 395

Field Name: Number of Acceptable Work Search Contacts

Description: Include only work search contacts for which documentation exists in DCA file that such contacts were made by claimant and were acceptable contacts within State's written law/policy on active search for work.

-2 = Not applicable (no WS contacts investigated or Sample Type equals "2" or "3")

Field Type: Smallint

Field Size: 2

Edits:

Can be Not Applicable (-2).

Must be zero (0) if the Number of Work Search Contacts Investigated for Eligibility is zero (0); (**b_dca_master.wsconinv = 0**).

Must be less than or equal to the Number of Work Search Contacts Investigated for Eligibility (**b_dca_master.wsconinv**).

The summation of the Number of Acceptable Work Search Contacts plus the Number of Unacceptable Work Search Contacts plus the Number of Unverifiable Work Search Contacts must be equal to the Number of Work Search Contacts Investigated for Eligibility: (**b_dca_master.wsconok + b_dca_master.wsconnotok + b_dca_master.wsconunver**) = **b_dca_master.wsconinv**.

If the Number of Acceptable Work Search Contacts equals the Number of Work Search Contacts Investigated for Eligibility (**b_dca_master.wsconok = b_dca_master.wsconinv**), then the Number of Unacceptable Work Search Contacts and the Number of Unverifiable Work Search Contacts must be zero (0): (**b_dca_master.wsconnotok = b_dca_master.wsconunver = 0**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: wsconnotok

Field Name: Number of Unacceptable Work Search Contacts

ET HANDBOOK NO. 395

Description: Include only job contacts for which written documentation exist in DCA 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.

-2 = Not applicable (no WS contacts investigated or Sample Type equals "2" or "3")

Field Type: Smallint

Field Size: 2

Edits:

Can be Not Applicable (-2).

Must be zero (0) if the Number of Work Search Contacts Investigated for Eligibility is zero (0); (**b_dca_master.wsconinv = 0**).

Must be less than or equal to the Number of Work Search Contacts Investigated for Eligibility (**b_dca_master.wsconinv**).

The summation of the Number of Acceptable Work Search Contacts plus the Number of Unacceptable Work Search Contacts plus the Number of Unverifiable Work Search Contacts must be equal to the Number of Work Search Contacts Investigated for Eligibility: (**b_dca_master.wsconok + b_dca_master.wsconnotok + b_dca_master.wsconunver**) = **b_dca_master.wsconinv**.

If the Number of Unacceptable Work Search Contacts equals the Number of Work Search Contacts Investigated for Eligibility (**b_dca_master.wsconnotok = b_dca_master.wsconinv**), then the Number of Acceptable Work Search Contacts and the Number of Unverifiable Work Search Contacts must be zero (0): (**b_dca_master.wsconok = b_dca_master.wsconunver = 0**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: wsconunver

Field Name: Number of Work Search Contacts for the Denial Period that Could not be Verified as Either Acceptable or Unacceptable

ET HANDBOOK NO. 395

Description: Include the work search contacts for which there was insufficient information to make a judgement of their acceptability within the State's written law/policy on work search.

-2 = Not Applicable (no WS contacts investigated or Sample Type equals "2" or "3")

Field Type: Smallint

Field Size: 2

Edits:

Can be Not Applicable (-2).

Must be zero (0) if the Number of Work Search Contacts Investigated for Eligibility is zero (0); (**b_dca_master.wsconinv = 0**).

Must be less than or equal to the Number of Work Search Contacts Investigated for Eligibility (**b_dca_master.wsconinv**).

The summation of the Number of Acceptable Work Search Contacts plus the Number of Unacceptable Work Search Contacts plus the Number of Unverifiable Work Search Contacts must be equal to the Number of Work Search Contacts Investigated for Eligibility: (**b_dca_master.wsconok + b_dca_master.wsconnotok + b_dca_master.wsconunver**) = **b_dca_master.wsconinv**.

If the Number of Work Search Contacts that Could not be Verified as Either Acceptable or Unacceptable equals the Number of Work Search Contacts Investigated for Eligibility (**b_dca_master.wsconunver = b_dca_master.wsconinv**), then the Number of Acceptable Work Search Contacts and the Number of Unacceptable Work Search Contacts must be zero (0): (**b_dca_master.wsconok = b_dca_master.wsconnotok = 0**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: jsregreq

Field Name: Job Service Registration Required

Description: Enter the appropriate code which applies, according to law and policy, to the determination under investigation.

ET HANDBOOK NO. 395

-2 = Not Applicable

1 = Yes

2 = No

Use code 2 only if the State does not require registration or there is 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.

Field Type: Smallint

Field Size: 2

Edits:

Must be 1, 2, or -2 (Not Applicable).

If the value is one (1), then the Reason JS Registration Deferred must be Not Applicable (-2); (**b_dca_master.jsregdef = -2**).

If the value is two (2), then the Reason JS Registration Deferred must not be Not Applicable (-2); (**b_dca_master.jsregdef != -2**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: jsreg

Field Name: Actively/Currently Registered with Job Service as of Determination Under Investigation

Description: Enter the appropriate code which applies to the Denial period.

1 = Yes

2 = No

-1 = Information not available or missing

-2 = Not Applicable

State written law, policy, and procedures govern whether claimants are required to be registered with the Job Service and what constitutes registration. BAM coding should be consistent with such law, policy, and procedures.

Field Type: Smallint

Field Size: 2

Edits:

Must be 1, 2, Not Applicable (-2), or Missing (-1).

If the value is one (1), then the Number of Job Service Referrals cannot be Not Applicable (**b_dca_master.jsref != -2**).

If the value is Missing (-1), then the Number of Job Service Referrals must be Missing (**b_dca_master.jsref != -1**).

If the value is two(2) or Not Applicable (-2), then the Number of Job Service Referrals must be Not Applicable (**b_dca_master.jsref!=-2**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: jsregdef

Field Name: Reason JS Registration Deferred

Description: Enter appropriate code.

- 1 = Union member
- 2 = Job attached
- 3 = Partial
- 4 = Seasonal
- 5 = Approved training
- 6 = Local Office Policy
- 7 = Other

-2 = Not applicable (not deferred or Sample Type equals "2" or "3")

Field Type: Smallint

Field Size: 1

Edits:

Must be 1 - 7 or Not Applicable (-2);

Must be Not Applicable (-2) if the Job Service Registration Required equals one (1); (**b_dca_master.jsregreq = 1**).

ET HANDBOOK NO. 395

Must be one (1) to seven (7) if the Job Service Registration Required equals two (2); (**b_dca_master.jsregreq = 2**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: jsref

Field Name: Number of Job Service Referrals

Description: Enter number of times Job Service referred claimant for employment during current benefit year (CBY) up to and including the period affected by the denial determination.

0 = No referrals while registered in CBY
-1 = Information not available or missing
-2 = Not Applicable (not registered during CBY or Sample Type equals "2" or "3")

Field Type: Smallint

Field Size: 2

Edits:

Validation range set by SESA

May be Missing (-1) or Not Applicable (-2).

Cannot be Not Applicable (-2) if the Actively/Currently Registered with Job Service equals one (1); (**b_dca_master.jsreg = 1**).

Can be zero (0), only if the Actively/Currently Registered with Job Service equals one (1); (**b_dca_master.jsreg = 1**).

Must be Not Applicable (-2) if the Actively/Currently Registered with Job Service is Not Applicable (-2);(**b_dca_master.jsreg = -2**).

Must be "Missing" (-1) if the Actively/Currently Registered with Job Service is Missing (-1);(**b_dca_master.jsreg = -1**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

ET HANDBOOK NO. 395

Field: privagreg

Field Name: Registered with Private Employment Agency

Description: Enter code which applied as of the denial period.

- 1 = Yes
- 2 = No
- 1 = Information not available or missing
- 2 = Not applicable

Field Type: Smallint

Field Size: 1

Edits:

Must be 1, 2, Missing (-1), or Not Applicable (-2).

If Missing (-1), then the Number of Private Employment Agency Referrals must be Missing (-1); (**b_dca_master.privagref = -1**).

If Not Applicable (-2), then the Number of Private Employment Agency Referrals must be Not Applicable (-2); (**b_dca_master.privagref = -2**).

If two (2), the Number of Private Employment Agency Referrals must be Not Applicable (-2); (**b_dca_master.privagref = -2**).

If one (1), then the Number of Private Employment Agency Referrals cannot be Not Applicable (-2); (**b_dca_master.privagref != -2**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: privagref

Field Name: Number of Private Employment Agency Referrals

Description: Enter number of times the claimant was referred for employment by a Private Employment Agency during the Key Week/Denial period.

- 0 = registered but not referred
- 1 = Information not available or missing
- 2 = Not Applicable (claimant not registered or Sample Type equals "2" or "3")

Field Type: Smallint

Field Size: 2

Edits:

Validation range set by SESA.

Cannot be Not Applicable (-2) if Registered with Private Employment Agency is one (1); (**b_dca_master.privagreg = 1**).

Must be Not Applicable (-2) if Registered with Private Employment Agency is two (2); (**b_dca_master.privagreg = 2**).

Must equal Missing (-1) if Registered with Private Employment Agency is Missing (-1); (**b_dca_master.privagreg = -1**).

Must equal Not Applicable (-2) if Registered with Private Employment Agency is Not Applicable (-2); (**b_dca_master.privagreg = -2**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: unrefstat

Field Name: Union Referral Status

Description: Enter appropriate code which applies to the denial period after appropriate verification.

0 = Claimant NOT a member of a union

1 = Claimant is a member in good standing of a union with a hiring hall and was eligible to be referred by the union during the denial period

2 = Claimant is a member of a union with a hiring hall but was not eligible for union referral

3 = Claimant is a member of a non-hiring hall union

-1 = Information not available or missing

-2 = Not applicable

Field Type: Smallint

Field Size: 2

Edits:

ET HANDBOOK NO. 395

Must be 0, 1, 2, 3, Missing (-1) or Not Applicable (-2).

If Missing (-1), then the Number of Union Referrals must be Missing (-1).

If Not Applicable (-2), then the Number of Union Referrals must be Not Applicable (-2).

If 0, 2, or 3, then the Number of Union Referrals must be Not Applicable (-2).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: unref

Field Name: Number of Union Referrals

Description: Enter number of times that a union with a hiring hall referred claimant for employment during the Key Week/Denial period. All such referrals should be verified. Do not include referrals associated with a non-hiring hall union.

-1 = Information is not available

-2 = Not Applicable

Field Type: Smallint

Field Size: 2

Edits:

Validation range set by SESA.

Can be Not Applicable (-2).

Must be Missing (-1) if the Union Referral Status is Missing (-1).

Must be Not Applicable if the Union Referral Status is -2, 0, 2, or 3.

Can be zero (0) only when the Union Referral Status is one (1).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is two (2) or three (3).

Field: unserv

ET HANDBOOK NO. 395

Field Name: Union Service

Description: Enter appropriate code which describes whether the union provides legal and/or technical assistance to the claimant concerning the issue being investigated/adjudicated.

0 = Not a union member

1 = Yes, union routinely provides assistance to the claimants through the UI process (e.g., filing initial claim; reviewing monetary eligibility; helping obtain lost wages; representing claimant in initial fact finding, initial adjudication, appeal process, etc.)

2 = Yes, union provides assistance concerning UI processes in any of the areas cited above, if requested by claimant.

3 = No, union does not become involved in the UI process at all.

-1 = Information not available or Missing.

-2 = Not Applicable

Field Type: Smallint

Field Size: 2

Edits:

Must be 0, 1, 2, 3, Missing (-1), or Not Applicable (-2).

If Missing (-1), then Union Assistance Requested must be Missing (-1);
(b_dca_master.unastreq = -1).

If zero (0), then Union Assistance Requested must be zero (0);
(b_dca_master.unastreq = 0).

If 1 or 2, then Union Assistance Requested must be 1, 2 or Missing (-1);
(b_dca_master.unastreq = 1 or 2 or -1).

If 3, then Union Assistance Requested must be Not Applicable (-2);
(b_dca_master.unastreq = -2).

If 3, then Claimant Union Assisted must be Not Applicable (-2);
(b_dca_master.unast = -2).

If Not Applicable (-2), then Union Assistance Requested must be Not Applicable (-2); **(b_dca_master.unastreq = -2).**

If Not Applicable (-2), then Claimant Union Assisted must be Not Applicable (-2); **(b_dca_master.unast = -2).**

ET HANDBOOK NO. 395

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is one (1), two (2) or three (3).

Field: unastreq

Field Name: Union Assistance Requested

Description: Enter appropriate code which describes whether the claimant requested union assistance for the determination under investigation.

- 0 = Not a union member
- 1 = Yes
- 2 = No
- 1 = Information not available or missing
- 2 = Not applicable

Field Type: Smallint

Field Size: 2

Edits:

Must be 0, 1, 2, Missing (-1), or Not Applicable (-2).

If zero (0), then Union Service must be zero (0); (**b_dca_master.unserv = 0**).

If one (1), then Union Service must be 1 or 2; (**b_dca_master.unserv = 1 or 2**).

If two (2), then Union Service must be 1 or 2 or 3; (**b_dca_master.unserv = 1 or 2 or 3**).

If Missing (-1), then Union Service must be 1, 2, or Missing (-1); (**b_dca_master.unserv = 1 or 2 or -1**).

If Not Applicable (-2), then Union Service must be Not Applicable (-2); (**b_dca_master.unserv = -2**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is one (1), two (2) or three (3).

Field: unast

ET HANDBOOK NO. 395

Field Name: Claimant Union-Assisted

Description: Enter appropriate code which describes whether the claimant received assistance concerning the issue being investigated / adjudicated.

- 0 = Not a union member
- 1 = Yes
- 2 = No
- 1 = Information not available or missing
- 2 = Not applicable

Field Type: Smallint

Field Size: 2

Edits:

Must be 0, 1, 2, Missing (-1), or Not Applicable (-2).

If zero (0), then Union Service and Union Assistance Requested must be zero (0); (**b_dca_master.unserv = 0 AND b_dca_master.unastreq = 0**).

If one(1), then Union Assistance Requested must be one (1), or Union Service must be one (1); (**b_dca_master.unserv = 1 OR b_dca_master.unastreq = 1**).

If two (2), then Union Assistance Requested must be one (1) or two (2); (**b_dca_master.unastreq = 1 or 2**).

If Missing (-1), then Union Assistance Requested must be 1, 2, or Missing (-1); (**b_dca_master.unserv = 0 AND b_dca_master.unastreq = 0**).

If Not Applicable (-2), then Union Assistance Requested and Union Service must be Not Applicable (-2); (**b_dca_master.unserv = -2 AND b_dca_master.unastreq = -2**).

Must be Not Applicable (-2) if the sample type (**b_dca_master.samptype**) is one (1), two (2) or three (3).

6. Case Action and Error Issue Information

Master Table (b_dca_master)

Field: actflag

Field Name: Action Code Flag

Description: Enter the appropriate code.

0 = Monetary eligibility established upon receipt of CWC, UCFE, and/or UCX wage credits; claimant eligibility initially denied.

1 = Proper denial determination / payment.

2 = Overpayment established or WBA, dependent's allowance entitlement, MBA, or remaining balance (RB) decreased which was later "officially" reversed. DCA agrees with the "official" action.

3 = Supplemental check issued/offset applied or WBA, dependent's allowance entitlement, MBA, or remaining balance (RB) increased which was later "officially" reversed. DCA agrees with the "official" action.

8 = Claimant withdrew claim after denial issued.

9 = Improper payment/determination.

Field Type: Smallint

Field Size: 1

Edits:

Must be 0, 1, 2, 3, 8, or 9.

If code is '0', Sample Type (**b_dca_master.samptype**) must equal '2', and:

1) Program Code (**b_dca_master.program**) must equal 2, 3, 4, 5, 6, or 7
or

2) Combined Wage Claim (**b_dca_master.cwc**) must equal 1, 3, 4, or 6.

Field: detapp

Field Name: Initial Determination Appealed

ET HANDBOOK NO. 395

Description: Enter the appropriate code as of the date of investigator completion of the case.

- 0 = Denial not appealed
- 1 = Claimant appealed
- 2 = Employer appealed
- 3 = Other interested party appealed
- 2 = Not applicable

Field Type: Smallint

Field Size: 2

Edits:

Must be 0, 1, 2, 3, or Not Applicable (-2).

If zero (0), then the Results of Appeal of Initial Determination must be zero (0); (**b_dca_master.apprslt = 0**).

If 1, 2 or 3, then the Results of Appeal of Initial Determination must be 1 - 6; (**b_dca_master.apprslt = 1 or 2 or 3 or 4 or 5 or 6**).

Field: apprslt

Field Name: Results of Appeal of Initial Determination.

Description: Enter the code denoting the results of the appeal of the initial determination that denied eligibility. Record status of the appeal as of the date of investigator completion of the case.

- 0 = No appeal filed
- 1 = Affirmed, eligible
- 2 = Affirmed, ineligible
- 3 = Reversed, eligible
- 4 = Reversed, ineligible
- 5 = Appeal decision pending
- 6 = Original determination redetermined by SESA
- 2 = Not applicable

Field Type: Smallint

Field Size: 2

Edits:

ET HANDBOOK NO. 395

Must be 0 - 6 or Not Applicable (-2).

If zero (0), then the Initial Determination Appealed must be zero (0);
(**b_dca_master.detapp = 0**).

If 1 - 6, then the Initial Determination Appealed must be 1 - 3;
(**b_dca_master.detapp = 1 or 2 or 3**).

If Not Applicable (-2), then the Initial Determination Appealed must be Not
Applicable (-2); (**b_dca_master.detapp = -2**).

Field: invcomp

Field Name: Investigation Completed

Description: Enter code of 1 when case investigation has been completed, i.e., after the investigator has finished all field work, reports, determinations, and coding. Entry of this character will only be allowed if all previous required data elements have been coded. Entering 1 will automatically enter the current date in the next field of the computer record.

Field Type: Character

Field Size: 1

Edits:

Must be one or NULL only.

No DCI field can be NULL.

Field: invcompdate

Field Name: Date Investigator Completed Case

Description: Automatically filled upon entry of code 1 in "Investigation Completed" (MM/DD/YYYY).

Field Type: Date

Field Size: 10

Format: MM/DD/YYYY

Field: supcomp

Field Name: Supervisory Approval Completed

Description: Enter code of 1 when supervisor has reviewed and approved completed case. Enter code 0 when the supervisor has cleared the completed case without review. Entry in this field will only be allowed if item "Investigation Completed" above has been coded 1. Entering 1 or 0 will automatically enter the current date in the next field of the computer record.

Field Type: Character

Field Size: 1

Edits:

Must be 0, 1, or NULL.

Can only be entered if the Investigation Completed code is one (1);
(**b_dca_master.invcomp = 1**).

Field: supcompdate

Field Name: Date Supervisor Completed Case

Description: Automatically filled upon entry of code 0 or 1 in field "Supervisory Approval Completed".

Field Type: Date

Field Size: 10

Format: MM/DD/YYYY

Field: suplogin

Field Name: Supervisor Login

Description: The supervisor login name is the name of the supervisor who completed the case investigation. The login name is obtained from the /etc/passwd system file.

Field Type: Character

Field Size: 8 Characters

Field: data_pickup_flag

Field Name: Master Table Data Pick Up Flag

Description: The data pickup flag is used by the data pickup program. The field value is stamped automatically by any module which permits record updating. During its nightly execution, the data pickup program looks for any record which is time stamped greater than the previous night's stamp. After execution, the current date time stamp is held by a data pickup data file located in /opt/bqc/data.

Field Type: Datetime

Field Size: 16

Format: YYYY-MM-DD hh:mm:ss

where "YYYY" is the year, "MM" is the month, "DD" is the day, "hh" is the hour, "mm" is the minute and "ss" is the second.

Field: lockid

Field Name: Case Modification User Identification Number

Description: The user identification number of the person currently updating/modifying a selected case. This data field will only be filled while the user is working on the selected case. It will be set to NULL when the user releases the case.

Field Type: Smallint

Field Size: 2

Error Issue Table (b_dca_errisu)

Data elements in the Error Issue table will be completed when the "Action Code Flag" in the b_dca_master table equals "9")

Field: batch

Name: Batch Number

Description: Enter number provided as output from Mainframe computer program that selects all sample cases - indicates calendar year (YYYY) and week (WW).

Field Type: Integer

Field Size: 6

Format: (YYYYWW)

Edits:

YYYY must be greater than or equal to **1985**.

WW must be between **01** and **52**, inclusive.

Exception: For leap years (1986, 1990, 1994, 1996, 2000, etc.) WW is between 01 and 53. Batch number may never be NULL.

Field: seq

Field Name: Sequence Number

Description: Enter number provided as output from computer program that selects all sample cases. This number indicates the sequence of case(s) selected within each activity. It is used to control access to a particular case.

Field Type: Smallint

Field Size: 2

Edits:

The sequence number cannot be NULL.

The sequence number values are from **01-99**.

Field: samptype

Field Name: Sample Type

Description: Enter the code for the type of record selected or sampled.

Field Type: Smallint

Field Size: 1

Edits:

- 1 = Benefit payment
- 2 = Monetary denial
- 3 = Nonmonetary/Separation issue denial
- 4 = Nonmonetary/Nonseparation issue denial

The sample type cannot be NULL.

Field: index

Field Name: Error Issue Index

Description: Internal index key entered by DCA software. The index field keeps track of how many error issues have been specified with respect to a specific case record.

Field Type: Smallint

Field Size: 5

Field: totamt

Field Name: Dollar Amount of Error

Description: Enter total amount of error only for the week(s) affected by the denial determination selected for investigation. Round to nearest whole dollar amount.

- If a specific number of weeks were denied (**b_dca_master.wksdenbef > "0" and not equal to "99"**), the amount of error equals the number of weeks erroneously denied times the claimant's weekly benefit amount that should have applied after the DCA investigation (**b_dca_master.wbaaft**).

ET HANDBOOK NO. 395

- For determinations that resulted in an indefinite period of disqualification (**b_dca_master.wksdenbef="99"**), the dollar amount of error can be coded zero (0). Optionally, the SESA can code the dollar amount of error estimated for the indefinite period affected by the erroneous denial (for example, the claimant's maximum benefit amount that should have applied after investigation (**b_dca_master.mbaaft**) or the claimant's weekly benefit amount that should have applied after the DCA investigation (**b_dca_master.wbaaft**) times average duration for the State.)

Field Type: money (5,0)

Field Size: 5

Edits:

May be \$0.

Cannot exceed State Maximum Benefit Amount (MBA) plus State maximum Dependents Allowance (**b_vallim.max_val(e12) + b_vallim.max_val(e16)**).

Cannot exceed the Original Amount Paid, **b_dca_master.origamtpd**, if the Error Issue Action is an overpayment, (**b_dca_errisu.action = 10-16**).

Field: Action

Field Name: Error Issue Action Code

Description: The Error Issue Action Code identifies the type of error using numeric codes. The three (3) types of error action codes include:

(a) Proper Denial: Different / Wrong Issue or Reason

30 = Claimant was properly denied, but for wrong or different reason / section of law.

(b) Improper Denial Determinations / Underpayments

20 = DCA investigation determines that the denial determination was improper or benefit payment was too small and official agency action now finds the claimant to be eligible or entitled to a supplemental check issued/offset applied or increase in weekly benefit amount (WBA), dependents' allowance entitlement, maximum benefit amount (MBA), or remaining balance (RB).

ET HANDBOOK NO. 395

21 = DCA determines denial determination was improper or payment was too small, although "technically" proper due to finality rules.

22 = DCA determines denial determination was improper or payment was too small, although determination "technically" proper due to rules other than finality.

23 = DCA investigation determines that the denial determination was improper or benefit payment was too small, but finding, supplemental check issued or offset was later "officially" reversed, revised, adjusted, or modified, and DCA disagrees with the "official" action.

(c) Overpayments

10 = Fraud overpayment/voided offset.

11 = Nonfraud recoverable overpayment/voided offset.

12 = Nonfraud non-recoverable overpayment or official action taken to adjust future benefits by decreasing WBA, MBA, dependents' allowance entitlement or RB.

13 = DCA determines payment was too large, although payment "technically" proper due to finality rules.

14 = DCA determines payment was too large except where formal warning rules for unacceptable work search efforts prohibit official action. Payment "technically" proper due to laws/rules requiring formal warnings for unacceptable work search efforts.

15 = DCA determines payment was too large, although payment "technically" proper due to rules other than finality or formal warning rules for unacceptable work search efforts.

16 = Overpayment established or WBA, MBA, dependents' allowance entitlement, or RB decreased which was later "officially" reversed, revised, adjusted, or modified and DCA disagrees with the "official" action..

Field Type: Character

Field Size: 2

Edits:

ET HANDBOOK NO. 395

Valid codes are 10-16, 20-23 and 30.

If the Error Issue Action Code is an overpayment, (**b_dca_errisu.action = 10-16**), then the Dollar Amount of Error (**b_dca_errisu.totamt**) cannot exceed the Original Amount Paid (**b_dca_master.origamtpd**).

If claimant was properly denied, but for wrong or different reason / section of law, (**b_dca_errisu.action = 30**), then the Error Cause, **b_dca_errisu.cause**, must be a 700 series.

If Original Amount Paid/Offset (**b_dca_master.origamtpd**) equals 0, Error Issue Action Code (**b_dca_errisu.action**) must equal 20, 21, 22, 23 or 30.

Field: cause

Field Name: Error Cause

Description:

For each error, a code is assigned to indicate the cause (reason) for the error. Enter appropriate code from below. The last digit of this code is reserved for SESA use to provide greater detail as to the cause of error.

(a) In the Benefit Year, unreported or errors in reporting/recording earnings or days/hours of work affecting the payment/determination under investigation due to:

Series ID:

100 = Unreported (concealed) earnings or days/hours of work.

110 = Earnings or days/hours of work incorrectly estimated/reported/recorded or deducted.

120 = Errors in reporting/recording or unreported Severance Pay.

130 = Errors in reporting/recording or unreported Vacation Pay.

140 = Errors in reporting/recording or unreported Social Security or Pension Benefits.

150 = Other causes related to reporting or recording of earnings or days/hours of work for the Key Week/Denial period.

(b) In the Base Period, errors in Reporting/Recording Earnings or Weeks, Days, or Hours of Work affecting the determination under investigation due to:

Series ID:

ET HANDBOOK NO. 395

200 = Earnings or weeks/days/hours of work incorrectly estimated, reported or recorded.

210 = One or more base period employers not reported by claimant.

220 = Earnings or weeks/days/hours of work not reported by employer.

230 = Other causes related to errors in reporting or recording earnings or weeks/days/hours of work for base period.

(c) Separation Issues Due to:

Series ID:

300 = Voluntary Quits

310 = Discharges

320 = Other causes related to separation issues

(d) Eligibility Issues Due to:

Series ID:

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 = Reporting Requirements/Failed to Report

470 = Other causes related to eligibility issues.

(e) Dependents' Allowances Incorrect Due to:

Series ID:

500 = Dependents' information incorrectly reported/recorded or allowance incorrectly calculated.

510 = Other causes related to dependents allowances.

(f) Other Causes Due to:

Series ID:

600 = Benefits paid during a period of disqualification, even though a stop-pay order was in effect.

610 = Redetermination (at deputy level) or reversal (appeal or higher authority).

620 = Back Pay Award.

ET HANDBOOK NO. 395

630 = All other causes.

(g) Other Causes Due to a Claimant being properly denied, but for wrong reason or section of law.

Series ID:

700 = Claimant properly denied, but for wrong reason or section of law.

710 = Denial issue subject to DCA investigation was decided improperly, but claimant properly denied based on a determination issued on a different issue.

Field Type: Character

Field Size: 3

Edits:

Valid codes: 100-159, 200-229, 300-329, 400-479, 500-519, 600-639, and 700-799.

Must be 420 if the Error Issue Action Code, **b_dca_errisu.action**, is equal to 14.

Field: resp

Field Name: Error Responsibility

Description: Enter ALL the appropriate codes that apply. Do not repeat a given code even if more than one per category applied, e.g., if more than one employer was responsible, or more than one of the "other" parties was responsible.

Each distinct position within the field **ABCD** is boolean (true/false), where **A** is the Claimant, **B** is the Employer, **C** is the Agency and **D** is any Third Party. The valid codes are summarized in the following table.

Error Responsibility	
A = Claimant	B = Employer
0 - Not Responsible	0 - Not Responsible
1 - Responsible	2 - Responsible

ET HANDBOOK NO. 395

Error Responsibility	
<u>C = Agency</u>	<u>D = Third Party</u>
0 - Not Responsible 3 - Responsible	0 - Not Responsible 4 - Responsible

Utilizing this method, there are 16 different combinations, 15 of which are appropriate. The combinations are:

Error Responsibility Combinations and their Meaning	
1000	Claimant Only
0200	Employer Only
0030	Agency Only
0004	Third Party Only
1200	Claimant and Employer
1030	Claimant and Agency
1004	Claimant and Third Party
1230	Claimant, Employer and Agency
1204	Claimant, Employer and Third Party
1034	Claimant, Agency and Third Party
1234	Claimant, Employer, Agency and Third Party
0230	Employer and Agency
0204	Employer and Third Party
0234	Employer, Agency and Third Party
0034	Agency and Third Party

Field Type: Character

Field Size: 4

Edits:

ET HANDBOOK NO. 395

Cannot have an Employer Responsibility entry if the Prior Employer Action Error Issue Code, **b_dca_errisu.empact**, has a series code of 70.

Must have an Agency Responsibility entry if the Prior Agency Action Error Issue Code, **b_dcs_errisu.agact**, has a series code of 30, 40, or 50.

Field: detectpt

Field Name: Error Detection Point

Description: For each error, enter the code which indicates the point where the error was first detected in the DCA investigation. The last digit of this code is reserved for SESA use in providing greater detail.

Series ID:

- 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/Employment Service Records
- 70 = Verification with Union

Field Type: Character

Field Size: 2

Edits:

Valid codes: 10-79.

Field: agact

Field Name: Prior Agency Action

Description: For each error a code is assigned which indicates any action(s) taken by the SESA on the issue as of the date sample selected. Enter appropriate code from below. The last digit is reserved for SESA use to provide greater detail regarding prior action.

Series ID:

ET HANDBOOK NO. 395

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

20 = SESA was in the process of resolving issue and took correct action before DCA investigation completed or SESA had correctly resolved issue prior to sample being selected.

30 = SESA identified issue prior to selection but took incorrect action.

40 = SESA had sufficient documentation to identify that there was an issue but did not resolve the issue.

50 = Official procedures/forms had not been properly followed/completed by SESA thereby precluding ability to detect issue.

Field Type: Character

Field Size: 2

Edits:

Valid Codes: 10-59.

Cannot have a series entry of 30, 40, or 50 if the Error Issue Responsibility Code does not have a Agency Responsible entry (3).

Field: empact

Field Name: Prior Employer Action

Description: For each error, a code is assigned to indicate action(s) taken by the employer affecting the issue as of the date sample was selected. Enter appropriate code from below. The last digit is reserved for State use to provide greater detail regarding employer action.

Series ID:

10 = Employer provided adequate information to SESA in a timely manner for determination.

20 = Employer provided adequate information after due date for determination.

30 = Employer provided inadequate/incorrect information in a timely manner for determination.

ET HANDBOOK NO. 395

40 = Employer provided inadequate/incorrect information after due date for determination.

50 = Employer did not respond to request for information.

60 = Employer, as an interested party, was not requested by agency to provide information for determination.

70 = Not an employer related issue.

Field Type: Character

Field Size: 2

Edits:

Valid codes: 10-79.

Cannot have a 70 Series ID if the Error Issue Responsibility Code, **b_dca_errisu.resp**, contains a Employer Responsibility Code (2).

Field: actapp

Field Name: DCA Action Appealed

Description: This field is used to indicate whether an appeal of the BAM DCA determination was made. The last digit is reserved for State use to provide greater detail regarding the appeal. For each error enter the appropriate code from below:

Series ID:

10 = No Appeal filed against DCA determination.

20 = Claimant appealed DCA determination, and employer was an interested party.

30 = Claimant appealed DCA determination, and employer was not an interested party.

40 = Employer appealed DCA determination, and claimant was an interested party.

50 = Both claimant and employer appealed DCA determination.

60 = SESA appealed DCA determination.

70 = Not an appealable DCA determination.

Field Type: Character

Field Size: 2

Edits:

Valid codes: 10-79.

Field: data_pickup_flag

Field Name: Error Issue Table Data Pick-up Flag

Description: The field value is stamped automatically by any module which permits record updating. During its nightly execution, the data pickup program looks for any record which is time stamped greater than the previous night's stamp. The current date time stamp is held in a data pickup file in /opt/bqc/data.

Field Type: Datetime

Field Size: 16

Format: YYYY-MM-DD hh:mm:ss

where "YYYY" is the year, "MM" is the month, "DD" is the day, "hh" is the hour, "mm" is the minute and "ss" is the second.

7. Comparison Data

Comparison Table (b_dca_comparison)

Field: batch

Name: Batch Number

Description: Enter number provided as output from BAM/DCA population edit and sample selection COBOL program that selects all sample cases - indicates calendar year (YYYY) and week (WW).

Field Type: Integer

Field Size: 6

Format: (YYYYWW)

Edits:

YYYY must be greater than or equal to 1985.

WW must be between 01 and 52, inclusive.

Exception: For leap years (1986, 1990, 1994, 1996, 2000, etc.) WW is between 01 and 53. Batch number may never be NULL.

Field: samptype

Field Name: Sample Type

Description: Enter the code for the type of record selected or sampled.

Field Type: Smallint

Field Size: 1

Edits:

1 = Benefit payment

2 = Monetary denial

3 = Nonmonetary/Separation issue denial

4 = Nonmonetary/Nonseparation issue denial

The sample type cannot be NULL.

Field: sampsize

Field Name: Sample Size

Description: Number of paid or denied UC claims in the sample.

Field Type: Smallint

Field Size: 2

Edits: -All numeric greater than 0

Field: popsize

Field Name: Population Size

Description: Number of paid or denied UC claims in the population (sampling frame).

Field Type: Integer

Field Size: 6

Edits: -All numeric greater than 0

Field: malesamp

Field Name: Male Sample

Description: Number of males in the sample.

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: malepop

Field Name: Male Population

Description: Number of males in the population.

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: femsamp

Field Name: Female Sample

Description: Number of females in the sample.

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: fempop

Field Name: Female Population

Description: Number of females in the population.

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: genmisssamp

Field Name: Missing Sample Gender

Description: Number of cases in the sample where gender is unknown.

Field Type: Smallint

Field Size: 2

Edits: -All numeric

ET HANDBOOK NO. 395

Field: genmisspop

Field Name: Missing Population Gender

Description: Number of cases in the population where gender is unknown.

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: whsamp

Field Name: White Sample

Description: Number in the sample whose race / ethnic code is "white".

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: whpop

Field Name: White Population

Description: Number in the population whose race / ethnic code is "white".

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: nonwhsamp

Field Name: Non-white Sample

Description: Number in the sample whose race / ethnic code is not "white".

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: nonwhpop

Field Name: Non-white Population

Description: Number in the population whose race / ethnic code is not "white".

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: ethmissamp

Field Name: Ethnic Missing in Sample

Description: Number of cases in the sample where race / ethnic group is unknown.

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: ethmisspop

Field Name: Ethnic Missing in Population

Description: Number of cases in the population where race / ethnic group is unknown.

Field Type: Integer

Field Size: 6

Edits: -All numeric

ET HANDBOOK NO. 395

Field: ageund25samp

Field Name: Age under 25 years in sample

Description: Number of cases in the sample where age is less than 25.

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: ageund25pop

Field Name: Age under 25 years in population

Description: Number of cases in the population where age is less than 25.

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: age25_34samp

Field Name: Age 25 - 34 in Sample

Description: Number of cases in the sample where age is 25 to 34 inclusive.

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: age25_34pop

Field Name: Age 25 - 34 in Population

Description: Number of cases in the population where age is 25 to 34 inclusive.

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: age35_44samp

Field Name: Age 25 - 44 in Sample

Description: Number of cases in the sample where age is 35 to 44 inclusive.

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: age35_44pop

Field Name: Age 35 - 44 in Population

Description: Number of cases in the population where age is 35 to 44 inclusive.

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: age45_64samp

Field Name: Age 45 - 64 in Sample

Description: Number of cases in the sample where age is 45 to 64 inclusive.

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: age45_64pop

ET HANDBOOK NO. 395

Field Name: Age 45 - 64 in Population

Description: Number of cases in the population where age is 45 to 64 inclusive.

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: age65oversamp

Field Name: Age 65+ in Sample

Description: Number of cases in the sample where age is 65 and over.

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: age65overpop

Field Name: Age 65+ in Population

Description: Number of case in the population where age is 65 and over.

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: agemisssamp

Field Name: Age unknown in Sample

Description: Number of cases in the sample where age is missing.

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: agemisspop

Field Name: Age unknown in Population

Description: Number of cases in the population where age is missing.

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: uiprogsamp

Field Name: UI Program Codes within the Sample

Description: Number of cases in the sample which are UI Program Codes (1 - 4).

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: uiproipop

Field Name: UI Program Codes within the Population

Description: Number of cases in the population which are UI Program Codes (1 - 4).

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: fedprogsamp

Field Name: Federal Program Codes within the Sample

ET HANDBOOK NO. 395

Description: Number of cases in the sample which are Federal Program Codes (5 - 7).

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: fedprogpob

Field Name: Federal Program Codes within the Population

Description: Number of cases in the population which are Federal Program Codes (5 - 7).

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: progmissamp

Field Name: Case Program Code Unknown in Sample

Description: Number of cases in the sample in which the Program Codes are unknown.

Field Type: Smallint

Field Size: 2

Edits: -All numeric

Field: progmisspop

Field Name: Case Program Code Unknown in Population

Description: Number of cases in the population in which the Program Codes are unknown.

Field Type: Integer

Field Size: 6

Edits: -All numeric

Field: data_pickup_flag

Field Name: Comparison Table Data Pick Up Flag

Description: The data pickup flag is used by the data pickup program. The field value is stamped automatically by any module which permits record updating. During its nightly execution, the data pickup program looks for any record which is time stamped greater than the previous night's stamp. After execution, the current date time stamp is held by a data pickup data file located in /opt/bqc/data.

Field Type: Datetime

Field Size: 16

Format: YYYY-MM-DD hh:mm:ss

where "YYYY" is the year, "MM" is the month, "DD" is the day, "hh" is the hour, "mm" is the minute and "ss" is the second.

ET HANDBOOK NO. 395
8. Case Assignment Data

Assignment Table (b_dca_assigndate)

Field: batch

Name: Batch Number

Description: Enter number provided as output from Mainframe computer program that selects all sample cases - indicates calendar year (YYYY) and week (WW).

Field Type: Integer

Field Size: 6

Format: (YYYYWW)

Edits:

YYYY must be greater than or equal to **1985**.

WW must be between **01** and **52**, inclusive.

Exception: For leap years (1986, 1990, 1994, 1996, 2000, etc.) WW is between 01 and 53. Batch number may never be NULL.

Field: seq

Field Name: Sequence Number

Description: Enter number provided as output from computer program that selects all sample cases. This number indicates the sequence of case(s) selected within each activity. It is used to control access to a particular case.

Field Type: Smallint

Field Size: 2

Edits:

The sequence number cannot be NULL.

The sequence number values are from **01-99**.

ET HANDBOOK NO. 395

Field: samptype

Field Name: Sample Type

Description: Enter the code for the type of record selected or sampled.

Field Type: Smallint

Field Size: 1

Edits:

- 1 = Benefit payment
- 2 = Monetary denial
- 3 = Nonmonetary/Separation issue denial
- 4 = Nonmonetary/Nonseparation issue denial

The sample type cannot be NULL.

Field: index

Field Name: Assigndate Index

Description: Internal index key entered by DCA software. The index field keeps track of how many times a case record was reassigned for modification.

Field Type: Smallint

Field Size: 5

Field: assigndate

Field Name: Assignment Date

Description: The assignment date records when the case was assigned or reassigned. The date is auto-stamped by the DCA software during assignment / reassessment.

Field Type: Date

Field Size: 10

Field: invid

Field Name: Investigator Identification

Description: The investigator identification field holds the numeric BAM / DCA ID of the investigator who was assigned the case. This number is derived from the User Authorization Table investigator field, **b_uaf.id**, and is auto-stamped by the DCA software during assignment / reassignment.

Field Type: Smallint

Field Size: 2

Field: supid

Field Name: Supervisor Identification

Description: The supervisor identification field holds the numeric BAM / DCA ID of the supervisor who assigned the case to the investigator. This number is derived from the User Authorization Table, **b_uaf.qcs_id**, and is auto-stamped by the DCA software during assignment / reassignment.

Field Type: Smallint

Field Size: 2

Field: assignflag

Field Name: Assignment Flag

Description: The assignment flag is a boolean (true / false) value which specifies whether a case has been reassigned or not. The assignment flag is auto-stamped by the DCA software during assignment / reassignment.

Field Type: Character

Field Size: 1

Edits:

- 0 = The case has been assigned.
 - 1 = The case has been reassigned.
-

Field: data_pickup_flag

ET HANDBOOK NO. 395

Field Name: Assignment Table Data Pick-up Flag

Description: The data pickup flag is used by the data pickup program. The field value is stamped automatically by any module which permits record updating. During its nightly execution, the data pickup program looks for any record which is time stamped greater than the previous night's stamp. After execution, the current date time stamp is held by a data pickup data file located in /opt/bqc/data.

Field Type: Datetime

Field Size: 16

Format: YYYY-MM-DD hh:mm:ss

where "YYYY" is the year, "MM" is the month, "DD" is the day, "hh" is the hour, "mm" is the minute and "ss" is the second.

9. Reopen Case Data

Reopen Table (b_dca_reopen)

Field: batch

Name: Batch Number

Description: Enter number provided as output from Mainframe computer program that selects all sample cases - indicates calendar year (YYYY) and week (WW).

Field Type: Integer

Field Size: 6

Format: (YYYYWW)

Edits:

YYYY must be greater than or equal to **1985**.

WW must be between **01** and **52**, inclusive.

Exception: For leap years (1986, 1990, 1994, 1996, 2000, etc.) WW is between 01 and 53. Batch number may never be NULL.

Field: seq

Field Name: Sequence Number

Description: Enter number provided as output from computer program that selects all sample cases. This number indicates the sequence of case(s) selected within each activity. It is used to control access to a particular case.

Field Type: Smallint

Field Size: 2

Edits:

The sequence number cannot be NULL.

The sequence number values are from **01-99**.

Field: samptype

Field Name: Sample Type

Description: Enter the code for the type of record selected or sampled.

Field Type: Smallint

Field Size: 1

Edits:

- 1 = Benefit payment
- 2 = Monetary denial
- 3 = Nonmonetary/Separation issue denial
- 4 = Nonmonetary/Nonseparation issue denial

The sample type cannot be NULL.

Field: index

Field Name: Reopen Index

Description: Internal index key entered by DCA software. The index field keeps track of how many times a case record was reopened for modification.

Field Type: Smallint

Field Size: 5

Field: reoptype

Field Name: Reopen Case

Description: Enter one of the following codes. Entries will automatically enter the current date in the next computer field.

- 3 = when SESA realizes an error was made and wishes to make corrections on the closed case.
- 4 = when an appeal decision requires changes on the closed case.
- 5 = when a change is needed as a result of a monitor review.
- 6 = when case is reopened pending further information.

Field Type: Character

Field Size: 1

Edits:

Must be "3", "4", "5", or "6".

Field: reopdate

Field Name: Reopen Case Date

Description: The current system date is autostamped by the DCA software when the reopen type is 3, 4, or 5.

Field Type: Date

Field Size: 10

Field: reopid

Field Name: Reopen Case Identification

Description: The login ID of the person performing the reopen function. This value will be autostamped via the DCA software.

Field Type: Character

Field Size: 10

Field: data_pickup_flag

Field Name: Reopen Table Data Pick-up Flag

Description: The data pickup flag is used by the data pickup program. The field value is stamped automatically by any module which permits record updating. During its nightly execution, the data pickup program looks for any record which is time stamped greater than the previous night's stamp. After execution, the current date time stamp is held by a data pickup data file located in /opt/bqc/data.

Field Type: Datetime

Field Size: 16

ET HANDBOOK NO. 395

Format: YYYY-MM-DD hh:mm:ss

where “YYYY” is the year, “MM” is the month, “DD” is the day, “hh” is the hour, “mm” is the minute and “ss” is the second.

10. Database Description

1. Naming Conventions

The DCA system utilizes the following naming conventions within the UI database:

- ✧ Each table will have a prefix of **b_dca_**.

The prefix's meaning is:

'b_' = Benefits Accuracy Measurement and
'dca_' = Denied Claims Accuracy.

- ✧ Each table will have the same base name as the BAM PCA accuracy tables.

The base names are:

comparison The data characteristics table provides aggregate sample and population data for several demographic data elements.

master The primary table which consists of base record information.

errisu The error issue table contains information on the cause, responsibility, point of detection, and other data elements for improper denials.

reopen The reopen table contains a record of any modification to a master record after the record has been closed by the supervisor.

assigndate The assignment table contains the investigator's case assignment information with respect to his/her master record.

2. Denials Tables

Denied Claims Accuracy Tables	
Table Name	Table Type
b_dca_comparison	Primary
b_dca_master	Primary
b_dca_errisu	Primary
b_dca_assigndate	Primary
b_dca_reopen	Primary

In addition to the five primary DCA tables, DCA utilizes additional tables also used by BAM paid claims accuracy software: b_uaf, b_qcslo, b_batch, b_cre, and b_vallim. The DCA software utilizes the g_states generic table as well.

3. Primary Keys

Field	Key	Definition
batch	Primary	Batch identifies the year (YYYY) and week (WW) of the record. The format of the field is: YYYYWW.
seq	Primary	Sequence Number identifies the record number within the batch by sample type. Range of values: 1 - 99. At least two (2) sample cases are required for each batch and sample type because of statistical validity requirements.
samptype	Primary	Sample Type identifies the specific record type within the batch. 1 - BAM paid claim 2 - Monetary denials 3 - Separation denials 4 - Nonmonetary nonseparation denials

Example: **batch** = 200003; **seq** = 3; **samptype** = 2 identifies the record as the third sampled monetary denied case within the third week of 2000.

11. Database Schema**Master Table** (b_dca_master)

ssn char(9) not null constraint,
clmdate date not null constraint,
clmtype smallint,
samptype smallint,
batch integer not null constraint,
seq smallint not null constraint,
state char(2) not null constraint,
locoff char(4) not null constraint,
invid smallint,
methinfoobt char(2),
citizen char(2),
educ char(2),
voctech char(2),
trainstat char(2),
lastempsic char(4),
usualocc char(3),
ushrwage money(5,2),
seekocc char(3),
lohrwage money(5,2),
dob date,
gender char(2),
ethnic char(2),
program char(1),
cwc smallint,
byb date,
icfilmeth char(2),
bri char(4),
sepbef char(2),
sepafth char(2),
sepdatebef date,
sepdateaft date,
nonsepbef char(2),
nonsepafth char(2),
rcostatbef char(2),
rcostataft char(2),
bpempbef smallint,
bpempaft smallint,
bpwbef money(6,0),
bpwaft money(6,0),
hqwbef money(5,0),
hqwaft money(5,0),
bpwksbef smallint,

bpwksaft smallint,
wbabef money(3,0),
wbaaft money(3,0),
mbabef money(5,0),
mbaaft money(5,0),
depbef smallint,
depaft smallint,
allowbef money(3,0),
allowaft money(3,0),
priempsic char(4),
monredet char(1),
balbef money(5,0),
balaft money(5,0),
monstatbef smallint,
monstataft smallint,
totearnbef money(4,0),
totearnaft money(4,0),
earndedbef money(4,0),
earndedaft money(4,0),
othdedincbef money(4,0),
othdedincaft money(4,0),
othdedsbef money(4,0),
othdedsaft money(4,0),
wkfilmeth char(2),
origamtpd money(5,0),
wksdenbef smallint,
wksdenaft smallint,
wsreq smallint,
jsregreq smallint,
jsreg smallint,
jsregdef smallint,
jsref smallint,
privagreg smallint,
privagref smallint,
unrefstat smallint,
unref smallint,
unserv smallint,
unastreq smallint,
unast smallint,
jobcon smallint,
prjobcon smallint,
wsconinv smallint,
wsconok smallint,
wsconnotok smallint,
wsconunver smallint,
actflag smallint,

ET HANDBOOK NO. 395

detapp smallint,
apprslt smallint,
invcomp char(1),
invcompdate date,
supcomp char(1),
supcompdate date,
suplogin char(10),
lockid smallint,
data_pickup_date datetime year to minute

Comparison Table (b_dca_comparison)

batch integer not null constraint,
samptype smallint not null constraint,
sampsize smallint not null constraint,
popsize integer not null constraint,
malesamp smallint not null constraint,
malepop integer not null constraint,
femsamp smallint not null constraint,
fempop integer not null constraint,
genmisssamp smallint not null constraint,
genmisspop integer not null constraint,
whsamp smallint not null constraint,
whpop integer not null constraint,
nonwhsamp smallint not null constraint,
nonwhpop integer not null constraint,
ethmisssamp smallint not null constraint,
ethmisspop integer not null constraint,
ageund25samp smallint not null constraint,
ageund25pop integer not null constraint,
age25_34samp smallint not null constraint,
age25_34pop integer not null constraint,
age35_44samp smallint not null constraint,
age35_44pop integer not null constraint,
age45_64samp smallint not null constraint,
age45_64pop integer not null constraint,
age65oversamp smallint not null constraint,
age65overpop integer not null constraint,
agemissamp smallint not null constraint,
agemisspop integer not null constraint,
uiprogsamp smallint not null constraint,
uiprogpops integer not null constraint,
fedprogsamp smallint not null constraint,
fedprogpops integer not null constraint,
progmissamp smallint not null constraint,
progmisspop integer not null constraint,
data_pickup_date datetime year to minute not null constraint

Error Issue Table (b_dca_errisu)

batch integer not null constraint,
seq smallint not null constraint,
samptype smallint not null constraint,
index smallint,
totamt money(5,0),
action char(2),
cause char(3),
resp char(4),
detectpt char(2),
agact char(2),
empact char(2),
actapp char(1),
data_pickup_date datetime year to minute

Assignment Table (b_dca_assigndate)

batch integer not null constraint,
seq smallint not null constraint,
samptype smallint not null constraint,
index smallint,
assigndate date,
invid smallint,
supid smallint,
assignflag char(1),
data_pickup_date datetime year to minute

Reopen Table (b_dca_reopen)

batch integer not null constraint,
seq smallint not null constraint,
samptype smallint not null constraint,
index smallint,
reoptype char(1),
reopdate date,
reopid char(10),
data_pickup_date datetime year to minute

APPENDICES