### Table of Contents

#### OVERVIEW

<table>
<thead>
<tr>
<th>Chapter I</th>
<th>Benefit Accuracy Measurement Overview</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Introduction</td>
</tr>
<tr>
<td>2.</td>
<td>Background</td>
</tr>
<tr>
<td>3.</td>
<td>Program Scope</td>
</tr>
<tr>
<td>4.</td>
<td>Handbook Organization</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>I-1</td>
</tr>
<tr>
<td>I-1</td>
</tr>
<tr>
<td>I-2</td>
</tr>
<tr>
<td>I-3</td>
</tr>
</tbody>
</table>

### REQUIRED PROCEDURES

<table>
<thead>
<tr>
<th>Chapter II</th>
<th>Organization and Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Organization</td>
</tr>
<tr>
<td>2.</td>
<td>Authority</td>
</tr>
<tr>
<td>3.</td>
<td>Written Procedures</td>
</tr>
<tr>
<td>4.</td>
<td>BAM Software</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>II-1</td>
</tr>
<tr>
<td>II-1</td>
</tr>
<tr>
<td>II-1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Chapter III</th>
<th>Data Processing – SWA Mainframe Computer Operations and Interfaces with UI ADP System</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Introduction</td>
</tr>
<tr>
<td>2.</td>
<td>State UI Transaction File</td>
</tr>
<tr>
<td>3.</td>
<td>Control Record</td>
</tr>
<tr>
<td>4.</td>
<td>COBOL Population Edit and Sample Selection Programs</td>
</tr>
<tr>
<td>5.</td>
<td>Downloaded Files</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>III-1</td>
</tr>
<tr>
<td>III-2</td>
</tr>
<tr>
<td>III-14</td>
</tr>
<tr>
<td>III-16</td>
</tr>
<tr>
<td>III-26</td>
</tr>
</tbody>
</table>

- Attachment “A” - (UI BAM Population Edit and Sample Selection COBOL Program Specifications and Installation) III-A-1
- Attachment “B” - (Record Format for recl.dat File) III-B-1
- Attachment “C” - (Record Format for sfsum.dat File) III-C-1
<table>
<thead>
<tr>
<th>Chapter IV</th>
<th>Data Collection</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Introduction</td>
<td>IV-1</td>
</tr>
<tr>
<td>2.</td>
<td>Overview</td>
<td>IV-1</td>
</tr>
<tr>
<td>3.</td>
<td>Data Elements and Descriptions</td>
<td>IV-2</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Chapter V</th>
<th>Classifying Propriety of Payments</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Introduction</td>
<td>V-1</td>
</tr>
<tr>
<td>2.</td>
<td>Coding Proper Payments</td>
<td>V-1</td>
</tr>
<tr>
<td>3.</td>
<td>Coding Improper Payments</td>
<td>V-2</td>
</tr>
<tr>
<td>4.</td>
<td>Key Week Error Summary Sheet</td>
<td>V-13</td>
</tr>
<tr>
<td>5.</td>
<td>Case Completion</td>
<td>V-23</td>
</tr>
<tr>
<td>6.</td>
<td>Reopening Cases</td>
<td>V-24</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Chapter VI</th>
<th>Investigative Procedures</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Introduction</td>
<td>VI-1</td>
</tr>
<tr>
<td>2.</td>
<td>Standard Forms</td>
<td>VI-1</td>
</tr>
<tr>
<td>3.</td>
<td>Investigative Requirements</td>
<td>VI-1</td>
</tr>
<tr>
<td>4.</td>
<td>Investigative Methodology</td>
<td>VI-3</td>
</tr>
<tr>
<td>5.</td>
<td>Disqualifying/Deductible Income Verifications</td>
<td>VI-5</td>
</tr>
<tr>
<td>6.</td>
<td>Dependency Eligibility Verifications</td>
<td>VI-5</td>
</tr>
<tr>
<td>7.</td>
<td>Unemployment Compensation for Federal Employees (UCFE)</td>
<td>VI-5</td>
</tr>
<tr>
<td>8.</td>
<td>Unemployment Compensation for Ex-Military Personnel (UCX)</td>
<td>VI-5</td>
</tr>
<tr>
<td>9.</td>
<td>Interstate Requests</td>
<td>VI-6</td>
</tr>
<tr>
<td>10.</td>
<td>Summary of Investigation</td>
<td>VI-6</td>
</tr>
<tr>
<td>11.</td>
<td>Appeals</td>
<td>VI-6</td>
</tr>
<tr>
<td>12.</td>
<td>Completion of Cases and Timely Data Entry</td>
<td>VI-6</td>
</tr>
<tr>
<td>13.</td>
<td>Reopening Cases</td>
<td>VI-7</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Chapter VII</th>
<th>Records and Reporting</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Introduction</td>
<td>VII-1</td>
</tr>
<tr>
<td>2.</td>
<td>Documentation</td>
<td>VII-1</td>
</tr>
<tr>
<td>3.</td>
<td>Retention of Records</td>
<td>VII-1</td>
</tr>
<tr>
<td>4.</td>
<td>Transmission of Data to National Office</td>
<td>VII-1</td>
</tr>
</tbody>
</table>
Chapter VIII DENIED CLAIMS ACCURACY (DCA)
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-2
6. Other Verifications VIII-2
7. Completion of DCA Cases and Timely Data Entry VIII-3
8. Data Elements and Descriptions VIII-3

Appendices
A. Regulation
B. Claimant Questionnaires
C. Investigative Guide
D. DCA Specifications
CHAPTER I

BENEFIT ACCURACY MEASUREMENT OVERVIEW

1. Introduction. The Unemployment Insurance (UI) Benefit Accuracy Measurement (BAM) system (formerly Quality Control [QC]) provides the basis for assessing the accuracy of UI payments. It is also a diagnostic tool for the use of Federal and State Workforce Agency (SWA) 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. Based on 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 accuracy of UI payments;
- assess improvements in program accuracy and integrity; and,
- encourage more efficient administration of the UI program.

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 the initial QC program 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.

The QC program became mandatory in 1987 (see 20 Code of Federal Regulations, Part 602). It 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. Investigation of UI paid claims was the first phase of the QC program to be implemented.

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

In 1989, QC 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 claimants, employers, and third parties.

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 QC to BAM.

In 2001, the investigation of denied claims, known as Denied Claims Accuracy (DCA), was implemented. DCA measures the accuracy of disqualifying monetary, separation, and non-separation determinations. Interstate claims were included in the sample for both paid and 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 because 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 SWA 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. States can then track the impact of corrective action by monitoring the results of subsequent BAM samples.

a. **Relationship with UI System.** BAM is different from other SWA efforts to control erroneous payments and disqualifying determinations. For example, 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 SWA. Disagreements on the outcome of case investigations 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, includes the federal regulation, the Claimant Questionnaire forms, and the Investigative Guide.
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 SWA provisions such as finality. The authority to make determinations and redeterminations resulting from the BAM process must not be impeded by any SWA 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 SWA 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. SWAs must run the most current software.

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

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

1. **Introduction.** This chapter contains the ADP specifications for the 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 below:

- The construction of the UI transactions file on the state's mainframe ADP system, which is used to define the populations (sampling frames) from which the samples are selected for paid claims and the three types of denied claims for unemployment compensation: monetary denials, separation issue denials, and denials based on nonseparation issues. These **tasks are performed weekly by each state's ADP staff.**

- The BAM COBOL programs, which 1) edit the population transactions file; 2) select the records that 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 in 2001 to coincide with the implementation of DCA.**

- 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 is downloaded to the state's UI Sun system. **This task is performed weekly by each state's ADP staff.**

The BAM program has been designed to be as automated as possible. Each SWA has an ADP system (currently a Sun Ultra SPARC 10) to support BAM operations. SWAs 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 are responsible for writing 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 nonseparation denials -- should be included in the UI transactions file. Records in the UI transactions file are sorted according to the criteria specified below, using a sort utility on the SWA 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

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 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 nonseparation denied claims).

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

**NOTE:** When the SWA 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.

Field Size: 1 Digit
7) **Transaction (Sample) Type**

1 = UI paid claims  
2 = Monetary denials  
3 = Separation denials  
4 = 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**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>UI</td>
</tr>
<tr>
<td>2</td>
<td>UI-UCFE</td>
</tr>
<tr>
<td>3</td>
<td>UI-UCX</td>
</tr>
<tr>
<td>4</td>
<td>UI-UCFE-UCX</td>
</tr>
<tr>
<td>5</td>
<td>UCFE</td>
</tr>
<tr>
<td>6</td>
<td>UCFE-UCX</td>
</tr>
<tr>
<td>7</td>
<td>UCX</td>
</tr>
<tr>
<td>8</td>
<td>Other</td>
</tr>
<tr>
<td>9</td>
<td>Missing</td>
</tr>
</tbody>
</table>

Field Size: 1 Digit

12) **Unemployment Duration Code**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Regular UI</td>
</tr>
<tr>
<td>2</td>
<td>State Supplemental Program (regular beyond 26 weeks when EB is triggered on)</td>
</tr>
<tr>
<td>3</td>
<td>State Additional Program (special state extended beyond normal duration unless EB is triggered on)</td>
</tr>
<tr>
<td>4</td>
<td>Extended Benefits</td>
</tr>
<tr>
<td>5</td>
<td>Other federal extended benefits program (e.g. EUC)</td>
</tr>
</tbody>
</table>

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 SWA does not collect this information.

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

<table>
<thead>
<tr>
<th>Item #</th>
<th>Name</th>
<th>Field Size</th>
<th>Positions</th>
<th>Formats</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>State I.D.</td>
<td>2</td>
<td>1-2</td>
<td>FIPS Code</td>
</tr>
<tr>
<td>2</td>
<td>Batch #</td>
<td>6</td>
<td>3-8</td>
<td>YYYYWW</td>
</tr>
<tr>
<td>3</td>
<td>Social Security #</td>
<td>9</td>
<td>9-17</td>
<td>Actual #</td>
</tr>
<tr>
<td>4</td>
<td>Claim Date</td>
<td>8</td>
<td>18-25</td>
<td>MMDDYYYY</td>
</tr>
<tr>
<td>5</td>
<td>Transaction Date</td>
<td>8</td>
<td>26-33</td>
<td>MMDDYYYY</td>
</tr>
<tr>
<td>6</td>
<td>Sample Select. Ind.</td>
<td>1</td>
<td>34</td>
<td>1 or 2</td>
</tr>
<tr>
<td>7</td>
<td>Transaction Type</td>
<td>1</td>
<td>35</td>
<td>1 to 4</td>
</tr>
<tr>
<td>8</td>
<td>Gender</td>
<td>1</td>
<td>36</td>
<td>1, 2 or 8</td>
</tr>
<tr>
<td>9</td>
<td>Date of Birth</td>
<td>6</td>
<td>37-42</td>
<td>MMYYYYYYYY or 0100001</td>
</tr>
<tr>
<td>10</td>
<td>Ethnic</td>
<td>1</td>
<td>43</td>
<td>1 to 5 or 8</td>
</tr>
<tr>
<td>11</td>
<td>Program Type</td>
<td>1</td>
<td>44</td>
<td>1 to 9</td>
</tr>
<tr>
<td>12</td>
<td>UI Duration</td>
<td>1</td>
<td>45</td>
<td>1 to 5</td>
</tr>
<tr>
<td>13</td>
<td>Amount Paid</td>
<td>3</td>
<td>46-48</td>
<td>Whole Dollars</td>
</tr>
<tr>
<td>14</td>
<td>Amount Offset</td>
<td>3</td>
<td>49-51</td>
<td>Whole Dollars</td>
</tr>
<tr>
<td>15</td>
<td>Amount of Intercept</td>
<td>3</td>
<td>52-54</td>
<td>Whole Dollars or Withholding</td>
</tr>
<tr>
<td>16</td>
<td>Claim Type</td>
<td>2</td>
<td>55-56</td>
<td>00-04, 11-15</td>
</tr>
<tr>
<td>17</td>
<td>Filing Status</td>
<td>1</td>
<td>57</td>
<td>1 to 3</td>
</tr>
<tr>
<td>18</td>
<td>Workshare Pct.</td>
<td>2</td>
<td>58-59</td>
<td>00 to 99</td>
</tr>
<tr>
<td>19</td>
<td>Run Date</td>
<td>8</td>
<td>60-67</td>
<td>MMDDYYYY</td>
</tr>
<tr>
<td>20</td>
<td>Adjustment Ind.</td>
<td>1</td>
<td>68</td>
<td>1 or 2</td>
</tr>
</tbody>
</table>
C. Timing and Frequency

The UI transactions file is created weekly. It may be created by accessing the SWA 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 SWA 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 SWA database each day it is updated. Each SWA may determine the most efficient file creation procedure in light of its normal operations.

For purposes of illustration, assume that the SWA 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 SWA 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 SWA'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 SWA's files. Problems may arise in constructing the transactions file if the SWA'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 SWA 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 SWAs 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. SWAs 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 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) Regular Program Type Claim. One of:

a) UI
b) UCFE
c) UI-UCFE
d) UCX
e) UI-UCX
f) UCFE-UCX
g) UI-UCFE-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.

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 TEUC.

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.

**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 200506 (February 6 – 12, 2005), the sampling frame will consist of new initial and transitional claims for which: 1) a determination denying monetary eligibility was issued between January 23 – 29, 2005; 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 (multiclaimant) 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

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. Nonseparation Denials

a. Include all 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 (multiclaimant) 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 in 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. SWAs 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) 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 SWA) (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 sample types (monetary, separation, 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

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Positions</th>
<th>Formats / Edit Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Code</td>
<td>1-2</td>
<td>2-digit numeric (FIPS); must be 1-56, 72, or 78, except for codes 3, 7, and 14.</td>
</tr>
<tr>
<td>Current Week's Batch #</td>
<td>3-8</td>
<td>6-digit numeric in format YYYYWW; YYYY must be ≤ current year; WW must be ≥ 01 and ≤ 53.</td>
</tr>
<tr>
<td>UI Paid Claims Random #</td>
<td>9-14</td>
<td>6-digit numeric; implied decimal (.xxxxxx).</td>
</tr>
<tr>
<td>Monetary Random #</td>
<td>15-20</td>
<td>6-digit numeric; implied decimal (.xxxxxx).</td>
</tr>
<tr>
<td>Separation Random #</td>
<td>21-26</td>
<td>6-digit numeric; implied decimal (.xxxxxx).</td>
</tr>
<tr>
<td>Nonmon.-Nonsep. Random #</td>
<td>27-32</td>
<td>6-digit numeric; implied decimal (.xxxxxx).</td>
</tr>
<tr>
<td>Batch Week Beginning Date</td>
<td>33-40</td>
<td>8-digit numeric in format MMDDYYYY; MM must be ≥ 01 and ≤12; DD must be ≥ 01 and ≤ max. days in MM; YYYY must be ≤ current year.</td>
</tr>
<tr>
<td>Batch Week Ending Date</td>
<td>41-48</td>
<td>8-digit numeric in format MMDDYYYY; must be ≥ Batch Week Beginning Date; MM must be ≥ 01 and ≤12; DD must be ≥ 01 and ≤ max. days in MM; YYYY must be ≤ current year.</td>
</tr>
<tr>
<td>UI Paid Claims Sample Size</td>
<td>49-50</td>
<td>2-digit numeric; must be ≥ 2.</td>
</tr>
<tr>
<td>Monetary Denials Sample Size</td>
<td>51-52</td>
<td>2-digit numeric; must be ≥ 2.</td>
</tr>
<tr>
<td>Separation Denials Sample Size</td>
<td>53-54</td>
<td>2-digit numeric; must be ≥ 2.</td>
</tr>
<tr>
<td>Nonmon.-Nonsep. Denials Sample Size</td>
<td>55-56</td>
<td>2-digit numeric; must be ≥ 2.</td>
</tr>
<tr>
<td>Max Pay</td>
<td>57-59</td>
<td>3-digit numeric; whole dollars; the maximum WBA in the state, including dependents' allowances.</td>
</tr>
<tr>
<td>Filler</td>
<td>60-80</td>
<td>zero-filled</td>
</tr>
</tbody>
</table>
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 SWAs 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;
- 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 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-14).

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 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 SWA) (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 resort 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-19.

<table>
<thead>
<tr>
<th>Data Element # and Name</th>
<th>Edit Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. State I.D. Code</td>
<td>Must be valid numeric FIPS code for SWA from input control record; must be 1-56, 72, or 78, except for codes 3, 7, and 14.</td>
</tr>
<tr>
<td>2. Batch Number</td>
<td>Must match batch # in input control record: 6-digit numeric YYYYWW; YYYY must be &lt; current year, WW must be &gt; 01 and &lt; 53.</td>
</tr>
<tr>
<td>3. Social Security Number</td>
<td>Must be numeric &gt; 0.</td>
</tr>
<tr>
<td>4. Claim Date</td>
<td>8-digit numeric MMDDYYYY; MM must be &gt; 01 and &lt; 12; DD must be &gt; 01 and &lt; max. days in MM; YYYY must be &lt; current year. Can be all zeros if Transaction Type (item 7) equals 3 (separation denial) or 4 (nonseparation denial) and Claim Type (item 16) equals 0.</td>
</tr>
<tr>
<td>5. Transaction Date</td>
<td>8-digit numeric MMDDYYYY; MM must be &gt; 01 and &lt; 12; DD must be &gt; 01 and &lt; max. days in MM; YYYY must be &lt; current year. Must be greater (later) than or equal to Item 4 (Claim Date). If Transaction Type (item 7) equals 1, 3, or 4: Must be greater (later) than or equal to Batch Week Beginning Date from input control record. 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.</td>
</tr>
<tr>
<td>7. Transaction (Sample) Type</td>
<td>Must equal 1, 2, 3, or 4.</td>
</tr>
<tr>
<td>8. Gender</td>
<td>Must equal 1, 2, or 8 (INA).</td>
</tr>
<tr>
<td>9. Date of Birth</td>
<td>6-digit numeric MMYYYY; MM must be &gt; 01 and &lt; 12; YYYY must be &gt; (current year – 100) and &lt; YYYY of Item 4 (Claim Date); can be 0001(INA).</td>
</tr>
<tr>
<td>10. Ethnic Classification</td>
<td>Must equal 1-5 or 8 (INA).</td>
</tr>
<tr>
<td>11. Program Type</td>
<td>Must equal 1-7 (UI, UCFE, UCX, U1-UCFE, U1-UCX, U1-UCFE-UCX, UCFE-UCX), or 9 (missing).</td>
</tr>
<tr>
<td>12. Unemployment Duration Code</td>
<td>Must equal 1 (regular UI) or 3 (state additional, no EB).</td>
</tr>
<tr>
<td>13. Amount Paid to Claimant</td>
<td>Must be equal to or less than max. WBA from input control record. Can be all zeros.</td>
</tr>
<tr>
<td>14. Amount Offset Applied</td>
<td>Must be equal to or less than max. WBA from input control record. Can be all zeros.</td>
</tr>
<tr>
<td>15. Amount of Intercept or Withholding</td>
<td>Must be equal to or less than max. WBA from input control record. Can be all zeros.</td>
</tr>
</tbody>
</table>

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.
<table>
<thead>
<tr>
<th>Data Element # and Name</th>
<th>Edit Criteria</th>
</tr>
</thead>
</table>
| 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 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. |
| 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 < max. days in MM; YYYY must be < 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.\(^1\)  
                         | 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.
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 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, SWAs 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:

<table>
<thead>
<tr>
<th>Sample</th>
<th>Annual Allocation</th>
<th>Normal Weekly</th>
<th>Minimum Weekly</th>
<th>Normal Quarterly</th>
<th>Minimum Quarterly</th>
</tr>
</thead>
<tbody>
<tr>
<td>Paid Claims</td>
<td>360*</td>
<td>7</td>
<td>5</td>
<td>90</td>
<td>81</td>
</tr>
<tr>
<td>Paid Claims</td>
<td>480</td>
<td>9</td>
<td>6</td>
<td>120</td>
<td>108</td>
</tr>
<tr>
<td>Denials</td>
<td>150/450**</td>
<td>3</td>
<td>2</td>
<td>37.38</td>
<td>32</td>
</tr>
</tbody>
</table>

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

** 150 cases each of monetary, separation, and 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 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 x 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 + round(jk), where j = 1,2,...,(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:

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

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 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 below) 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 nonseparation denials.

```
JOB [JOB NO.]                  [STATE] EMPLOYMENT SECURITY
COMMISSION
RUN DATE: 01/08/2001          HITFILE OF BAM SAMPLE CASES
99200101111122333312282000123120001110719711104000000013100010820012040000000000
992001011444556666612282000011320001112021968111075000000131000108200120750000000000
992001011777889999122120001230200111211962221145000000131000108200121450000000000
992001011111335555122820000122001111081965311025150000131000108200121750000000000
992001011222446666612212000123020001121019481212000001131000108200122000000000000
99200101177799135712282000011320011141974511225000000131000108200122250000000000
992001011444668642122820001230200012203197011100000000002100010820012000000000000
99200101199991197531228200001320001210119572310000000001100010820012000000000000
9920010116668801231221200012302000131121955111000000001100010820012000000000000
99200101155504321122820000132000132051977411000000001100010820012000000000000
992001011888224466612282000012302000142091950211000001100010820012000000000000
9920010119876543211221200001022001141021959110000001100010820012000000000000
```

The SSNs and claim dates of the sample cases are used to query the SWA 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”.

III-22 May/2005
SWA 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 SWA 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. Sfsum.dat (see example on page III-30) 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 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 sfsum.dat file is described in section 5.

In addition to creating the sfsum.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.
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

============================================= 000897
RANDOM NUMBER     217658
FIRST SELECT       000195

=============================================
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 SWA mainframe ADP system to the UI Sun ADP system: rec1.dat, which consists of claimant data obtained from the SWA database for the cases selected for the four BAM samples, and sfsum.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 SWA mainframe to the Sun computer to be in a specific format. It is the responsibility of the SWA to assure that data transferred to the Sun computer adhere to these formats, which are described in detail below.

SWA 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 sfsum.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.

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 SWA 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 SWA 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 SWA 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.** SWAs 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 SWA, 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 SWA mainframe. Therefore, the BAM supervisor
is responsible for alerting the SWA 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. SWAs 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.

<table>
<thead>
<tr>
<th>Line #</th>
<th>rec1.dat Data Element Numbers</th>
<th>Positions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Items 1 thru 24 (first position)</td>
<td>1 - 79</td>
</tr>
<tr>
<td>2</td>
<td>Items 24 (last position) thru 50</td>
<td>80 - 158</td>
</tr>
<tr>
<td>3</td>
<td>Items 51 thru 66</td>
<td>159 - 197</td>
</tr>
<tr>
<td></td>
<td>(40 spaces reserved in remainder of line 3)</td>
<td>(198 - 237)</td>
</tr>
<tr>
<td>4</td>
<td>Leave blank (spaces); reserved for future use.</td>
<td></td>
</tr>
<tr>
<td>5-10</td>
<td>Lines reserved for state use.</td>
<td></td>
</tr>
</tbody>
</table>

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.
### Example of rec1.dat File

<table>
<thead>
<tr>
<th>Transaction ID</th>
<th>Client Number</th>
<th>Date</th>
<th>Payee Code</th>
<th>Amount</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>12345678499199906012319990112</td>
<td>11811061961111208021998</td>
<td>07181998</td>
<td>0099405630</td>
<td>37509750</td>
<td>1</td>
</tr>
<tr>
<td>12345678599199906012319990510</td>
<td>5503101957111201101999</td>
<td>12121998</td>
<td>0117756170</td>
<td>29907774</td>
<td>1</td>
</tr>
<tr>
<td>12345678699199906013019990204</td>
<td>31012281934111212061998</td>
<td>09101998</td>
<td>0258105170</td>
<td>37509750</td>
<td>1</td>
</tr>
<tr>
<td>12345678799199906010219990420</td>
<td>130042819511121202081998</td>
<td>01251998</td>
<td>0301185270</td>
<td>07501950</td>
<td>1</td>
</tr>
<tr>
<td>12345678899199906013019990208</td>
<td>21005101955211207261998</td>
<td>05021998</td>
<td>0325502300</td>
<td>16504290</td>
<td>1</td>
</tr>
<tr>
<td>12345678999199906012319990616</td>
<td>510122619481112001031999</td>
<td>12101998</td>
<td>0388725490</td>
<td>29607696</td>
<td>1</td>
</tr>
</tbody>
</table>
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 are 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 nonseparation denials. The data elements and formats for sfsum.dat records are provided in Attachment C.

<table>
<thead>
<tr>
<th>Line #</th>
<th>sfsum.dat File Data Element Numbers</th>
<th>Positions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Items 1 thru 19 (first 4 positions)</td>
<td>1 – 79</td>
</tr>
<tr>
<td>2</td>
<td>Items 19 (last 2 positions) thru 39 (first 3 positions)</td>
<td>80 - 158</td>
</tr>
<tr>
<td>3</td>
<td>Items 39 (last 3 positions) thru 53</td>
<td>159 – 231</td>
</tr>
<tr>
<td></td>
<td>(6 spaces reserved in remainder of line 3)</td>
<td>(232-237)</td>
</tr>
</tbody>
</table>

Note: Positions refer to the format of the sfsum.dat file record in Attachment C.
### Example of sfsum.dat File

```
200045102010478425869052390002231010049490100552900000000000100747901002962000000037000
008710000236001003064010039030000027500000005020099610000517000000000000081000069
4010014770000178001006446000000004250022644010781250004812126
2000452020001414258690007050000300100006901000072000000000100010201000380000001000
0002200000039020000390000003900000002000000000200011400000002700000000000000000000000
0000000000000000000000000000000000000000000000000000000000000000000000000000000000
20004530200027142586900135500005801000122010001490000000001001570100011400000000020
00271000000000000000000000000000000000000000000000000000000000000000000000000000000
0000000000000000000000000000000000000000000000000000000000000000000000000000000000
2000454020001004258690050000002101000032010000680000000001000064010003600000000020
00100000000000000000000000000000000020000980000000002000000000000000000000000000
0000000000000000000000000000000000000000000000000000000000000000000000000000000000
```
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 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. Concentrate 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 SWA 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 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 change 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 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 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. **sfsum.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 nonseparation denials. The data consists of selected characteristics which are used to weigh 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
//****************************************************
//STEP 010 EXECPGM=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),
// 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)
III-A-4 R-4/2001
ET HANDBOOK NO.  395
//SORTOUT DD DSN=YOUR.SORTED.DENIALS,TRANS,
// UNIT=STORAGE,MGMTCLASS=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.TRANSACTIONS.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=*
//SYSABOUT DD SYSOUT=*
//*
//STEP050 EXEC PGM=??????? /*YOUR NAME FOR THE SAMPLING PGM*/
//INCNTRL DD DSN=YOUR.NAME.FOR.THE.CONTROL.FILE,
ET HANDBOOK NO. 395
// 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=*
//*
Record Format for rec1.dat File

<table>
<thead>
<tr>
<th>Item #</th>
<th>Name</th>
<th>Field Size</th>
<th>Positions</th>
<th>Formats/Codes¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Social Security #</td>
<td>9</td>
<td>1-9</td>
<td>9-digit SSN (state use only)</td>
</tr>
<tr>
<td>2</td>
<td>State ID</td>
<td>2</td>
<td>10-11</td>
<td>2-digit FIPS Code</td>
</tr>
<tr>
<td>3</td>
<td>Batch Number</td>
<td>6</td>
<td>12-17</td>
<td>YYYYWW</td>
</tr>
<tr>
<td>4</td>
<td>Claim Date (Week Ending or Effective Date)</td>
<td>8</td>
<td>18-25</td>
<td>MMDDYYYY</td>
</tr>
<tr>
<td>5</td>
<td>Local Office Number</td>
<td>4</td>
<td>26-29</td>
<td>State-assigned #</td>
</tr>
<tr>
<td>6</td>
<td>U.S. Citizen</td>
<td>1</td>
<td>30</td>
<td>1 to 3 or Blank</td>
</tr>
<tr>
<td>7</td>
<td>Education</td>
<td>2</td>
<td>31-32</td>
<td>00 to 12, 14 to 16, 20 or Blank</td>
</tr>
<tr>
<td>8²</td>
<td>Voc/Tech Training</td>
<td>1</td>
<td>33</td>
<td>1 to 3 or Blank</td>
</tr>
<tr>
<td>9²</td>
<td>In Training</td>
<td>2</td>
<td>34-35</td>
<td>00, 11 to 14, 21 to 24 or Blank</td>
</tr>
<tr>
<td>10²</td>
<td>Occupation Code (Last Employer)</td>
<td>3</td>
<td>36-38</td>
<td>3-digit major and minor SOC/O*NET code or Blank</td>
</tr>
<tr>
<td>11</td>
<td>Date of Birth</td>
<td>8</td>
<td>39-46</td>
<td>MMDDYYYY or Blank</td>
</tr>
<tr>
<td>12</td>
<td>Gender</td>
<td>1</td>
<td>47</td>
<td>1, 2 or Blank</td>
</tr>
<tr>
<td>13</td>
<td>Ethnic Classification</td>
<td>1</td>
<td>48</td>
<td>1 to 6, 9 or Blank</td>
</tr>
<tr>
<td>14</td>
<td>Program Code</td>
<td>1</td>
<td>49</td>
<td>1 to 8 or Blank</td>
</tr>
<tr>
<td>15</td>
<td>Combined Wage</td>
<td>1</td>
<td>50</td>
<td>1 to 6 or Blank</td>
</tr>
<tr>
<td>16</td>
<td>Benefit Yr. Beginning</td>
<td>8</td>
<td>51-58</td>
<td>MMDDYYYY or Blank</td>
</tr>
<tr>
<td>17</td>
<td>Initial Claim Filing Method</td>
<td>1</td>
<td>59</td>
<td>1 to 6 or Blank</td>
</tr>
</tbody>
</table>

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; optional for denials cases.
<table>
<thead>
<tr>
<th>Item #</th>
<th>Name</th>
<th>Field</th>
<th>Positions</th>
<th>Formats/Codes</th>
</tr>
</thead>
<tbody>
<tr>
<td>18^2</td>
<td># Prior Nonsep Issues</td>
<td>2</td>
<td>60-61</td>
<td>2 digits or Blank</td>
</tr>
<tr>
<td>19^2</td>
<td># Prior Nonsep Issues (Disqualifying)</td>
<td>2</td>
<td>62-63</td>
<td>2 digits or Blank</td>
</tr>
<tr>
<td>20</td>
<td>Reason for Separation (Before Investigation)</td>
<td>2</td>
<td>64-65</td>
<td>10 to 69 or Blank</td>
</tr>
<tr>
<td>21</td>
<td>Date of Separation (Before Investigation)</td>
<td>8</td>
<td>66-73</td>
<td>MMDDYYYY or Blank</td>
</tr>
<tr>
<td>22^2</td>
<td>Recall Status (Before Investigation)</td>
<td>1</td>
<td>74</td>
<td>0, 1, 2 or Blank</td>
</tr>
<tr>
<td>23^2</td>
<td>NAICS Last Employer</td>
<td>4</td>
<td>75-78</td>
<td>NAICS code (first 4 digits) or Blank</td>
</tr>
<tr>
<td>24</td>
<td># Base Period Employers (Before Investigation)</td>
<td>2</td>
<td>79-80</td>
<td>2 digits or Blank</td>
</tr>
<tr>
<td>25</td>
<td>Base Period Wages (Before Investigation)</td>
<td>6</td>
<td>81-86</td>
<td>6 digits (whole dollars) or Blank</td>
</tr>
<tr>
<td>26^2</td>
<td>NAICS Primary Base Period Employer</td>
<td>4</td>
<td>87-90</td>
<td>NAICS code (first 4 digits) or Blank</td>
</tr>
<tr>
<td>27</td>
<td>High Quarter Wages (Before Investigation)</td>
<td>5</td>
<td>91-95</td>
<td>5 digits (whole dollars) or Blank</td>
</tr>
<tr>
<td>28</td>
<td># Weeks Worked in BP (Before Investigation)</td>
<td>3</td>
<td>96-98</td>
<td>3 digits or Blank</td>
</tr>
<tr>
<td>29</td>
<td>WBA (Before Invest.)</td>
<td>3</td>
<td>99-101</td>
<td>3 digits (whole dollars) or Blank</td>
</tr>
<tr>
<td>30</td>
<td>MBA (Before Invest.)</td>
<td>5</td>
<td>102-106</td>
<td>5 digits (whole dollars) or Blank</td>
</tr>
<tr>
<td>31</td>
<td>Monetary Redeterm. (Before Investigation)</td>
<td>1</td>
<td>107</td>
<td>1, 2 or Blank</td>
</tr>
</tbody>
</table>

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; optional for denials cases.
<table>
<thead>
<tr>
<th>Item #</th>
<th>Name</th>
<th>Field Size</th>
<th>Positions</th>
<th>Formats/Codes</th>
</tr>
</thead>
<tbody>
<tr>
<td>32</td>
<td>Remaining Balance (As of week paid or denial)</td>
<td>5</td>
<td>108-112</td>
<td>5 digits (whole dollars) or Blank determination</td>
</tr>
<tr>
<td>33</td>
<td># Dependents Claimed (Before Investigation)</td>
<td>2</td>
<td>113-114</td>
<td>2 digits, 00 or Blank</td>
</tr>
<tr>
<td>34</td>
<td>Dependents Allowance (Before Investigation)</td>
<td>3</td>
<td>115-117</td>
<td>3 digits (whole dollars) or Blank</td>
</tr>
<tr>
<td>35²</td>
<td>First CWE Date</td>
<td>8</td>
<td>118-125</td>
<td>MMDDYYYYY or Blank</td>
</tr>
<tr>
<td>36²</td>
<td>Date of First Pay't.</td>
<td>8</td>
<td>126-133</td>
<td>MMDDYYYYY or Blank</td>
</tr>
<tr>
<td>37²</td>
<td>Key Week Cert. Method</td>
<td>1</td>
<td>134</td>
<td>1 to 3 or Blank</td>
</tr>
<tr>
<td>38³</td>
<td>Week Claimed/Paid Filing Method</td>
<td>1</td>
<td>135</td>
<td>1 to 6 or Blank</td>
</tr>
<tr>
<td>39</td>
<td>(Relocated to Item # 62)</td>
<td>3</td>
<td>136-138</td>
<td>Blank</td>
</tr>
<tr>
<td>40</td>
<td>(Relocated to Item # 63)</td>
<td>3</td>
<td>139-141</td>
<td>Blank</td>
</tr>
<tr>
<td>41</td>
<td>(Relocated to Item # 64)</td>
<td>3</td>
<td>142-144</td>
<td>Blank</td>
</tr>
<tr>
<td>42</td>
<td>(Relocated to Item # 65)</td>
<td>3</td>
<td>145-147</td>
<td>Blank</td>
</tr>
<tr>
<td>43</td>
<td>(Relocated to Item # 66)</td>
<td>3</td>
<td>148-150</td>
<td>Blank</td>
</tr>
<tr>
<td>44²</td>
<td>Required to Seek Work</td>
<td>1</td>
<td>151</td>
<td>1 to 5 or Blank</td>
</tr>
<tr>
<td>45²</td>
<td>JS Registration Required</td>
<td>1</td>
<td>152</td>
<td>1 to 4 or Blank</td>
</tr>
<tr>
<td>46²</td>
<td>Actively/Currently Registered w/ JS</td>
<td>1</td>
<td>153</td>
<td>1 to 4 or Blank</td>
</tr>
</tbody>
</table>

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; optional 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.
<table>
<thead>
<tr>
<th>Item #</th>
<th>Name</th>
<th>Field Size</th>
<th>Positions</th>
<th>Formats/Codes</th>
</tr>
</thead>
<tbody>
<tr>
<td>47²</td>
<td>Reason JS Reg. Deferred</td>
<td>1</td>
<td>154</td>
<td>1 to 6 or Blank</td>
</tr>
<tr>
<td>48²</td>
<td># of JS Referrals</td>
<td>2</td>
<td>155-156</td>
<td>2 digits or Blank</td>
</tr>
<tr>
<td>49²</td>
<td>Union Referral Status</td>
<td>1</td>
<td>157</td>
<td>0 to 3 or Blank</td>
</tr>
<tr>
<td>50⁵</td>
<td>Union Service</td>
<td>1</td>
<td>158</td>
<td>0 to 3 or Blank</td>
</tr>
<tr>
<td>51⁵</td>
<td>Union Assistance Requested</td>
<td>1</td>
<td>159</td>
<td>0 to 4 or Blank</td>
</tr>
<tr>
<td>52⁵</td>
<td>Claimant Union Assisted</td>
<td>1</td>
<td>160</td>
<td>0, 1, 2 or Blank</td>
</tr>
<tr>
<td>53⁵</td>
<td>Monetary Denial Reason</td>
<td>2</td>
<td>161-162</td>
<td>00 thru 59 or Blank</td>
</tr>
<tr>
<td>54⁵</td>
<td>Nonmonetary-Nonseparation Denial Reason</td>
<td>2</td>
<td>163-164</td>
<td>00 thru 79 or Blank</td>
</tr>
<tr>
<td>55⁵</td>
<td>Claim Type</td>
<td>1</td>
<td>165</td>
<td>0 to 5</td>
</tr>
<tr>
<td>56⁵</td>
<td>Initial Determination Appealed⁶</td>
<td>1</td>
<td>166</td>
<td>0 to 3 or Blank</td>
</tr>
<tr>
<td>57⁵</td>
<td>Result of Initial Determination Appeal⁶</td>
<td>1</td>
<td>167</td>
<td>0 to 6 or Blank</td>
</tr>
<tr>
<td>58⁵</td>
<td>Sample Type</td>
<td>1</td>
<td>168</td>
<td>1 to 4</td>
</tr>
<tr>
<td>59</td>
<td>Ethnicity</td>
<td>1</td>
<td>169</td>
<td>0, 1 or Blank</td>
</tr>
<tr>
<td>60⁵</td>
<td>Separation Issue No.</td>
<td>2</td>
<td>170-171</td>
<td>0 to 99, -2 or Blank</td>
</tr>
<tr>
<td>61⁵</td>
<td>Nonseparation Issue No.</td>
<td>2</td>
<td>172-173</td>
<td>0 to 99, -2 or Blank</td>
</tr>
</tbody>
</table>

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; optional for denials cases.

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.
<table>
<thead>
<tr>
<th>Item #</th>
<th>Name</th>
<th>Field Size</th>
<th>Positions</th>
<th>Formats/Codes¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>62⁴</td>
<td>Amount Paid and/or Offset</td>
<td>5</td>
<td>174-178</td>
<td>5 digits (whole dollars) or Blank</td>
</tr>
<tr>
<td>63</td>
<td>Total Earnings (Before Investigation)</td>
<td>4</td>
<td>179-182</td>
<td>4 digits (whole dollars) or Blank</td>
</tr>
<tr>
<td>64</td>
<td>Earnings Deduction (Before Investigation)</td>
<td>4</td>
<td>183-186</td>
<td>4 digits (whole dollars) or Blank</td>
</tr>
<tr>
<td>65</td>
<td>Other Deductible Income (Before Investigation)</td>
<td>6</td>
<td>187-192</td>
<td>6 digits (whole dollars) or Blank</td>
</tr>
<tr>
<td>66</td>
<td>Other Deduction (Before Investigation)</td>
<td>5</td>
<td>193-197</td>
<td>5 digits (whole dollars) or Blank</td>
</tr>
</tbody>
</table>

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

⁴ Required for UI paid claims cases. For denials cases, leave blank if there is no payment associated with the denial determination. Otherwise, enter the amount paid, offset, intercepted, withheld or deducted for the weeks affected by denial determination.
**Record Format for sfsum.dat File**  
*(All Fields are Numeric)*

<table>
<thead>
<tr>
<th>Item #</th>
<th>Name</th>
<th>Field Size</th>
<th>Positions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Batch</td>
<td>6</td>
<td>1-6</td>
</tr>
<tr>
<td>2(^1)</td>
<td>Sample Type</td>
<td>1</td>
<td>7</td>
</tr>
<tr>
<td>3</td>
<td>Sample Size</td>
<td>2</td>
<td>8-9</td>
</tr>
<tr>
<td>4</td>
<td>Population Size</td>
<td>6</td>
<td>10-15</td>
</tr>
<tr>
<td>5(^2)</td>
<td>Random Start #</td>
<td>6</td>
<td>16-21</td>
</tr>
<tr>
<td>6(^3)</td>
<td>Skip Interval</td>
<td>6</td>
<td>22-27</td>
</tr>
<tr>
<td>7</td>
<td>Initial Case Selected</td>
<td>6</td>
<td>28-33</td>
</tr>
<tr>
<td>8</td>
<td>Sample – Male</td>
<td>2</td>
<td>34-35</td>
</tr>
<tr>
<td>9</td>
<td>Population – Male</td>
<td>6</td>
<td>36-41</td>
</tr>
<tr>
<td>10</td>
<td>Sample – Female</td>
<td>2</td>
<td>42-43</td>
</tr>
<tr>
<td>11</td>
<td>Population – Female</td>
<td>6</td>
<td>44-49</td>
</tr>
<tr>
<td>12</td>
<td>Sample – Gender Missing</td>
<td>2</td>
<td>50-51</td>
</tr>
<tr>
<td>13</td>
<td>Population – Gender Missing</td>
<td>6</td>
<td>52-57</td>
</tr>
<tr>
<td>14</td>
<td>Sample – White</td>
<td>2</td>
<td>58-59</td>
</tr>
<tr>
<td>15</td>
<td>Population – White</td>
<td>6</td>
<td>60-65</td>
</tr>
<tr>
<td>16</td>
<td>Sample – Non-white</td>
<td>2</td>
<td>66-67</td>
</tr>
<tr>
<td>17</td>
<td>Population – Non-white</td>
<td>6</td>
<td>68-73</td>
</tr>
</tbody>
</table>

---

\(^1\) 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 nonseparation denials (sample type = 4).

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

\(^3\) Reported with one implied decimal (xxxx.xx).
<table>
<thead>
<tr>
<th>Item #</th>
<th>Name</th>
<th>Field Size</th>
<th>Positions</th>
</tr>
</thead>
<tbody>
<tr>
<td>18</td>
<td>Sample – Ethnic Missing</td>
<td>2</td>
<td>74-75</td>
</tr>
<tr>
<td>19</td>
<td>Population – Ethnic Missing</td>
<td>6</td>
<td>76-81</td>
</tr>
<tr>
<td>20</td>
<td>Sample – Age &lt; 25</td>
<td>2</td>
<td>82-83</td>
</tr>
<tr>
<td>21</td>
<td>Population – Age &lt; 25</td>
<td>6</td>
<td>84-89</td>
</tr>
<tr>
<td>22</td>
<td>Sample – Age 25-34</td>
<td>2</td>
<td>90-91</td>
</tr>
<tr>
<td>23</td>
<td>Population – Age 25-34</td>
<td>6</td>
<td>92-97</td>
</tr>
<tr>
<td>24</td>
<td>Sample – Age 35-44</td>
<td>2</td>
<td>98-99</td>
</tr>
<tr>
<td>25</td>
<td>Population – Age 35-44</td>
<td>6</td>
<td>100-105</td>
</tr>
<tr>
<td>26</td>
<td>Sample – Age 45-64</td>
<td>2</td>
<td>106-107</td>
</tr>
<tr>
<td>27</td>
<td>Population – Age 45-64</td>
<td>6</td>
<td>108-113</td>
</tr>
<tr>
<td>28</td>
<td>Sample – Age 65+</td>
<td>2</td>
<td>114-115</td>
</tr>
<tr>
<td>29</td>
<td>Population – Age 65+</td>
<td>6</td>
<td>116-121</td>
</tr>
<tr>
<td>30</td>
<td>Sample – Age Missing</td>
<td>2</td>
<td>122-123</td>
</tr>
<tr>
<td>31</td>
<td>Population – Age Missing</td>
<td>6</td>
<td>124-129</td>
</tr>
<tr>
<td>32^</td>
<td>Sample – UI Program</td>
<td>2</td>
<td>130-131</td>
</tr>
<tr>
<td>33^</td>
<td>Population – UI Program</td>
<td>6</td>
<td>132-137</td>
</tr>
<tr>
<td>34^</td>
<td>Sample – UCFE/UCX</td>
<td>2</td>
<td>138-139</td>
</tr>
<tr>
<td>35^</td>
<td>Population – UCFE/UCX</td>
<td>6</td>
<td>140-145</td>
</tr>
<tr>
<td>36</td>
<td>Sample – Program Missing</td>
<td>2</td>
<td>146-147</td>
</tr>
<tr>
<td>37</td>
<td>Population – Program Missing</td>
<td>6</td>
<td>148-153</td>
</tr>
</tbody>
</table>

^ 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).

^ Program codes include UCFE and/or UCX only (program type codes 5, 6 and 7 in the UI transactions file).
<table>
<thead>
<tr>
<th>Item #</th>
<th>Name</th>
<th>Field Size</th>
<th>Positions</th>
</tr>
</thead>
<tbody>
<tr>
<td>38&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Sample - &lt;= $50 Paid</td>
<td>2</td>
<td>154-155</td>
</tr>
<tr>
<td>39&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Population - &lt;= $50 Paid</td>
<td>6</td>
<td>156-161</td>
</tr>
<tr>
<td>40&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Sample - $51-100 Paid</td>
<td>2</td>
<td>162-163</td>
</tr>
<tr>
<td>41&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Population - $51-100 Paid</td>
<td>6</td>
<td>164-169</td>
</tr>
<tr>
<td>42&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Sample - $101-150 Paid</td>
<td>2</td>
<td>170-171</td>
</tr>
<tr>
<td>43&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Population - $101-150 Paid</td>
<td>6</td>
<td>172-177</td>
</tr>
<tr>
<td>44&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Sample - $151-200 Paid</td>
<td>2</td>
<td>178-179</td>
</tr>
<tr>
<td>45&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Population - $151-200 Paid</td>
<td>6</td>
<td>180-185</td>
</tr>
<tr>
<td>46&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Sample -&gt; $200 Paid</td>
<td>2</td>
<td>186-187</td>
</tr>
<tr>
<td>47&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Population -&gt; $200 Paid</td>
<td>6</td>
<td>188-193</td>
</tr>
<tr>
<td>48&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Sample – Amount Paid Missing</td>
<td>2</td>
<td>194-195</td>
</tr>
<tr>
<td>49&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Population - Amount Paid Missing</td>
<td>6</td>
<td>196-201</td>
</tr>
<tr>
<td>50&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Sample – Amount Paid</td>
<td>2</td>
<td>202-206</td>
</tr>
<tr>
<td>51&lt;sup&gt;6&lt;/sup&gt;</td>
<td>Population – Amount Paid</td>
<td>6</td>
<td>207-215</td>
</tr>
<tr>
<td>52&lt;sup&gt;6,7&lt;/sup&gt;</td>
<td>Sample – Amount Paid Variance</td>
<td>2</td>
<td>216-223</td>
</tr>
<tr>
<td>53&lt;sup&gt;6,7&lt;/sup&gt;</td>
<td>Population – Amount Paid Variance</td>
<td>6</td>
<td>224-231</td>
</tr>
</tbody>
</table>

<sup>6</sup> For the monetary, separation, and nonseparation denials, this item will equal zero.

<sup>7</sup> Reported with three implied decimal places (xxxxx.xxx).
CHAPTER IV

DATA COLLECTION

1. **Introduction.** Data from each case sampled for BAM are 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 paid claim case. Chapter VIII identifies the data elements collected for each denied claim case. Collectively, the data elements in this chapter and Chapter VIII are referred to as the DCI (data collection instrument), and apply to the investigation of both paid and denied claims.

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

   - Part A - Case Control Information
   - 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: Part A data is information automatically downloaded from the rec1.dat file. The information contains unique characteristic specific for the case being investigated, such as the Social Security number, state identification code, batch and sequence number of the case, local office number and the investigator identification number to whom the case is assigned.

   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. **Features of the Data Entry Program.** A program designed specifically for data entry is provided all states and is intended to make data recording relatively simple. As many data elements as possible are electronically transferred (downloaded) from the SWA’s computerized UI files to the BAM record at the time that the sample cases are selected. Thus, many of the data elements are completed prior to any action. The remaining data elements will have blank fields awaiting data entry because of the BAM investigation. Most of the fields in Parts H and I are preset to zeros since not all fields in this part are used for every case that is completed. By setting fields to zero, the need to enter zeros is eliminated for those data elements that are not required for a particular case.

   All data is numeric or a special alpha character. Numeric data must be right justified and zero-filled from the left. For example, if six positions have been allocated to a data element, but the BAM investigation finds it to have a value of 450 (requiring only three positions), the element should be entered as 000450. The exception to this are data elements C5 (Benefit Rights Given) and
EI4 (Error Responsibility) for paid claims and Nos. 26 and 101 for denied claims. These elements require multiple entries, as each distinct position within the field ABCD is Boolean (true/false). The valid codes are summarized in tables in the description part of each of these data elements.

c. Responsibility for Data Entry. The SWA determines who enters the data into the automated record (e.g., investigator, clerk, etc.). SWAs may find it advantageous to develop a method to organize the data prior to entry (i.e., coding sheet).

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 the software assigns others, 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:** provides specific instructions for each data element and lists the codes available for each data element

The following general instructions are applicable for data elements involving money:

Entries must be in whole dollars, with the exception of hourly wages that require both dollars and cents. For those entries requiring whole dollars, SWAs that have formal policies regarding the rounding of dollars should follow those policies. Other SWAs 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 is obtained.

- 1 = In-person interview
- 2 = Telephone interview
- 3 = Mail (including fax or e-mail)
- -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
- -1 = Missing or information not available

(b3) NAME: Education
SHORT NAME: Education

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

- 00 = 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.)
- -1 = Missing or information not available

**Note regarding this element and (b4):** A distinction must be made between education and training. Attendance at one institution or facility cannot be coded under both categories. 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  
-1 = Missing or information not available

(b5) **NAME:** Training Status during Key Week  
**SHORT NAME:** In Training

**Definition:** Enter the applicable code after verification

00 = Not in training  
-1 = Missing or information not available

UI Approved Training:  
11 = Tech./voc.  
12 = WIA  
13 = Academic  
14 = Other  
Not UI Approved Training:  
21 = Tech./voc.  
22 = WIA  
23 = Academic  
24 = Other

(b6) **NAME:** Occupational Code (Last job prior to filing 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.

-1 = Missing or information not available

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

[May/2005]
(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 (see chart in b6).

-1 = Missing or information not available

(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 5.00).

Use state conversion formula when other than hourly wages is 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.

-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 (see chart in b6).

-1 = Information missing or not available

(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 in b8 above.

-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.  

If date of birth is missing or information is not available, code as “01/01/0001”.

(b12) NAME: Sex  
SHORT NAME: Sex  

**Definition:** Enter appropriate code.  

1 = Male  
2 = Female  
-1 = Missing or information not available

(b13) NAME: Ethnicity and Race Classification Code  
SHORT NAME: Race-Ethnic  

**Definition:** This is a two-position data element. Enter appropriate ethnic code in the first position, and appropriate race code in the second position.  

99 = If neither race nor Hispanic/Latino ethnicity is known

<table>
<thead>
<tr>
<th>FIRST POSITION</th>
<th>SECOND POSITION</th>
<th>0 – Not Hispanic or Latino</th>
<th>1 – Hispanic or Latino</th>
<th>9 – Ethnicity Unknown</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – White</td>
<td></td>
<td>01</td>
<td>11</td>
<td>91</td>
</tr>
<tr>
<td>2 – Black or African American</td>
<td>02</td>
<td>12</td>
<td>92</td>
<td></td>
</tr>
<tr>
<td>3 – Asian</td>
<td></td>
<td>03</td>
<td>13</td>
<td>93</td>
</tr>
<tr>
<td>4 – American Indian or Alaska Native</td>
<td>04</td>
<td>14</td>
<td>94</td>
<td></td>
</tr>
<tr>
<td>5 – Native Hawaiian or Other Pacific Islander</td>
<td>05</td>
<td>15</td>
<td>95</td>
<td></td>
</tr>
<tr>
<td>6 – Multiple Categories Reported</td>
<td>06</td>
<td>16</td>
<td>96</td>
<td></td>
</tr>
<tr>
<td>9 – Race Unknown</td>
<td></td>
<td>09</td>
<td>19</td>
<td>99</td>
</tr>
</tbody>
</table>
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 that applied at the time the Key Week payment was made.

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 claimant declined to combine wages.

Use codes 3 or 6 if out-of-state wages have 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 (other than e-mail)  
6 = Internet claim  
-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.  

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)/other multimedia. The valid codes are summarized in the following table.

-1 = Missing or information not available

<table>
<thead>
<tr>
<th>BENEFITS RIGHTS GIVEN</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A = In-person Interview</strong></td>
<td><strong>B= Group Interview</strong></td>
</tr>
<tr>
<td>0 – Not given</td>
<td>0 – Not given</td>
</tr>
<tr>
<td>1 – In-person interview given</td>
<td>2 – Group interview given</td>
</tr>
<tr>
<td><strong>C = Booklet / Pamphlet</strong></td>
<td><strong>D = Video/Electronic/Other Multimedia</strong></td>
</tr>
<tr>
<td>0 – Not given</td>
<td>0 – Not given</td>
</tr>
<tr>
<td>3 – Booklet / Pamphlet given</td>
<td>4 – Video/Electronic (including Internet/Other Multimedia given</td>
</tr>
</tbody>
</table>

(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  
-1 = Missing or information not available  
-2 = Not applicable (claimant not required to have ERP or first ERP scheduled after the Key Week)
(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.  

-1 = Missing or information not available  
-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 PCA process.  

0 = None

(c9) **NAME:** Number of Prior Disqualifications for Nonseparation Issues  
**SHORT NAME:** Prior Nonsep Disq  

**Definition:** Enter number of prior disqualifications that 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. Code the separation that caused the period of unemployment (new/additional claim) for the Key Week. 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 (partial)

The second digit of the code is reserved for SWA use. For example, at the SWA'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 the investigation establishes as the correct reason for separation for 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).

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 (partial)

(d3) NAME: Date of Separation Before Investigation  
SHORT NAME: Date Sep Before

Definition: Enter date (MM/DD/YYYY) of separation as defined by state law/policy, from last employer used to determine code assigned in (d1). If the claimant has not been separated, enter the last day worked, but no later than the Key Week ending date, if code in (d1) is 60-69.
(d4) **NAME:** Date of Separation After Investigation  
**SHORT NAME:** Date Sep After  

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

If the claimant has not been separated, enter the last day worked, but no later than the Key Week ending date, if code in (d2) is coded 60-69.

01/01/0001 = Missing or information not available

(d5) **NAME:** Recall Status Before Investigation  
**SHORT NAME:** Recall Stat Before  

**Definition:** Enter the code that 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)  
- -1 = Missing or information not available  
- -2 = Not applicable (e.g., partial)

(d6) **NAME:** Recall Status After Investigation  
**SHORT NAME:** Recall Stat After  

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

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

(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% is entered as 1492; 3.6% is entered as 360; 7.478% is entered as 748).

Enter 9999 if employer reimburses fund. (Decimal field will display "99.99"). Enter -1 if non-subject employing unit or information is not available.
**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 -1 if missing or information not available.

<table>
<thead>
<tr>
<th>Code</th>
<th>Industry Category</th>
<th>Code</th>
<th>Industry Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>11</td>
<td>Agriculture, Forestry, Fishing, Hunting</td>
<td>53</td>
<td>Real Estate, Rental and Leasing</td>
</tr>
<tr>
<td>21</td>
<td>Mining</td>
<td>54</td>
<td>Professional, Scientific, and Technical Services</td>
</tr>
<tr>
<td>22</td>
<td>Utilities</td>
<td>55</td>
<td>Management of Companies and Enterprises</td>
</tr>
<tr>
<td>23</td>
<td>Construction</td>
<td>56</td>
<td>Administrative Support, Waste Management and Remediation Services</td>
</tr>
<tr>
<td>31-33</td>
<td>Manufacturing</td>
<td>61</td>
<td>Education Services</td>
</tr>
<tr>
<td>42</td>
<td>Wholesale Trade</td>
<td>62</td>
<td>Health Care and Social Assistance</td>
</tr>
<tr>
<td>44-45</td>
<td>Retail Trade</td>
<td>71</td>
<td>Arts, Entertainment and Recreation</td>
</tr>
<tr>
<td>48-49</td>
<td>Transportation and Warehousing</td>
<td>72</td>
<td>Accommodation and Food Services</td>
</tr>
<tr>
<td>51</td>
<td>Information</td>
<td>81</td>
<td>Other Services (except Public Administration)</td>
</tr>
<tr>
<td>52</td>
<td>Finance and Insurance</td>
<td>92</td>
<td>Public Administration</td>
</tr>
</tbody>
</table>
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 wages from seasonal, school, and out-of-state employers if they 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. Include wages from seasonal, school, and out-of-state employers if they should have been used in calculating the monetary determination from which the Key Week payment was made.

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

(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. Include wages from seasonal, school, and out-of-state employers if they were used in the monetary determination from which the Key Week payment was made.

(e4) **NAME:** Base Period Wages After Investigation  
**SHORT NAME:** BP Wages After

**Definition:** Enter total amount of all base period wages from subject employers identified in (e2) even if claimant is determined to be monetarily ineligible. Express in whole dollars.

Must be zero (0) if (e2) is zero.
**NAME:** High Quarter Wages Before Investigation  
**SHORT NAME:** High Qtr Wages Before

**Definition:** Enter whole dollar amount of claimant’s high quarter base period wages (before investigation) used in the monetary determination from which the original Key Week payment was made. Include seasonal wages and school wages, if used.

Enter 99999 if greater than $99999.  
Enter -2 if not applicable and/or not in state records.

---

**NAME:** High Quarter Wages After Investigation  
**SHORT NAME:** High Qtr Wages After

**Definition:** Enter whole dollar amount of claimant's high quarter base period wages (after investigation) that should have been used for the monetary determination for the Key Week.

Enter 99999 if greater than $99999.  
Enter zero (0) if (e2) is zero.  
Enter -2 if not applicable AND not obtained by the investigator.

---

**NAME:** Number of Weeks Worked in Base Period Before Investigation  
**SHORT NAME:** Wks Worked Before

**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.

-2 = Not Applicable if the number of weeks worked is not required.

---

**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 that the claimant worked in base period after investigation. Complete this item if required by state law for computing monetary eligibility.

Enter zero (0) if (e2) is zero.  
Enter -2 if the number of weeks worked is not required.
(e9) **NAME:** Weekly Benefit Amount (WBA) Before Investigation  
**SHORT NAME:** WBA Before  

**Definition:** Enter claimant's 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 because of nonmonetary issues (i.e., a separation issue or administrative penalty).

(e10) **NAME:** Weekly Benefit Amount (WBA) After Investigation  
**SHORT NAME:** WBA After  

**Definition:** Enter claimant's correct WBA based on the monetary determination that should have applied at the time the 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).

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

(e11) **NAME:** Maximum Benefit Amount (MBA) Before Investigation  
**SHORT NAME:** MBA Before  

**Definition:** Enter MBA 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 because 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 other deductions.

(e12) **NAME:** Maximum Benefit Amount (MBA) After Investigation  
**SHORT NAME:** MBA After  

**Definition:** Enter MBA based on the monetary determination that should have applied to Key Week at the time that the original payment for Key Week was made.

Express in whole dollars. 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 other deductions.

Must be zero (0) if (e2) is zero.
(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 -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.  
Enter -2 if state does not have a dependency provision.

---

(e15) **NAME:** Dependents' Allowance Before Investigation  
**SHORT NAME:** Depend Allow Before  

**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.  
Enter -2 if 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.  
Enter -2 if state does not have a dependency provision.
**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.

-1 = Information missing or not available

<table>
<thead>
<tr>
<th></th>
<th>Industry Code (Primary Base Period Employer)</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>11</td>
<td>Agriculture, Forestry, Fishing, Hunting</td>
<td>53</td>
<td>Real Estate, Rental and Leasing</td>
</tr>
<tr>
<td>21</td>
<td>Mining</td>
<td>54</td>
<td>Professional, Scientific, and Technical Services</td>
</tr>
<tr>
<td>22</td>
<td>Utilities</td>
<td>55</td>
<td>Management of Companies and Enterprises</td>
</tr>
<tr>
<td>23</td>
<td>Construction</td>
<td>56</td>
<td>Administrative Support, Waste Management and Remediation Services</td>
</tr>
<tr>
<td>31-33</td>
<td>Manufacturing</td>
<td>61</td>
<td>Education Services</td>
</tr>
<tr>
<td>42</td>
<td>Wholesale Trade</td>
<td>62</td>
<td>Health Care and Social Assistance</td>
</tr>
<tr>
<td>44-45</td>
<td>Retail Trade</td>
<td>71</td>
<td>Arts, Entertainment and Recreation</td>
</tr>
<tr>
<td>48-49</td>
<td>Transportation and Warehousing</td>
<td>72</td>
<td>Accommodation and Food Services</td>
</tr>
<tr>
<td>51</td>
<td>Information</td>
<td>81</td>
<td>Other Services (except Public Administration)</td>
</tr>
<tr>
<td>52</td>
<td>Finance and Insurance</td>
<td>92</td>
<td>Public Administration</td>
</tr>
</tbody>
</table>

**NAME:** Monetary Redetermination Before Investigation  
**SHORT NAME:** Mon Redet Before

**Definition:** Enter appropriate code that indicates if SWA 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

**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 SWA 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.  
   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.

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.
(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 SWA’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  
**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 SWA’s method to determine the weekly amount of the pension.

Enter zero (0) if none

(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.

(f9) **NAME:** First Compensable Week Ending Date  
**SHORT NAME:** First CWE Date  
**Definition:** Enter Week Ending Date (MM/DD/YYYY) of first week compensable (paid/offset, totally or partially) in the benefit year as defined for the First Payment Time Lapse Report (ETA 9050).

**NOTE:** This is NOT necessarily the first compensated week as defined for the Claims and Payment Activities Report (ETA 5-159, Part B).
(f10) **NAME:** Date of First Compensable Week  
**SHORT NAME:** Date First Payment

**Definition:** Enter date payment was made (or offset applied) for the first compensable 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)  
6 = Internet Claim  
-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

**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 overissuances of food stamp coupons for Key Week. Code $98.00 as 98 without a leading zero.
PART G – LABOR EXCHANGE REGISTRATION/WORK SEARCH

(g1) NAME: Work Search Requirements
SHORT NAME: WS Requirements

Definition: Enter the appropriate code that 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.)
-2 = Not Applicable, if no active work search policy

(g2) NAME: Labor Exchange Registration Required for Key Week
SHORT NAME: LE Reg Req

Definition: Enter the appropriate code that applies to the Key Week according to law and policy. 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.
1 = Yes, per state law
2 = No
3 = Yes, as a result of profiling
4 = Yes, for both reasons

(g3) NAME: Labor Exchange Registration and Services as of Key Week
SHORT NAME: LE Reg/Services

Definition: Enter the appropriate code that applies to 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.
1 = Registered with the Labor Exchange and has received one or more staff-assisted service during the current benefit year (for example, job referral, placement in training, reemployment or assessment services, job search activities, or other service reportable on the ETA 9002 report.
2 = Not registered with Labor Exchange and has not used self-help services from the One-Stop delivery system during the current benefit year.
3 = Not registered with Labor Exchange but has received staff assisted services or has used self-help services from the One-Stop delivery system during the current benefit year.
4 = Registered with the Labor Exchange but has received no staff-assisted services during the current benefit year.
-1 = Information missing or not available.
(g4) NAME: Reason Labor Exchange Registration Deferred  
SHORT NAME: LE Defer

Definition: 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, if claimant not deferred

(g5) NAME: Number of Labor Exchange Referrals  
SHORT NAME: LE Refers

Definition: Enter number of times Labor Exchange 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.  
Enter -1 if information missing or not available.  
Enter -2 if claimant not registered or received no services during CBY.

(g6) NAME: Registered with Private Employment Agency  
SHORT NAME: Regis Priv Agency

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

- 1 = Registered with private agency
- 2 = Not registered with private agency
- 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.  
Enter -1 if information missing or not available.  
Enter -2 if claimant not registered.
(g8) NAME: Union Referral Status  
SHORT NAME: Union Status  

Definition: Enter appropriate code that 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.  
-1 = Missing or information not available  

(g9) NAME: Number of Union Referrals for the Key Week  
SHORT NAME: Union Refers  

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

-1 = Information Not Available, or (g8) coded 1.  
-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 -1 if claimant does not know or INA.  
Enter -2 if not required to and did not seek work.
(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 zero (0) if no contacts were indicated or KW contacts were sufficient to meet the requirements.  
Enter -1 if claimant does not know or INA.  
Enter -2 if state does not allow contacts outside the KW to satisfy work search requirements.

(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).

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

(g13) NAME: Number of Acceptable Work SearchContacts  
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.
(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 were 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). Must be zero (0) if (g12) is zero.
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 into 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.

**(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 SWA 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 SWA finality provisions.

a. **Screen I.** If the payment was not a proper payment, a code “9” is entered into 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.

Additional codes are available for use ONLY when reopening previously closed PCA cases. These are PCA cases selected for crossmatching with the State Directory of New Hires (SDNH) and state UI wage records files to provide information, in part to

- estimate the magnitude of overpayments attributable to unreported earnings that are not detected through current BAM audit methods but are detected through the use of SDNH or wage record crossmatch; and
- identify other issues that might affect the eligibility for the compensated week selected for the BAM sample (for example, voluntary quit or discharge from employment in the benefit year).

4 = Payment correct after original BAM investigation at time of supervisor sign-off; payment also correct after crossmatch with State Directory of New Hires or state UI wage record files.

5 = Payment improper after original BAM investigation at time of supervisor sign-off; no additional Key Week error issues detected after crossmatch with State Directory of New Hires or state UI wage record files.

7 = Payment correct after original BAM investigation at time of supervisor sign-off; payment improper after crossmatch with State Directory of New Hires or state UI wage record files (requires entry of data in the error issue table).

8 = Payment improper after original BAM investigation at time of supervisor sign-off; additional Key Week error issues identified through the crossmatch with State
Directory of New Hires or state UI wage record files, or additional information is identified through the crossmatch which requires revision of the previous coding (requires entry of data in the error issue table).

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 has eight data elements that require information to be recorded for each issue:

- **(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
- **(ei9)** Prior Claimant Action

SWAs may modify the last digits of the codes for five 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), Prior Employer Action code (ei7), and Prior Claimant Action code (ei9). The last digit in each of these codes is zero. SWAs may choose to develop additional categories using any digits from 1-9 to provide further detail in these areas.

Definitions and explanations for the data elements of Screen I are detailed on the following pages.
(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.

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) **(c13) 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 SWA 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:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>100</td>
<td>Unreported (concealed) earnings or days/hours of work.</td>
</tr>
<tr>
<td>110</td>
<td>Earnings or days/hours of work incorrectly estimated/reported/recorded or deducted.</td>
</tr>
<tr>
<td>120</td>
<td>Errors in reporting or unreported Severance Pay.</td>
</tr>
<tr>
<td>130</td>
<td>Errors in reporting or unreported Vacation Pay.</td>
</tr>
<tr>
<td>140</td>
<td>Errors in reporting or unreported Social Security or Pension Benefits.</td>
</tr>
<tr>
<td>150</td>
<td>Other causes related to reporting or recording of earnings or days/hours of work.</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>200</td>
<td>Earnings or weeks/days/hours of work incorrectly estimated/reported/recorded.</td>
</tr>
<tr>
<td>210</td>
<td>One or more base period employers not reported by claimant.</td>
</tr>
<tr>
<td>220</td>
<td>Other causes related to errors in reporting or recording earnings or weeks/days/hours of work for base period.</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>300</td>
<td>Voluntary Quits</td>
</tr>
<tr>
<td>310</td>
<td>Discharges</td>
</tr>
<tr>
<td>320</td>
<td>Other causes related to separation issues.</td>
</tr>
</tbody>
</table>
(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.

480 = Claimant filed UI claim using the identity of another person – Identity Theft

**Note:** If Error Cause Code = 480-489, KW Action (ei2) must equal 10, 11, 12, 13, or 15; Responsibility (ei4) code must equal 1[xxx] (1 in any combination with codes 0, 2, 3, and 4). Identity theft codes 480 to 489 are valid for any payment error detected through the BAM audit and are not limited to payment errors detected through cross matches of the State Directory of New Hires or State UI wage record files.

(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) **Error Responsibility.** Each payment error must be assigned a Responsibility code. Enter ALL the appropriate code to indicate the party responsible (by action or inaction) for the payment error. 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.

<table>
<thead>
<tr>
<th>ERROR RESPONSIBILITY</th>
<th>A = Claimant</th>
<th>B = Employer</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0 – Not responsible</td>
<td>0 – Not responsible</td>
</tr>
<tr>
<td></td>
<td>1 – Responsible</td>
<td>2 – Responsible</td>
</tr>
<tr>
<td>C = Agency</td>
<td>0 – Not responsible</td>
<td>0 – Not responsible</td>
</tr>
<tr>
<td></td>
<td>3 – Responsible</td>
<td>4 – Responsible</td>
</tr>
<tr>
<td>D = Third Party</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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 judgments of the BAM staff must be relied on to determine the most appropriate code for each case.
(5) **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 SWA 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

60 = Job Service/Employment Service records

70 = Verification with union

80 = Crossmatch of claimant SSN with State Directory of New Hires.

90 = Crossmatch of claimant SSN with state wage record files.
(6) (ei6) **Prior Agency Action.** For each payment error, a code is assigned which indicates any action(s) taken by the SWA on the Key Week issue as of the date sample selected. Enter appropriate code from below. The last digit is reserved for SWA 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 = SWA was in the process of resolving KW issue prior to sample being selected or SWA 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 = SWA identified KW issue prior to KW selection but took incorrect action.

40 = SWA 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 SWA thereby precluding ability to detect KW issue.

60 = State agency had detected payment error as a result of crossmatch of claimant SSN with State Directory of New Hires and had taken official action to establish overpayment for recovery (or issued supplemental check or increased claimant’s WBA, MBA, RB) before the BAM investigation was completed.

70 = State agency had detected payment error as a result of crossmatch of claimant SSN with state wage record files and had taken official action to establish overpayment for recovery (or issued supplemental check or increased claimant’s WBA, MBA, RB) before the BAM investigation was completed.

80 = Agency provided incorrect information or instructions to claimant, employer or third party.

90 = Agency based determination on incorrect information provided by another state’s workforce agency.
(7) **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 SWA 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.
- 60 = Employer, as an interested party, was not requested by agency to provide information for determination.
- 70 = Not an employer related issue.

(8) **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 = SWA appealed BAM determination.
(9) **(ei9) Prior Claimant Action.** For each payment error a code is assigned to indicate action(s) taken by the claimant affecting the KW issue as of the date sample was selected. Enter the appropriate code from below. The last digit of this code is reserved for SWA use to provide greater detail regarding claimant action.

10 = Claimant provided adequate and timely information to SWA for determination.

20 = Claimant provided adequate information to SWA after due date for determination.

30 = Claimant provided timely but inadequate information to SWA for determination.

40 = Claimant provided inadequate/incorrect information to SWA after due date for determination.

50 = Claimant did not respond to SWA request for information.

60 = SWA did not request the claimant to provide information.

For each additional issue (up to 20 per case), repeat the above steps (ei1-ei9) in screen I.

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.

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, i.e., (h1) is coded 9, the system will automatically trigger the Errisu Table for data input in calculating 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. Include amounts from prior benefit years if applicable. 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.

**Note:** 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 amounts from prior benefit years if applicable. Include payments from any extended benefit programs. Do not adjust (i.e., net) amount due to establishment of overpayments. Exclude any prospective errors relating to weeks not claimed.

If a 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.

**Note:** Code only underpayments for this claimant.
c.  **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.

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 SWA 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 SWAs; however, some SWAs, 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 (ci3).

**$ 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.

<table>
<thead>
<tr>
<th>Case ID:</th>
<th>(f13) Amount Paid: $</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>A. Overpayments</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cause Code</strong></td>
<td><strong>$ Amount</strong></td>
</tr>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td></td>
</tr>
<tr>
<td><strong>Total OP:</strong></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>B. Underpayments</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cause Code</strong></td>
<td><strong>$ Amount</strong></td>
</tr>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td></td>
</tr>
<tr>
<td><strong>Total OP:</strong></td>
<td></td>
</tr>
</tbody>
</table>
### C. (h2) Amount That Claimant Should Have Been Paid

Complete one of the following to determine (h2):

1. If KW is DQW, (h2) = 0:

2.a If KW is not DQW, enter WBA After Investigation (e10)

2.b List specific adjustments to WBA for KW, e.g., reduction for earnings:

<p>| |</p>
<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Enter total $ amount of adjustments:</td>
</tr>
<tr>
<td>$</td>
</tr>
</tbody>
</table>

2.c Subtract 2(b) from 2(a); h2 =

<p>| |</p>
<table>
<thead>
<tr>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>$</td>
</tr>
</tbody>
</table>

### 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 SWA 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): $
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 \( h_2 \), 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 \( e_{10} \), 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 \( h_5 \), 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 \( f_{13} \). Compare the two figures, and enter the lesser as \( h_5 \), Total Key Week Overpayments.

(3) **Box E.** This can be used to figure the dollar amount for \( h_6 \), Total Key Week Underpayments.

Enter the maximum WBA payable in the SWA 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 \( h_6 \), 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 particular SWA since calculations will be based upon each SWA’s own formulas for monetary determinations, wage reductions, etc.
**COMPLETED EXAMPLE #1**

**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.

<table>
<thead>
<tr>
<th>Cause Code</th>
<th>$ Amount</th>
<th>DQW</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>100</td>
<td>25</td>
</tr>
<tr>
<td>2</td>
<td>130</td>
<td>65</td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total OP:</strong></td>
<td>$90</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cause Code</th>
<th>$ Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>200</td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td></td>
</tr>
<tr>
<td><strong>Total OP:</strong></td>
<td>$5</td>
</tr>
</tbody>
</table>
### C. (h2) Amount That Claimant Should Have Been Paid

Complete one of the following to determine (h2):

1. If KW is DQW, (h2) = 0:

or

2.a If KW is not DQW, enter WBA After Investigation (e10) $ 122

2.b List specific adjustments to WBA for KW, e.g., reduction for earnings:

- $25 – unreported earnings
- $65 – vacation pay

Enter total $ amount of adjustments: $ 90

2.c Subtract 2(b) from 2(a); h2 = $ 32

### D. (h5) Total Key Week Overpayments

1. Enter the Total OP from A, page 1: $ 90

2. Enter the Amount Paid for KW (f13): $ 117

Total KW OP equals lesser of (1) or (2) (h5): $ 90

### E. (h6) Total Key Week Underpayments

1. Enter the SWA maximum WBA: $ 220

2. Enter the Amount Paid for KW (f13): $ 117

3. (1) – (2) $ 103

4. Enter the Total UP from B, page 1: $ 5

Total KW UP equals lesser of (3) or (4) (h6): $ 5
**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: Example #2 | (f13) Amount Paid: $ 150 |

<table>
<thead>
<tr>
<th>A. Overpayments</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Cause Code</td>
<td>$ Amount</td>
<td>DQW</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>100</td>
<td>$ 60</td>
<td>x</td>
</tr>
<tr>
<td>2</td>
<td>300</td>
<td>$ 150</td>
<td>x</td>
</tr>
<tr>
<td>3</td>
<td>420</td>
<td>$ 150</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total OP:</strong></td>
<td>$ 360</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>B. Underpayments</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Cause Code</td>
<td>$ Amount</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>200</td>
<td>$ 15</td>
</tr>
<tr>
<td>2</td>
<td>210</td>
<td>$ 40</td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total OP:</strong></td>
<td>$ 55</td>
<td></td>
</tr>
</tbody>
</table>
### C. (h2) Amount That Claimant Should Have Been Paid

Complete one of the following to determine (h2):

1. **If KW is DQW, (h2) = 0**: 0  

or  

2.a **If KW is not DQW, 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:** $ 360  

2. **Enter the Amount Paid for KW (f13):** $ 150  

Total KW OP equals lesser of (1) or (2) (h5): $ 150  

### E. (h6) Total Key Week Underpayments

1. **Enter the SWA maximum WBA:** $ 200  

2. **Enter the Amount Paid for KW (f13):** $ 150  

3. **(1) – (2):** $ 50  

4. **Enter the Total UP from B, page 1:** $ 55  

Total KW UP equals lesser of (3) or (4) (h6): $ 50
### COMPLETED EXAMPLE #3

#### 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.

<table>
<thead>
<tr>
<th>Case ID: Example #3</th>
<th>(f13) Amount Paid:</th>
<th>$ 120</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>A. Overpayments</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Cause Code</td>
<td>$ Amount</td>
<td>DQW</td>
</tr>
<tr>
<td>1</td>
<td>200</td>
<td>$ 40</td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total OP:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$ 40</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>B. Underpayments</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Cause Code</td>
<td>$ Amount</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>200</td>
<td>$ 60</td>
</tr>
<tr>
<td>2</td>
<td>200</td>
<td>$ 65</td>
</tr>
<tr>
<td>3</td>
<td>200</td>
<td>$ 70</td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total OP:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>$ 195</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
C. (h2) Amount That Claimant Should Have Been Paid

<table>
<thead>
<tr>
<th>Description</th>
<th>Calculation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. If KW is DQW, (h2) = 0:</td>
<td>-----------</td>
</tr>
<tr>
<td>or</td>
<td></td>
</tr>
<tr>
<td>2.a If KW is not DQW, enter WBA After Investigation (e10)</td>
<td>$ 220</td>
</tr>
<tr>
<td>2.b List specific adjustments to WBA for KW, e.g., reduction for earnings:</td>
<td></td>
</tr>
<tr>
<td>Enter total $ amount of adjustments:</td>
<td>$ ---------</td>
</tr>
<tr>
<td>2.c Subtract 2(b) from 2(a); h2 =</td>
<td>$ 220</td>
</tr>
</tbody>
</table>

D. (h5) Total Key Week Overpayments

<table>
<thead>
<tr>
<th>Description</th>
<th>Calculation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Enter the Total OP from A, page 1:</td>
<td>$ 40</td>
</tr>
<tr>
<td>2. Enter the Amount Paid for KW (f13):</td>
<td>$ 120</td>
</tr>
<tr>
<td>Total KW OP equals lesser of (1) or (2) (h5):</td>
<td>$ 40</td>
</tr>
</tbody>
</table>

E. (h6) Total Key Week Underpayments

<table>
<thead>
<tr>
<th>Description</th>
<th>Calculation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Enter the SWA maximum WBA:</td>
<td>$ 220</td>
</tr>
<tr>
<td>2. Enter the Amount Paid for KW (f13):</td>
<td>$ 120</td>
</tr>
<tr>
<td>3. (1) – (2)</td>
<td>$ 100</td>
</tr>
<tr>
<td>4. Enter the Total UP from B, page 1:</td>
<td>$ 195</td>
</tr>
<tr>
<td>Total KW UP equals lesser of (3) or (4) (h6):</td>
<td>$ 100</td>
</tr>
</tbody>
</table>
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: 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. Entry in this field will only be allowed if item \((h7)\) has been coded 1. Entry of zero (0) or 1 will cause the current system date to be stamped in \((h10)\) and the login ID of the user in \((h11)\).

\[0 = \text{Supervisor has completed the case without review}\]  
\[1 = \text{Supervisor has completed the case after review}\]

**(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 = SWA 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.
- 7 = Data of a closed case were changed or payment accuracy status updated as a result of additional information obtained through cross match of claimant SSN with State Directory of New Hires.
- 8 = Data of a closed case were changed or payment accuracy status updated as a result of additional information obtained through cross match of claimant SSN with State UI wage record files.

*Note:* If Reopen Code = 7 or 8, Key Week Action Flag Code (h1) must equal 4, 5, 7, or 8; timeliness will not be recalculated for cases reopened using reopen codes 7 or 8 (timeliness will be based on the latest date in supervisor completion date (h10) or reopen date (ro2) for records with reopen code (3)).

(ro2) **NAME:** 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) **NAME:** Reopen Case Identification  
**SHORT NAME:** Reopen ID  
Definition: The login ID of the person performing the reopen function.
1. **Introduction.** 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 database. These data, in combination with the classification of the case findings, will be used for state analysis and corrective action.

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.

2. **Standard Forms.** Each SWA 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 that address eligibility must be adequate to obtain information that the SWA 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 SWA 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) that 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 SWA records and interviews of claimants, employers, and third parties. Initially all BAM investigation interviews were conducted in person. In 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.

Regardless of the method used, it is intended that states obtain the information needed to complete their BAM cases. States must attempt to obtain the information required for investigations using any and all of the following methods: in-person, telephone, FAX or mail. States have the option of using any of these methods that it determines to be the most efficient and effective based on the circumstances of each case. States are to document all attempts made in procuring needed information in each case's summary.

b. Investigative Focus. Investigations begin with the assumption that the Key Week was properly paid; however, all areas of eligibility are explored that 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 that could potentially involve a disqualification that would not affect the Key Week. Disqualifying issues of this type must be pursued if discovered, but the SWA 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 that have not been detected previously. In addition, 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 SWA 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, SWAs 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 that is distributed SWA-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 SWA 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 that SWAs 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 that 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 that 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 that alters the content. Such approval may be obtained by sending a copy of the requested changes to the appropriate Regional Office. All requirements that SWAs 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.

The questionnaire must be signed by the investigator in the space provided to certify the information was obtained in accordance with the SWA 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, SWA 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 SWA 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 SWA 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.

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 SWA 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 and/or 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 that 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 that were claimed. This verification must, at a minimum, consist of the methods prescribed by state law and/or policy.

7. **UCFE.** To better integrate federal program with states’ claims processing systems, procedures for obtaining wage and separation information for both the UCFE and UCX programs have been automated to the extent possible. For the UCFE program, Lockheed Martin developed an ICON application that states use to generate electronic and/or hardcopy requests to federal Agencies, as appropriate, and to receive electronic responses. For the UCX and UCFE programs, the Claim Control File System maintained by the FCCC has been redesigned to support a more effective exchange of information and for integrity purposes.

BAM staff should work with the SWA's Federal Programs Coordinator to determine the most expedient way of obtaining wage, separation, earnings, and work search information from federal installations. 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 Federal Claims Control Center (FCCC) and any subsequent state 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 FCCC was notified of the claim, the BAM unit is to initiate a request as specified in the UCFE Handbook (No. 391) and examine the response from FCCC when it is received.

8. **UCX.** As mentioned above, procedures for securing UCX information has changed. UIPL 47-01 describes the key changes in procedures for the electronic exchange of wage and separation information for the UCFE/UCX programs. Key changes to UCX procedures include the following:

   - the Department of Labor’s copy of the DD Form 214, maintained at the FCCC, is now the official source of wage and separation information for use in establishing UCX entitlement and eligibility;
   
   - the FCCC will calculate the claimant’s UCX employment and wages and provide the information to SWAs; and
   
   - the state is authorized to determine UCX eligibility under an affidavit process, using the claimant’s copy four (4) of his/her DD Form 214, upon receipt of a notice from the FCCC that there is no DD Form 214 on file. This procedure will eliminate any potential delay in the determination of UCX eligibility pending receipt of the Department’s copy of the DD Form 214.
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 SWA sends an inquiry to the FCCC. The FCCC response to each inquiry enables the SWA to (1) validate the legitimacy of the DD-214 that 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 FCCC of any previous notice of claim filed.

BAM must compare the DD-214 to the response from the FCCC 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 FCCC 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 FCCC, and the Federal Schedule of Remuneration should be retained in the BAM case file. If the FCCC 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 SWA 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 that 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 SWA and the Department to maintain current databases. 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 SWA'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 SWA 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:

- to correct errors (detected by either the SWA 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 SWA or to update information. Therefore, it is important to minimize reopening 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 SWA
   - 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 SWA for the same periods of time required by the SWA 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

1. Introduction. The 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. In 2001, after extensive testing, the investigation of denied claims, known as Denied Claims Accuracy (DCA), was implemented. DCA measures the accuracy of disqualifying monetary, separation, and non-separation determinations for both intra-and interstate claims.

2. Overview of DCA. 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 SWA 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. Additional Requirements for Denied Claims Investigations. 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 that 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.

   Regardless of the method used, it is intended that states obtain the information needed to complete their cases. States must attempt to obtain the information required for investigations using any and all of the following methods: in-person, telephone, FAX or mail. States have the option of using any of these methods that it determines to be the most efficient and effective based on the circumstances of each case. States are to document all attempts made in procuring needed information in each case’s summary.

   b. Verification of Facts. 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 SWA and the Department to maintain current databases. 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.

8. **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:** provides specific instructions for each data element and lists the codes available for each data element

The following general instructions are applicable for data elements involving money:

- Entries must be in whole dollars, with the exception of hourly wages that require both dollars and cents.

- For those entries requiring whole dollars, SWAs that have formal policies regarding the rounding of dollars should follow those policies. Other SWAs should round to the nearest whole dollar, i.e., drop decimals of (4) or less; round up decimals of (5) or more.
CASE CONTROL AND CLAIMANT INFORMATION

(1) **NAME**: Batch Number  
**SHORT NAME**: batch

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

(2) **NAME**: Sequence Number  
**SHORT NAME**: seq

**Definition**: 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.

(3) **NAME**: Sample Type  
**SHORT NAME**: samptype

**Definition**: 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

(4) **NAME**: Social Security Number  
**SHORT NAME**: ssn

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

(5) **NAME**: Claim Date  
**SHORT NAME**: clmdate

**Definition**: Claim Date will always relate to the type of claim for which the denial was issued. This date is provided as output from the sample selection program.

If the issue investigated arises from a new initial, additional, transitional or reopened claim enter the month (MM), day (DD), and year (YYYY) of the effective date of the new initial, additional, transitional, or reopened claim.

Enter the month, day, and year of the week ending date in which the issue is detected if the issue investigated arises from a claimed week, or from a compensated week.
(6) **NAME:** Claim Type  
**SHORT NAME:** clmtype  

**Definition:** 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)

(7) **NAME:** State  
**SHORT NAME:** state  

**Definition:** Enter state Alpha identification code.

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

(8) **NAME:** Local Office  
**SHORT NAME:** locoff  

**Definition:** Enter the SWA local office code, itinerant point number, or code designating telephone or electronically filed claims through which the claim was filed.
(9) NAME: Investigator Identification  
SHORT NAME: invid

Definition: 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.

(10) NAME: Primary Method Claimant Information Obtained  
SHORT NAME: methinfoobt

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 or other method (including e-mail or fax)  
-1 = Information not available or missing  
-2 = Not applicable

(11) NAME: U.S. Citizen  
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  
-1 = Information not available or missing  
-2 = Not applicable

(12) NAME: Date of Birth  
SHORT NAME: dob

Definition: 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 missing or unknown, use “01/01/0001”. If claimant withdrew claim after denial was issued, enter “02/02/0002” for not applicable.
(13) **NAME:** Gender  
**SHORT NAME:** gender  
**Definition:** Enter appropriate code.  

1 = Male  
2 = Female  
-1 = Information not available or missing  
-2 = Not applicable

(14) **NAME:** Race / Ethnic Classification  
**SHORT NAME:** ethnic  
**Definition:** This is a two-position data element. Enter appropriate ethnic code in the first position, and appropriate race code in the second position.  

99 = If neither race nor Hispanic/Latino ethnicity is known  
-2 = Not applicable if claimant withdrew claim after denial was issued

<table>
<thead>
<tr>
<th>FIRST POSITION</th>
<th>SECOND POSITION</th>
<th>0 – Not Hispanic or Latino</th>
<th>1 – Hispanic or Latino</th>
<th>9 – Ethnicity Unknown</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – White</td>
<td>01</td>
<td>11</td>
<td>91</td>
<td></td>
</tr>
<tr>
<td>2 – Black or African American</td>
<td>02</td>
<td>12</td>
<td>92</td>
<td></td>
</tr>
<tr>
<td>3 – Asian</td>
<td>03</td>
<td>13</td>
<td>93</td>
<td></td>
</tr>
<tr>
<td>4 – American Indian or Alaska Native</td>
<td>04</td>
<td>14</td>
<td>94</td>
<td></td>
</tr>
<tr>
<td>5 – Native Hawaiian or Other Pacific Islander</td>
<td>05</td>
<td>15</td>
<td>95</td>
<td></td>
</tr>
<tr>
<td>6 – Multiple Categories Reported</td>
<td>06</td>
<td>16</td>
<td>96</td>
<td></td>
</tr>
<tr>
<td>9 – Race Unknown</td>
<td>09</td>
<td>19</td>
<td>99</td>
<td></td>
</tr>
</tbody>
</table>

(15) **NAME:** Education  
**SHORT NAME:** educ  
**Definition:** Enter highest level of academic education completed after appropriate verifications.  

0 = Never attended school  
1 through 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  
-2 = Not applicable
(16) NAME: Vocational or Technical School Training
SHORT NAME: voctech

Definition: 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

(17) NAME: Training Status
SHORT NAME: trainstat

Definition: Enter the applicable code, after verification, for the claimant’s training status during the 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
**NAME:** Occupation Code for Usual Job  
**SHORT NAME:** usualocc

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

-1 = Information not available or missing  
-2 = Information not applicable

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

**NAME:** Occupation Code (Seeking Work)  
**SHORT NAME:** seekocc

**Definition:** Enter the first three digits of the SOC / O*NET code (minor occupation group level) for type of work that claimant is seeking. (See **Element 18** for list)

-1 = Information not available or missing  
-2 = Information not applicable
(20) **NAME:** Normal Hourly Wage, Usual Job  
**SHORT NAME:** ushrwage

**Definition:** Enter normal hourly wage for the claimant’s primary occupation after appropriate verifications. This information is usually obtained from the agency’s LMI unit. Express in dollars and cents per hour (e.g., $4.50 per hour is codes as 4.50). 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.

-1 = Information not available or missing  
-2 = Information not applicable

(21) **NAME:** Lowest Acceptable Hourly Wage  
**SHORT NAME:** lohrwage

**Definition:** Enter lowest hourly wage that claimant was willing to accept. Express in dollars and cents per hour (e.g., $4.50 per hour is coded as 4.50). Use state conversion formula when other than hourly wages is 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.

-1 = Information not available or missing  
-2 = Information not applicable
BENEFIT YEAR INFORMATION

(22) NAME: Program Code
SHORT NAME: program

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

1 = UI  6 = UCFE-UCX
2 = UI-UCFE  7 = UCX
3 = UI-UCX  8 = (Reserved for temp. programs)
4 = UI-UCFE-UCX  9 = Deleted record (did not belong in sampling
5 = UCFE  frame)

(23) NAME: Combined Wage Claim
SHORT NAME: cwc

Definition: Enter the code that applied at the time the claim was denied.

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 determination was made.

(24) NAME: Benefit Year Beginning
SHORT NAME: byb

Definition: Enter effective date of most recent new or transitional (not reopened or additional) claim for denial or payment being investigated. Entry can be “02/02/0002”, Not applicable if claimant withdrew claim after denial was issued.
(25) **NAME:** Initial (New/Additional) Claim Filing Method  
**SHORT NAME:** icfilmeth  

**Definition:** 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 fax or electronic other than e-mail)  
6 = Internet Claim  
-1 = Information not available or missing  
-2 = Not Applicable

(26) **NAME:** Benefit Rights Given  
**SHORT NAME:** bri

**Definition:** 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.

<table>
<thead>
<tr>
<th></th>
<th>A = In-person Interview</th>
<th>B = Group Interview</th>
<th>C = Booklet / Pamphlet</th>
<th>D = Video/Electronic/Other Multimedia</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 – Not given</td>
<td>0 – Not given</td>
<td>0 – Not given</td>
<td>0 – Not given</td>
<td>0 – Not given</td>
</tr>
<tr>
<td>1 – In-person interview given</td>
<td>1 – In-person interview given</td>
<td>3 – Booklet / Pamphlet given</td>
<td>4 – Video/Electronic (including Internet/Other Multimedia given</td>
<td></td>
</tr>
</tbody>
</table>

-1 = Information not available or missing  
-2 = Not Applicable
(27) **NAME:** Industry Code of Primary Base Period Employer  
**SHORT NAME:** priempsic

**Definition:** Enter four-digit (industry group level) NAICS code for the claimant’s primary base period employer as identified for the Claim Date (element 5). If only a two-digit NAICS sector level is available on the SWA’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 or claimant withdrew claim after denial was issued.)

<table>
<thead>
<tr>
<th>Code</th>
<th>Industry Description</th>
<th>NAICS Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>11</td>
<td>Agriculture, Forestry, Fishing, Hunting</td>
<td>53</td>
<td>Real Estate, Rental and Leasing</td>
</tr>
<tr>
<td>21</td>
<td>Mining</td>
<td>54</td>
<td>Professional, Scientific, and Technical Services</td>
</tr>
<tr>
<td>22</td>
<td>Utilities</td>
<td>55</td>
<td>Management of Companies and Enterprises</td>
</tr>
<tr>
<td>23</td>
<td>Construction</td>
<td>56</td>
<td>Administrative Support, Waste Management and Remediation Services</td>
</tr>
<tr>
<td>31-33</td>
<td>Manufacturing</td>
<td>61</td>
<td>Education Services</td>
</tr>
<tr>
<td>42</td>
<td>Wholesale Trade</td>
<td>62</td>
<td>Health Care and Social Assistance</td>
</tr>
<tr>
<td>44-45</td>
<td>Retail Trade</td>
<td>71</td>
<td>Arts, Entertainment and Recreation</td>
</tr>
<tr>
<td>48-49</td>
<td>Transportation and Warehousing</td>
<td>72</td>
<td>Accommodation and Food Services</td>
</tr>
<tr>
<td>51</td>
<td>Information</td>
<td>81</td>
<td>Other Services (except Public Administration)</td>
</tr>
<tr>
<td>52</td>
<td>Finance and Insurance</td>
<td>92</td>
<td>Public Administration</td>
</tr>
</tbody>
</table>

(28) **NAME:** Industry Code of Last Employer  
**SHORT NAME:** lastempsic

**Definition:** Enter four-digit (industry group level) NAICS code (see chart in Element 27) for the claimant’s last employer as identified for the Claim Date (element 5). If only a two-digit NAICS sector level is available on the SWA’s computer system, enter the two digits followed by two zeros.

-1 = Information not available or missing  
-2 = Not Applicable
**NAME:** Method for Filing Week Claimed  
**SHORT NAME:** wkfilmeth

**Definition:** 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  
- 3 = Employer-filed Claim  
- 4 = Telephone Claim (including automated, interactive, telephone systems)  
- 5 = Other (including fax or electronic other than e-mail)  
- 6 = Internet Claim  
- -1 = Missing  
- -2 = Not Applicable

**NAME:** Original Amount Paid and/or Offset for Denial Period / Week  
**SHORT NAME:** origamtpd

**Definition:** 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.  

- -2 = Not Applicable

**NAME:** Number of Weeks Denied Before Investigation  
**SHORT NAME:** wksdenbef

**Definition:** 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.)  

- 99 = Indefinite disqualification  
- -2 = Not Applicable

**NAME:** Number of Weeks Denied After Investigation  
**SHORT NAME:** wksdenaft

**Definition:** Enter the number of weeks claimant should have been disqualified subsequent to investigation according to DCA findings (regardless of whether those weeks have been claimed.)  

- 99 = Indefinite disqualification  
- -2 = Not Applicable
(33) **NAME**: Weekly Benefit Amount (WBA) Before Investigation  
**SHORT NAME**: wbabef  
**Definition**: For monetary denials (sample type 2), enter claimant’s WBA, based on the original monetary determination at time of selection for investigation, expressed in whole dollars. Disregard dependents’ allowances, pension deductions, or earnings (if any). Do 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  
-2 = Not Applicable, if the claimant withdrew claim after denial issued  

(34) **NAME**: Weekly Benefit Amount (WBA) After Investigation  
**SHORT NAME**: wbaaft  
**Definition**: Enter claimant’s correct WBA based on the monetary determination that 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  
-2 = Not Applicable, if the claimant withdrew claim after denial issued  

(35) **NAME**: Maximum Benefit Amount (MBA) Before Investigation  
**SHORT NAME**: mbabef  
**Definition**: For monetary denials (sample type 2), enter claimant’s MBA based on the original monetary determination at time of selection for investigation, expressed in whole dollars. Do not use adjusted MBA based on monetary redetermination made because 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.  

For separation/non-separation determinations, enter the MBA based on the original monetary determination or the adjusted MBA based on a monetary redetermination made because of a non-monetary issue.  

0 = Ineligible  
-2 = Not Applicable, if the claimant withdrew claim after denial issued
(36)  **NAME:** MBA After Investigation  
**SHORT NAME:** mbaaft

**Definition:** Enter MBA based on the monetary determination that should have applied after the DCA investigation. Express in whole dollars. Disregard any adjustments to 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.

For separation/non-separation determinations, enter the MBA based on the original monetary determination or the adjusted MBA based on a monetary redetermination made because of a non-monetary issue.

- **0 = Ineligible**
- **-2 = Not Applicable, if the claimant withdrew claim after denial issued**
MONETARY INFORMATION

(42) **NAME:** Reason for Monetary Denial Before Investigation  
**SHORT NAME:** monstatbef

**Definition:** Enter the code that identifies the issue used to issue the monetary denial determination. Second digit is for optional state use.

**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, if claimant withdrew claim after denial was issued OR the Sample Type is Separation (3) or Nonseparation (4)

(43) **NAME:** Reason for Monetary Denial After Investigation  
**SHORT NAME:** monstataft

**Definition:** Enter the code that the DCA investigation establishes as the correct criterion for the monetary denial determination. Second digit is for optional state use.

**Series ID:**
00 = Sufficient wages/hours/weeks/days (claimant monetarily eligible)  
10 = Insufficient wages  
20 = Insufficient hours/weeks/days  
30 = Failure of high quarter wage test  
40 = Requalification wage requirement  
50 = Other  
-2 = Not Applicable, if claimant withdrew claim after denial was issued OR the Sample Type is Separation (3) or Nonseparation (4)

(44) **NAME:** Number of Base Period Employers Before Investigation  
**SHORT NAME:** bpempbef

**Definition:** Enter number of subject base period employers, before investigation, that were used in calculating WBA and MBA for the monetary determination under investigation, even if claimant is ineligible. Include seasonal, school, and out-of-state employers if they paid wages that were used in the monetary determination.

-2 = Not Applicable, if claimant withdrew claim after denial was issued OR the Sample Type is Separation (3) or Nonseparation (4)
(45) **NAME**: Number of Base Period Employers After Investigation  
**SHORT NAME**: bpempaft

**Definition**: 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 wages from 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, if claimant withdrew claim after denial was issued OR the Sample Type is Separation (3) or Nonseparation (4)

(46) **NAME**: Base Period Wages Before Investigation  
**SHORT NAME**: bpwbef

**Definition**: 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. Disregard any state reduction BP wages due to administrative penalty.

-2 = Not Applicable, if claimant withdrew claim after denial was issued OR the Sample Type is Separation (3) or Nonseparation (4)

(47) **NAME**: Base Period Wages After Investigation  
**SHORT NAME**: bpwaft

**Definition**: 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, if claimant withdrew claim after denial was issued OR the Sample Type is Separation (3) or Nonseparation (4)

(48) **NAME**: High Quarter Wages Before Investigation  
**SHORT NAME**: hqwbef

**Definition**: If available from SWA 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 $99,999.  
Enter -1 if information not available or missing  
Enter -2 if not applicable
(49) NAME: High Quarter Wages After Investigation  
SHORT NAME: hqwaft  

Definition: If available from SWA 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 $99,999.  
Enter -1 if information not available or missing  
Enter -2 if not applicable  

(50) NAME: Number of Weeks Worked in BP Before Investigation  
SHORT NAME: bpwksbef  

Definition: 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.  

0 = Earnings in week(s), but insufficient to establish a credited week of eligibility  
-2 = Weeks/hours of work are not required  

(51) NAME: Number of Weeks Worked in BP After Investigation  
SHORT NAME: bpwksaft  

Definition: Enter number of weeks claimant worked in base period after investigation. Complete this item if required by state law for eligibility.  

0 = Earnings in week(s), but insufficient to establish a credited week of eligibility  
-2 = Weeks/hours of work are not required  

(52) NAME: Number of Dependents Claimed Before Investigation  
SHORT NAME: depbef  

Definition: Enter the number of dependents claimed.  

0 = None and state has a dependency provision  
-2 = State does not have a dependency provision
(53) **NAME:** Number of Dependents Claimed After Investigation  
**SHORT NAME:** depaft  

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

- 0 = None and state has a dependency provision  
- -2 = State does not have a dependency provision

(54) **NAME:** Dependents’ Allowance Before Investigation  
**SHORT NAME:** allowbef  

**Definition:** 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 and state has a dependency provision  
- -2 = State does not have a dependency provision

(55) **NAME:** Dependents’ Allowance After Investigation  
**SHORT NAME:** allowaft  

**Definition:** 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 and state has a dependency provision  
- -2 = State does not have a dependency provision

(56) **NAME:** Monetary Redetermination  
**SHORT NAME:** monredet  

**Definition:** Enter appropriate code which indicates whether SWA redetermined claimant’s monetary eligibility prior to or during the 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 because 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
SEPARATION INFORMATION

(57) NAME: Separation Issue Number

Definition: Enter the code that identifies the specific separation denial selected for the sample if multiple denial determinations were issued for the same claim on the same date.

-2 = Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 4

(58) NAME: Reason for Separation Determination Before Investigation
SHORT NAME: sepbef

Definition: Enter the code that identifies the reason for claimant’s separation. The separation to be coded is that separation which is subject to the DCA investigation. The second digit of the code is reserved for SWA use to code more detailed issue information such as different types of Voluntary Quit or Discharge.

Series ID:
10 = Lack of Work (e.g., reduction in force, temporary lay off)
20 = Voluntary Quit
30 = Discharge
40 = Labor Dispute
50 = Military separation
60 = Not separated (partials)
-2 = Not Applicable

(59) NAME: Reason for Separation After Investigation
SHORT NAME: sepaft

Definition: Enter the code that the DCA investigation establishes as the correct reason that the claimant is separated. The second digit of the code is reserved for SWA use to code more detailed issue information such as different types of Voluntary Quit or Discharge.

Series ID:
00 = No Separation Issue
10 = Lack of Work (e.g., reduction in force, temporary lay off)
20 = Voluntary Quit
30 = Discharge
40 = Labor Dispute
50 = Military separation
60 = Not separated (partials)
-2 = Not Applicable (Sample Type equals 2 and 4 only)
(60) NAME: Date of Separation Before Investigation
SHORT NAME: sepfdatebef

Definition: Enter the date of separation from last employer for which code was assigned in “Reason for Separation Before Investigation”.

01/01/0001 = Information not available or missing
02/02/0002 = Not Applicable

(61) NAME: Date of Separation After Investigation
SHORT NAME: sepfdateaft

Definition: Enter the date of separation from last employer for which code was assigned in “Reason for Separation After Investigation”.

01/01/0001 = Information not available or missing
02/02/0002 = Not Applicable (Sample Type equals 2 and 4 only, or 59-Reason for Sep. After = “00” series, or 90-Action Flag is 8)
NONSEPARATION INFORMATION

(62) NAME: Nonseparation Issue Number

Definition: Enter the code that identifies the specific nonseparation denial selected for the sample if multiple denial determinations were issued for the same claim on the same date.

-2 = Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3

(63) NAME: Reason for Nonseparation Determination Before Investigation
SHORT NAME: nonsepbef

Definition: Enter the code that represents the reason for the nonseparation determination before the DCA investigation. The second digit is for optional SWA use to code more detailed information.

Series ID:
10 = Able Issue
20 = Available Issue
30 = Work Search Issue
40 = Disqualifying/unreported income Issue
50 = Refusal of Suitable Work Issue
60 = Reporting/registration Violation Issue
70 = Other Issue (e.g. alien, athlete, school, seasonality)
-2 = Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3

(64) NAME: Reason for Nonseparation Determination After Investigation
SHORT NAME: nonsepaft

Definition: Enter the code that the DCA investigation establishes as the correct nonseparation issue. The second digit is for optional SWA use to code more detailed information.

Series ID:
00 = No Nonseparation Issue
10 = Able Issue
20 = Available Issue
30 = Work Search Issue
40 = Disqualifying/unreported income Issue
50 = Refusal of Suitable Work Issue
60 = Reporting/registration Violation Issue
70 = Other Issue (e.g. alien, athlete, school, seasonality)
-2 = Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3
(65) **NAME:** Recall Status Before Investigation  
**SHORT NAME:** rclstatbef

**Definition:** Enter code that 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 = $Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3$

(66) **NAME:** Recall Status After Investigation  
**SHORT NAME:** rclstataft

**Definition:** 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 = $Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3$

(67) **NAME:** Total Earnings for Week(s) Before Investigation  
**SHORT NAME:** totearnbef

**Definition:** 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 $9,999 or more$
- $-2 = $Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3$
(68) **NAME**: Total Earnings for Week(s) After Investigation  
**SHORT NAME**: totearnaft  
**Definition**: Enter 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 $9,999 or more  
- -2 = Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3

(69) **NAME**: Earnings Deduction for Week(s) Before Investigation  
**SHORT NAME**: earndedbef  
**Definition**: Enter total amount deducted for all weeks affected by determination under investigation. Total deduction cannot 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, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3

(70) **NAME**: Earnings Deduction for Week(s) After Investigation  
**SHORT NAME**: earndedaft  
**Definition**: Enter the total amount deducted for all weeks affected by the determination under investigation. Total cannot exceed WBA times the number of weeks denied. 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, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3
(71) **NAME:** Total Other Deductible Income for Week(s) Before Investigation  
**SHORT NAME:** othdedincbef  

**Definition:** 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 SWA’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, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3

**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 $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.

(72) **NAME:** Total Other Deductible Income for Week(s) After Investigation  
**SHORT NAME:** othdedincaft  

**Definition:** 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 SWA’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. See example for Total Other Deductible Income for Week(s) Before Investigation (9).

0 = None  
-2 = Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3

(73) **NAME:** Other Income Deductions for Week(s) Before Investigation  
**SHORT NAME:** othdedsbef  

**Definition:** 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 cannot exceed WBA times the number of weeks denied.

0 = None  
-2 = Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3
(74) **NAME:** Other Income Deductions for Week(s) After Investigation  
**SHORT NAME:** othdedsaft  

**Definition:** Enter total amount in whole dollars deducted due to a pension, holiday pay, vacation pay, pay in lieu of notice, separation pay, etc. in all weeks affected by the determination under investigation. Total cannot exceed WBA times the number of weeks denied.

- **0** = None
- **-2** = Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3

(75) **NAME:** Work Search Requirements  
**SHORT NAME:** wsreq  

**Definition:** Enter the appropriate code that applied 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).

(76) **NAME:** Number of Job Contacts Listed  
**SHORT NAME:** jobcon  

**Definition:** 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 missing or not available
- **-2** = Not Applicable, if claimant not required to seek work and claimant did not seek work OR Sample Type equals 2 or 3
NAME: Number of Job Contacts Made Prior to the Denial Period but Used to Satisfy Work Search Requirements for the Denial Period
SHORT NAME: prjobcon

Definition: 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 missing or not available
-2 = Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3

NAME: Number of Work Search Contacts Investigated for Eligibility
SHORT NAME: wsconinv

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

0 = No contacts were investigated
-2 = Not Applicable, if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3

NAME: Number of Acceptable Work Search Contacts
SHORT NAME: wsconok

Definition: 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 if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3)

NAME: Number of Unacceptable Work Search Contacts
SHORT NAME: wsconnotok

Definition: Include only job contacts for which written documentation exists 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 if the claimant withdrew claim after denial issued OR Sample Type equals 2 or 3)
(81) **NAME:** Number of Work Search Contacts for the Denial Period that Could Not Be Verified as Either Acceptable or Unacceptable  
**SHORT NAME:** wsconunver  
**Definition:** Include the work search contacts for which there was insufficient information to make a judgment of their acceptability within the state's written law/policy on work search.  
-2 = Not Applicable (no WS Contacts investigated OR if claimant withdrew claim after denial issued OR Sample Type equals 2 or 3)

(82) **NAME:** Labor Exchange Registration Required  
**SHORT NAME:** leregreq  
**Definition:** Enter the appropriate code that applies according to law and policy. 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.  
1 = Yes, per state law  
2 = No  
3 = Yes, as a result of profiling  
4 = Yes, for both reasons  
-2 = Not Applicable

(83) **NAME:** Actively/Currently Registered with Labor Exchange as of Determination Under Investigation  
**SHORT NAME:** lereg  
**Definition:** Enter the appropriate code that applies to the denial period. State’s written law, policy, and procedures govern whether claimants are required to be registered with the Labor Exchange and what constitutes registration. DCA coding should be consistent with such law, policy, and procedures.  
1 = Registered with the Labor Exchange and has received one or more staff assisted services during the current benefit year  
2 = Not registered with Labor Exchange and has not used self-help services from the One Stop delivery system during the current benefit year  
3 = Not registered with Labor Exchange but has received staff assisted services or has used self-help services from the One Stop delivery system during the current benefit year  
4 = Registered with the Labor Exchange but has received no staff assisted services during the current benefit year  
-1 = Information not available or missing  
-2 = Not Applicable
(84) **NAME**: Reason Labor Exchange Registration Deferred  
**SHORT NAME**: leregdef  
**Definition**: 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

(85) **NAME**: Number of Labor Exchange Referrals  
**SHORT NAME**: lerefers  
**Definition**: Enter number of times Labor Exchange referred claimant for employment during current benefit year up to and including the period affected by the denial determination.  
0 = No referrals while registered in current benefit year  
-1 = Information missing or not available or missing  
-2 = Not Applicable (not registered during current benefit year OR claimant withdrew claim after denial issued OR Sample Type equals 2 or 3)

(86) **NAME**: Registered with Private Employment Agency  
**SHORT NAME**: privagreg  
**Definition**: Enter code that applied as of the denial period.  
1 = Yes  
2 = No  
-1 = Information missing or not available  
-2 = Not Applicable

(87) **NAME**: Number of Private Employment Agency Referrals  
**SHORT NAME**: privagref  
**Definition**: Enter the number of times the claimant was referred for employment by a Private Employment Agency during the Denial period. Do not include leasing agencies.  
0 = registered but not referred  
-1 = Information not available or missing  
-2 = Not Applicable
(88) **NAME:** Union Referral Status  
**SHORT NAME:** unrefstat  
**Definition:** Enter appropriate code that 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 is missing or not available  
-2 = Not Applicable

(89) **NAME:** Number of Union Referrals  
**SHORT NAME:** unref  
**Definition:** Enter number of times that a union with a hiring hall referred claimant for employment during the denial period. All such referrals should be verified.

Do not include referrals associated with a non-hiring-hall union.

-1 = Information is missing or not available  
-2 = Not Applicable
CASE ACTION AND ERROR ISSUE INFORMATION

The outcome of each case investigated is a set of data about that claim and classification as to whether or not the denial was proper. Each denial 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 denials 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.

This part provides specific instructions for recording the propriety of denials and for closing cases and classifying errors detected during the investigations.

(90) NAME: Action Code Flag
SHORT NAME: actflag

Definition: 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.

(91) NAME: Initial Determination Appealed
SHORT NAME: detapp

Definition: Enter the appropriate code as of the date the investigator completed the case.

0 = Denial not appealed
1 = Claimant appealed
2 = Employer appealed
3 = Other interested party appealed
-2 = Not applicable
(92) **NAME:** Results of Appeal of Initial Determination  
**SHORT NAME:** apprslt  
**Definition:** Enter the appropriate code denoting the results of the appeal of the initial determination that denied eligibility. Record status of the appeal as of the date the investigator completed 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 SWA  
-2 = Not applicable  

(93) **NAME:** Investigation Completed  
**SHORT NAME:** invcomp  
**Definition:** Enter code of ‘1’ when case investigation has been completed, i.e., after the investigator has finished all fieldwork, 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 filed of the computer record.  

(94) **NAME:** Date Investigator Completed Case  
**SHORT NAME:** invcompd  
**Definition:** Automatically filled upon entry of code ‘1’ in “Investigation Completed”.  

(95) **NAME:** Supervisory Review Completed  
**SHORT NAME:** suprevcomp  
**Definition:** 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 filed 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.  

(96) **NAME:** Date Supervisor Completed Case  
**SHORT NAME:** supcompd  
**Definition:** Automatically filled upon entry of code ‘0’ or ‘1’ in field “Supervisory Approval Completed”.  

(97) **NAME:** Supervisor Identification  
**SHORT NAME:** supvid  
**Definition:** The supervisor identification name is the name of the supervisor who completed the case investigation. The login name is obtained from the “/etc/passwd” system file.
CODING DCA ERROR ISSUES

When the denial is not a proper denial, code “9” is entered into DCA Element 90-Action Code Flag. When code 9 is entered the system retrieves a new screen (Error Issue Information screen) for data entry of issues. This interrupts completion of DCA Elements 91 through 97. The user will see a new screen into which individual issues or wrong denials are to be recorded. Please note that if Action Code Flag equals 0, 1, 2, 3, or 8, the Error Issue Information screen will not be displayed.

The Error Issue Information screen records the following information for each issue:

- (98) Dollar Amount of Error
- (99) Error Issue Action Code
- (100) Error Cause
- (101) Error Responsibility
- (102) Error Detection Point
- (103) Prior Agency Action
- (104) Prior Employer Action
- (105) DCA Action Appealed
- (106) Prior Claimant Action

SWAs may modify the last digits of the codes for five of these items to provide more detailed information for their use: Error Cause (100), Error Detection Point (102), Prior Agency Action (103), Prior Employer Action (104), and Prior Claimant Action (106). The last digit in each of these codes is zero. SWAs 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 are detailed below:

(98) **NAME:** Dollar Amount of Error  
**SHORT NAME:** totamt

**Definition:** Enter the 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, the amount of error equals the number of weeks erroneously denied times the claimant’s WBA that should have applied after the DCA investigation.

For determinations that resulted in an indefinite period of disqualification, the dollar amount of error can be coded zero (0). *OPTIONALLY*, the SWA can code the dollar amount of error estimated for the indefinite period affected by the erroneous denial.
NAME: Error Issue Action Code
SHORT NAME: action

Definition: The Error Issue Action Code identifies the type of error using numeric codes. The three (3) type 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 WBA, dependents’ allowance entitlement, MBA, or Remaining balance.

21 = DCA investigation determines denial determination was improper or payment was too small, although technically proper due to finality rules.

22 = DCA investigation determines denial determination was improper or payment was too small, although technically proper due to rules other than finality.

23 = DCA investigation determines denial determination was improper or payment was too small (supplemental check issued/offset applied) which was later officially reversed, revised, adjusted or modified, and BAM disagrees with the official action.

24 = DCA investigation determines that the denial determination was improper but no payment is due to the claimant. (Requires Error Cause code 710 or 720).

Note: This code is used to code DCA investigation findings that the claimant was improperly denied for the specific issue selected for the DCA sample, but the claimant is not entitled to UI benefits as of the date that the DCA case is closed by the supervisor due to either: 1) a separate official action(s) by the agency, or 2) the agency has issued a nonmonetary determination denying eligibility for UI benefits but no weeks have been claimed as of the date that the DCA case was completed.)
OVERPAYMENTS

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 = DCA investigation determines payment was too large, although payment is "technically" proper due to finality rules.

14 = DCA investigation 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.

15 = DCA investigation 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, KWDA entitlement, or RB decreased which was later "officially" reversed, revised, adjusted, or modified and DCA disagrees with the "official" action.

NAME: Error Cause

SHORT NAME: cause

Definition: 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 SWA 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 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 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 for the denial period.
(b) In the **Base Period**, errors in Reporting/Recording Earnings or Weeks, Days, or Hours of Work affecting the determination due to:

*Series ID*

200 = Earnings or weeks/days/hours of work incorrectly estimated/reported/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 reporting, recording of 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 = Reporting requirements / Failed to report

470 = Other causes related to eligibility issues.

480 = Claimant filed UI claim knowingly using the identity (name, social security number, address, employer or other information identifying a specific individual) of another person, without that person’s knowledge or permission, in order to obtain UI benefits
(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.

(g) **Other causes due to a claimant being properly denied**, but for wrong reason or section of law.

700 = Claimant properly denied, but the determination had a procedural/implementation error (e.g., denial based on wrong reason or section of law; applicable dates of the denial are incorrect). Code valid only for Error Issue Action code 30. [Default code is 700; codes 701-709 are reserved for state option use.]

**Note**: The definition of this code has been broadened to include any procedural or implementation error to reflect DCA findings that the claimant was properly denied, but an error was committed in the way that state law was applied or cited in the determination or how the determination was implemented.

710 = Denial issue subject to DCA investigation was decided improperly but claimant not entitled to benefits as of the date that the DCA investigation was completed due to other issues affecting the claim. (Code valid only for Error Issue Action code 24). [Default code is 710; codes 711-719 are reserved for state option use.]

**Note**: This code is used when the claimant is ineligible for UI benefits as of the date that the DCA case was completed due to a separate official agency action(s). BAM DCA should not make any determination of the propriety of the other actions that have resulted in the claimant’s ineligibility for UI benefits.

720 = Denial issue subject to DCA investigation was decided improperly but claimant not entitled to benefits as of the date the DCA investigation was completed because no week was claimed. (Code valid only for Sample Type 3 or 4 and Error Issue Action code 24.) [Default code is 720; codes 721-729 are reserved for state option use.]

**Note**: This code is used when the agency has issued a nonmonetary determination denying eligibility for UI benefits but no weeks have been claimed as of the date that the DCA case was completed.
NAME: Error responsibility
SHORT NAME: resp

Definition: 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.

<table>
<thead>
<tr>
<th>A = Claimant</th>
<th>B = Employer</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 – Not responsible</td>
<td>0 – Not responsible</td>
</tr>
<tr>
<td>1 – Responsible</td>
<td>2 – Responsible</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>C = Agency</th>
<th>D = Third Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 – Not responsible</td>
<td>0 – Not responsible</td>
</tr>
<tr>
<td>3 – Responsible</td>
<td>4 – Responsible</td>
</tr>
</tbody>
</table>

NAME: Error Detection Point
SHORT NAME: detectpt

Definition: For each error, enter the code that indicates the point where the error was first detected in the DCA investigation. The last digit of this code is reserved for SWA 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
60 = Labor Exchange/Employment Service records
70 = Verification with union
80 = Crossmatch of claimant SSN with State Directory of New Hires
90 = Crossmatch of claimant SSN with state wage record files
NAME: Prior Agency Action
SHORT NAME: agact

Definition: For each error a code is assigned which indicates any actions) taken by the SWA on the issue as of the date sample selected. Enter the appropriate code from below. The last digit of this code is reserved for SWA use in providing greater detail.

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

20 = SWA was in the process of resolving issue and took correct action before DCA investigation completed or SWA had correctly resolved issue prior to sample being selected.

30 = SWA identified issue prior to selection but took incorrect action.

40 = SWA 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 SWA thereby precluding ability to detect issue.

60 = State agency had detected payment error as a result of crossmatch of claimant SSN with State Directory of New Hires and had taken official action to establish overpayment for recovery (or issued supplemental check or increased claimant’s WBA, MBA, RB) before the BAM investigation was completed.

70 = State agency had detected payment error as a result of crossmatch of claimant SSN with state wage record files and had taken official action to establish overpayment for recovery (or issued supplemental check or increased claimant’s WBA, MBA, RB) before the BAM investigation was completed.

80 = Agency provided incorrect information or instructions to claimant, employer, or third party.

90 = Agency based determination on incorrect information provided by another state workforce agency.
NAME: Prior Employer Action  
SHORT NAME: empact  

**Definition:** For each error a code is assigned to indicate any actions taken by the employer affecting the issue as of the date sample was selected. Enter the appropriate code from below. The last digit of this code is reserved for SWA use to provide greater detail regarding employer action.

10 = Employer provided adequate information to SWA 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.

60 = Employer, as an interested party, was not requested by agency to provide information for determination.

70 = Not an employer related issue.
NAME: DCA Action Appealed
SHORT NAME: actapp

Definition: This field is used to indicate whether an appeal of the BAM DCA determination was made. The last digit of this code is reserved for SWA use to provide greater detail regarding the appeal.

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 = SWA appealed DCA determination.
70 = Not an appealable DCA determination.
80 = Crossmatch of claimant SSN with State Directory of New Hires.
90 = Crossmatch of claimant SSN with state wage record files.
NAME: Prior Claimant Action  
SHORT NAME: clmtact  

**Definition:** For each error a code is assigned to indicate any actions taken by the claimant affecting the issue as of the date sample was selected. Enter the appropriate code from below. The last digit of this code is reserved for SWA use to provide greater detail regarding claimant action.

10 = Claimant provided adequate and timely information to SWA for determination.

20 = Claimant provided adequate information to SWA after due date for determination.

30 = Claimant provided timely but inadequate information to SWA for determination.

40 = Claimant provided inadequate/incorrect information to SWA after due date for determination.

50 = Claimant did not respond to SWA request for information.

60 = SWA did not request the claimant to provide information.
APPENDIX A

BAM/QC REGULATION
PART 602—QUALITY CONTROL IN THE FEDERAL-STATE UNEMPLOYMENT INSURANCE SYSTEM

Subpart A—General Provisions

Sec.
602.1 Purpose.
602.2 Scope.

Subpart B—Federal Requirements

602.10 Federal law requirements.
602.11 Secretary’s interpretation.

Subpart C—State Responsibilities

602.20 Organization.
602.21 Standard methods and procedures.
602.22 Exceptions.

Subpart D—Federal Responsibilities

602.30 Management.
602.31 Oversight.

Subpart E—Quality Control Grants to States

602.40 Funding.
602.41 Proper expenditure of Quality Control granted funds.
602.42 Effect of failure to implement Quality Control program.
602.43 No incentives or sanctions based on specific error rates.

APPENDIX A TO PART 602—STANDARD FOR CLAIM DETERMINATIONS—SEPARATION INFORMATION

AUTHORITY: 42 U.S.C. 1302.
SOURCE: 52 FR 33528, Sept. 3, 1987, unless otherwise noted.

Subpart A—General Provisions

§ 602.1 Purpose.
The purpose of this part is to prescribe a Quality Control (QC) program for the Federal-State unemployment insurance (UI) system, which is applicable to the State UI programs and the Federal unemployment benefit and allowance programs administered by the State Employment Security Agencies (SESA) under agreements between the States and the Secretary (Secretary). QC will be a major tool to assess the timeliness and accuracy of State administration of the UI program. It is designed to identify errors in claims processes and revenue collections (including payments in lieu of contributions and Extended Unemployment Compensation Account collections), analyze causes, and support the initiation of corrective action.

§ 602.2 Scope.
This part applies to all State laws approved by the Secretary under the Federal Unemployment Tax Act (section 3304 of the Internal Revenue Code of 1954, 26 U.S.C. section 3304), to the administration of the State laws, and to any Federal unemployment benefit and allowance program administered by the SESAs under agreements between the States and the Secretary. QC is a requirement for all States, initially being applicable to the largest permanently authorized programs (regular UI including Combined-Wage-Claims) and federally-funded programs (Unemployment Compensation for Ex-Servicemen and Unemployment Compensation for Federal Employees). Other elements of the QC program (e.g., interstate, extended benefit programs, benefit denials, and revenue collections) will be phased in under a schedule determined by the Department in consultation with State agencies.

§ 602.10 Federal law requirements.
(a) Section 303(a)(1) of the Social Security Act (SSA), 42 U.S.C. 503(a)(1), requires that a State law include provision for:

Such methods of administration . . . as are found by the Secretary of Labor to be reasonably calculated to insure full payment of unemployment compensation when due.

(b) Section 303(a)(6), SSA, 42 U.S.C. 505(a)(6), requires that a State law include provision for:

The making of such reports, in such form and containing such information, as the Secretary of Labor may from time to time require, and compliance with such provisions as the Secretary of Labor may from time to time find necessary to assure the correctness and verification of such reports.

(c) Section 303(b), SSA, 42 U.S.C. 503(b), provides in part that:

Whenever the Secretary of Labor, after reasonable notice and opportunity for hearing to the State agency charged with the administration of the State law, finds that in the administration of the law there is—

* * * * *

(2) a failure to comply substantially with any provision specified in subsection (a); the Secretary of Labor shall notify such State agency that further payments will not be made to the State until the Secretary of Labor is satisfied that there is no longer any such denial or failure to comply. Until he is so satisfied, he shall make no further certification to the Secretary of the Treasury with respect to such State . . . .

(d) Certification of payment of granted funds to a State is withheld only when the Secretary finds, after reasonable notice and opportunity for hearing to the State agency—

(1) That any provision required by section 303(a) of the Social Security Act is no longer included in the State unemployment compensation law, or (2) That in the administration of the State unemployment compensation law there has been a failure to comply substantially with any required provision of such law.
§ 602.11 Secretary's interpretation.
(a) The Secretary interprets section 303(a)(1), SSA, to require that a State law provide for such methods of administration as will reasonably ensure the prompt and full payment of unemployment benefits to eligible claimants, and collection and handling of income for the State unemployment fund (particularly taxes and reimbursements), with the greatest accuracy feasible.
(b) The Secretary interprets sections 303(a)(1) and 303(a)(6), SSA, to authorize the Department of Labor to prescribe standard definitions, methods and procedures, and reporting requirements for the QC program and to ensure accuracy and verification of QC findings.
(c) The Secretary interprets section 303(b)(2), SSA to require that, in the administration of a State law, there shall be substantial compliance with the provisions required by sections 303(a) (1) and (6). Further, conformity of the State law with those requirements is required by section 303(a) and § 601.5(a) of this chapter.
(d) To satisfy the requirements of sections 303(a) (1) and (6), a State law must contain a provision requiring, or which is construed to require, the establishment and maintenance of a QC program in accordance with the requirements of this part. The establishment and maintenance of such a QC program in accordance with this part shall not require any change in State law concerning authority to undertake redeterminations of claims or liabilities or the finality of any determination, redetermination or decision.

Subpart C—State Responsibilities

§ 602.20 Organization.
Each State shall establish a QC unit independent of, and not accountable to, any unit performing functions subject to evaluation by the QC unit. The organizational location of this unit shall be positioned to maximize its objectivity, to facilitate its access to information necessary to carry out its responsibilities, and to minimize organizational conflict of interest.

§ 602.21 Standard methods and procedures.
Each State shall:
(a) Perform the requirements of this section in accordance with instructions issued by the Department, pursuant to § 602.30(a) of this part, to ensure standardization of methods and procedures in a manner consistent with this part;
(b) Select representative samples for QC study of at least a minimum size specified by the Department to ensure statistical validity (for benefit payments, a minimum of 400 cases of weeks paid per State per year);
(c) Complete prompt and in-depth case investigations to determine the degree of accuracy and timeliness in the administration of the State UI law and Federal programs with respect to benefit determinations, benefit payments, and revenue collections; and conduct other measurements and studies necessary or appropriate for carrying out the purposes of this part; and in conducting investigations each State shall:

(1) Inform claimants in writing that the information obtained from a QC investigation may affect their eligibility for benefits and inform employers in writing that the information obtained from a QC investigation of revenue may affect their tax liability,
(2) Use a questionnaire, prescribed by the Department, which is designed to obtain such data as the Department deems necessary for the operation of the QC program; require completion of the questionnaire by claimants in accordance with the eligibility and reporting authority under State law,
(3) Collect data identified by the Department as necessary for the operation of the QC program; however, the collection of demographic data will be limited to those data which relate to an individual’s eligibility for UI benefits and necessary to conduct proportions tests to validate the selection of representative samples (the demographic data elements necessary to conduct proportions tests are claimants’ date of birth, sex, and ethnic classification); and
(4) Conclude all findings of inaccuracy as detected through QC investigations with appropriate official actions, in accordance with the applicable State and Federal laws; make any determinations with respect to individual benefit claims in accordance with the Secretary’s “Standard for Claim Determinations —Separation Information” in the Employment Security Manual, part V, sections 6010–6015 (appendix A of this part);
(d) Classify benefit case findings resulting from QC investigations as:
(1) Proper payments, underpayments, or overpayments in benefit payment cases, or
(2) Proper denials or underpayments in benefit denial cases;
(e) Make and maintain records pertaining to the QC program, and make all such records available in a timely manner for inspection, examination, and audit by such Federal officials as the Secretary may designate or as may be required or authorized by law;
(f) Furnish information and reports to the Department, including weekly transmissions of case data entered into the automated QC system and annual reports, without, in any manner, identifying individuals to whom such data pertain; and
(g) Release the results of the QC program at the same time each year, providing calendar year results using a standardized format to present the data as prescribed by the Department; States will have the opportunity to release this information prior to any release by the Department.

(Approved by the Office of Management and Budget under Control Number 1205–0245)

§ 602.22 Exceptions.
If the Department determines that the QC program, or any constituent part of the QC program, is not necessary for the proper and efficient administration of a State law or in the Department’s view is not cost effective, the Department shall use established procedures to advise the State that it is partially or totally excepted from the specified requirements of this part. Any determination under this section shall be made only after consultations with the State agency.
Subpart D—Federal Responsibilities

§ 602.30 Management.

(a) The Department shall establish required methods and procedures (as specified in § 602.21 of this part); and provide technical assistance as needed on the QC process.

(b) The Department shall consider and explore alternatives to the prescribed sampling, study, recordkeeping, and reporting methodologies. This shall include, but not be limited to, testing the obtaining of information needed for QC by telephone and mail rather than in face-to-face interviews.

(c) The Department shall maintain a computerized data base of QC case data which is transmitted to the Department under § 602.21, which will be combined with other data for statistical and other analysis such as assessing the impact of economic cycles, funding levels, and workload levels on program accuracy and timeliness.

§ 602.31 Oversight.

The Department shall review QC operational procedures and samples, and validate QC methodology to ensure uniformity in the administration of the QC program and to ensure compliance with the requirements of this part. The Department shall, for purposes of determining eligibility for grants described in § 602.40, annually review the adequacy of the administration of a State’s QC program.

Subpart E—Quality Control Grants to States

§ 602.40 Funding.

(a) The Department shall use established procedures to notify States of the availability of funds for the operation of QC programs in accordance with this part.

(b) The Department may allocate additional resources, if available, to States for analysis of data generated by the QC program, to increase the number of claims sampled in areas where more information is needed, for pilot studies for the purpose of expanding the QC program, and for corrective action.

§ 602.41 Proper expenditure of Quality Control granted funds.

The Secretary may, after reasonable notice and opportunity for hearing to the State agency, take exception to and require repayment of an expenditure for the operation of a QC program if it is found by the Secretary that such expenditure is not necessary for the proper and efficient administration of the QC program in the State. See sections 303(a)(8), 303(a)(9) and 303(b)(2), SSA, and 20 CFR 601.5. For purposes of this section, an expenditure will be found not necessary for proper and efficient administration if such expenditure fails to comply with the requirements of subpart C of this part.


§ 602.42 Effect of failure to implement Quality Control program

Any State which the Secretary finds, after reasonable notice and opportunity for hearing, has not implemented or maintained a QC program in accordance with this part will not be eligible for any grants under title III of the Social Security Act until such time as the Secretary is satisfied that there is no longer any failure to conform or to comply substantially with any provision specified in this part. See sections 303(a)(1), 303(a)(6), and 303(b)(2), SSA, and 20 CFR 601.5.

§ 602.43 No incentives or sanctions based on specific error rates.

Neither sanctions nor funding incentives shall be used by the Department to influence the achievement of specified error rates in State UI programs.

APPENDIX A TO PART 602—STANDARD FOR CLAIM DETERMINATIONS—SEPARATION INFORMATION


6010 Federal Law Requirements. Section 303(a)(1) of the Social Security Act requires that a State law include provision for:

"Such methods of administration . . . as are found by the Secretary to be reasonably calculated to insure full payment of unemployment compensation when due."

Section 303(a)(3) of the Social Security Act requires that a State law include provision for:

"Opportunity for a fair hearing before an impartial tribunal, for all individuals whose claims for unemployment compensation are denied."

Section 3304(a)(4) of the Federal Unemployment Tax Act and section 303(a)(5) of the Social Security Act require that a State law include provision for:

"Expenditure of all money withdrawn from an unemployment fund of such State, in the payment of unemployment compensation. . . ."

Section 3306(h) of the Federal Unemployment Tax Act defines "compensation" as "cash benefits payable to individuals with respect to their unemployment."

6011 Secretary’s Interpretation of Federal Law Requirements. The Secretary interprets the above sections to require that a State law include provisions which will insure that:

A. Individuals who may be entitled to unemployment compensation are furnished such information as will reasonably afford them an opportunity to know, establish, and protect their rights under the unemployment compensation law of such State, and

B. The State agency obtains and records in time for the prompt determination and review of benefit claims such information as will reasonably insure the payment of benefits to individuals to whom benefits are due.

6012 Criteria for Review of State Law Conformity with Federal Requirements:

In determining the conformity of a State law with the above requirements of the Federal Unemployment Tax Act and the Social Security Act as interpreted by the Secretary, the following criteria will be applied:

A. Is it required that individuals who may be entitled to unemployment compensation be furnished such information of their potential rights to benefits, including the manner and places of filing claims, the reasons for determinations, and their rights of appeal, as will insure them a reasonable opportunity to know, establish, and protect their rights under the law of the State?

B. Is the State agency required to obtain, in time for prompt determination of rights to benefits such information as will reasonably insure the payment of benefits to individuals to whom benefits are due?

C. Is the State agency required to keep records of the facts considered in reaching determinations of rights to benefits?

6013 Claim Determinations Requirements Designed To Meet Department of Labor Criteria:

A. Investigation of claims. The State agency is required to obtain promptly and prior to a determination of an individual’s right to benefits, such facts pertaining thereto as will be sufficient reasonably to insure the payment of benefits when due. This requirement embraces five separate elements:

1. It is the responsibility of the agency to take the initiative in the discovery of information. This responsibility may not be passed on to the claimant or the employer. In addition to the agency’s own records,

2. the information may be obtained from the worker, the employer, or other sources. If the information obtained in the first instance discloses no essential disagreement and provides a sufficient basis for a fair
determination, no further investigation is necessary. If the information obtained from other sources differs essentially from that furnished by the claimant or the agency, in order to meet its responsibility, is required to inform the claimant of such information from other sources and to afford the claimant an opportunity to furnish any further facts he may have.

2. Evidentiary facts must be obtained as distinguished from ultimate facts or conclusions. That a worker was discharged for misconduct is an ultimate fact or conclusion; that he destroyed a machine upon which he was working is a primary or evidentiary fact, and the sort of fact that the requirement refers to.

3. The information obtained must be sufficient reasonably to insure the payment of benefits when due. In general, the investigation made by the agency must be complete enough to provide information upon which the agency may act with reasonable assurance that its decision is consistent with the unemployment compensation law. On the other hand, the investigation should not be so exhaustive and time-consuming as unduly to delay the payment of benefits and to result in excessive costs.

4. Information must be obtained promptly so that the payment of benefits is not unduly delayed.

5. If the State agency requires any particular evidence from the worker, it must give him a reasonable opportunity to obtain such evidence.

B. Recording of facts. The agency must keep a written record of the facts considered in reaching its determinations.

C. Determination notices.

1. The agency must give each claimant a written notice of:
   a. Any monetary determination with respect to his benefit year;
   b. Any determination with respect to purging a disqualification if, under the State law, a condition or qualification must be satisfied with respect to each week of disqualification; but in lieu of giving written notice of each determination for each week in which it is determined that the claimant has met the requirements for purging, the agency may inform the claimant that he has purged the disqualification for a week by notation of his applicant identification card or otherwise in writing.
   c. Any other determination which adversely affects his rights to benefits, except that written notice of determination need not be given with respect to:
      (1) A week in a benefit year for which the claimant’s weekly benefit amount is reduced in whole or in part by earnings, if the first time in the benefit year that there is such a reduction, he is required to be furnished a booklet or leaflet containing the information set forth below in paragraph 2f(1). However, a written notice of determination is required if: (a) there is a dispute concerning the reduction with respect to any week (e.g., as to the amount computed as the appropriate reduction, etc.); or (b) there is a change in the State law (or in the application thereof) affecting the reduction; or
      (2) Any week in a benefit year subsequent to the first week in which benefits were denied, or reduced in whole or in part for reasons other than earnings, if denial or reduction for such subsequent week is based on the same reason and the same facts as for the first week, and if written notice of determination is required to be given to the claimant with respect to such first week, and with such notice of determination, he is required to be given a booklet or pamphlet containing the information set forth below in paragraphs 2f(2) and 2h. However, a written notice of determination is required if: (a) there is a dispute concerning the denial or reduction of benefits with respect to such week; or (b) there is a change in the State law (or in the application thereof) affecting the denial or reduction; or (c) there is a change in the amount of the reduction except as to the balance covered by the last reduction in a series of reductions.

NOTE: This procedure may be applied to determinations made with respect to any subsequent weeks for the same reason and on the basis of the same facts: (a) that claimant is unable to work, unavailable for work, or is disqualified under the labor dispute provision; and (b) reducing claimant’s weekly benefit amount because of income other than earnings or offset by reason of overpayment.

2. The agency must include in written notices of determinations furnished to claimants sufficient information to enable them to understand the determinations, the reasons therefor, and their rights to protest, request reconsideration, or appeal.

The written notice of monetary determination must contain the information specified in the following items (except h) unless an item is specifically not applicable. A written notice of any other determination must contain the information specified in as many of the following items as are necessary to enable the claimant to understand the determination and to inform him of his appeal rights. Information specifically applicable to the individual claimant must be contained in the written notice of determination. Information of general application such as (but not limited to) the explanation of benefits for partial unemployment, information as to deductions, seasonality factors, and information as to the manner and place of taking an appeal, extension of the appeal period, and where to obtain information and assistance may be contained in a booklet or leaflet which is given the claimant with his monetary determination.

a. Base period wages. The statement concerning base-period wages must be in sufficient detail to show the basis of computation for eligibility and weekly and maximum benefit amounts. (If maximum benefits are allowed, it may not be necessary to show details of earnings.)

b. Employer name. The name of the employer who reported the wages is necessary so that the worker may check the wage transcript and know whether it is correct. If the worker is given only the employer number, he may not be able to check the accuracy of the wage transcript.

c. Explanation of benefit formula—weekly and maximum benefit amounts. Sufficient information must be given to the worker so that he will understand how his weekly benefit amount, including allowances for dependents, and his maximum benefit amount were figured. If benefits are computed by means of a table contained in the law, the table must be furnished with the notice of determination whether benefits are granted or denied. The written notice of determination must show clearly the weekly benefit amount and the maximum potential benefits to which the claimant is entitled. The notice to a claimant found ineligible by reason of insufficient earnings in the base period must inform him clearly of the reason for ineligibility. An explanation of the benefit formula contained in a booklet or pamphlet should be given to each claimant at or prior to the time he receives written notice of a monetary determination.

d. Benefit year. An explanation of what is meant by the benefit year and identification of the claimant’s benefit year must be included in the notice of determination.

e. Information as to benefits for partial unemployment. There must be included either in the written notice of determination or in a booklet or pamphlet accompanying the notice an explanation of the claimant’s rights to partial benefits for any week with respect to which he was working less than his normal customary full-time workweek because of lack of work and for which he earns less than his weekly benefit amount or weekly benefit amount plus earnings, whichever is provided by the State law. If the explanation is contained in the notice of determination, reference to the item in the notice in which his weekly benefit amount is entered should be made.

f. Deductions from weekly benefits. (1) Earnings. Although written notice of determinations deducting earnings from a claimant’s weekly benefit amount is generally not required (see paragraph 1c(1) above), where written notice of determination is required (or given) it shall set forth the amount of earnings, the method of computing the deduction in sufficient detail to
enable the claimant to verify the accuracy of the deduction, and his right to protest, request redetermination, and appeal. Where a written notice of determination is given to the claimant, the explanation of the change shall be included. Where claimant is not required to receive a written notice of determination, he must be given a booklet or pamphlet the first time in his benefit year that there is a deduction for earnings which shall include the following information:

(a) The method of computing deductions for earnings in sufficient detail to enable him to verify the accuracy of the deduction;

(b) That he will not automatically be given a written notice of determination for a week with respect to which there is a deduction for earnings (unless there is a dispute concerning the reduction with respect to a week or there has been a change in the State law or in the application of the law affecting the deduction) but that he may obtain such a written notice upon request; and

(c) A clear explanation of each kind of deduction from his weekly benefit amount even though he does not automatically receive a written notice of determination; and if the State law requires written notice of determination in order to effectuate a protest, redetermination, or appeal, he must be so advised and advised also that he must request a written notice of determination before he takes any such action.

(2) Other deductions.

(a) A written notice of determination is required with respect to the first week in claimant’s benefit year in which there is a reduction from his benefits for a reason other than earnings. This notice must describe the deduction made from claimant’s weekly benefit amount, the reason for the deduction, the method of computing it in sufficient detail to enable him to verify the accuracy of such deduction, and his right to protest, request redetermination, or appeal.

(b) A written notice of determination is not required for subsequent weeks that a deduction is made for the same reason and on the basis of the same facts, if the notice of determination pursuant to (2)(a), or a booklet or pamphlet given with such notice explains (i) the several kinds of deductions which may be made under the State law (e.g., retirement pensions, vacation pay, and overpayments); (ii) the method of computing each kind of deduction in sufficient detail that claimant will be able to verify the accuracy of deductions made from his weekly benefit payments; (iii) any limitation on the amount of any deduction or the time in which any deduction may be made; (iv) that he will not automatically be given a written notice of determination for subsequent weeks with respect to which there is a deduction for the same reason and on the basis of the same facts, but that he may obtain a written notice of determination upon request; (v) his right to protest, request redetermination, or appeal with respect to subsequent weeks for which there is a reduction from his benefits for the same reason, and on the basis of the same facts even though he does not automatically receive a written notice of determination; and (vi) that if the State law requires written notice of determination in order to effectuate a protest, redetermination, or appeal, he must be so advised and advised also that he must request a written notice of determination before he takes any such action.

6014 Separation Information Requirements Designed To Meet Department of Labor Criteria:

A. Information to agency. Where workers are separated, employers are required to furnish the agency promptly, either upon agency request or upon such separation, a notice describing the reasons for and the circumstances of the separation and any additional information which might affect a claimant’s eligibility for benefits. When workers are working less than full time, employers are required to furnish the agency promptly, upon agency request, information concerning a claimant’s hours of work and his wages during the claim periods involved, and other facts which might affect a claimant’s eligibility for benefits during such periods. When workers are separated and the notices are obtained on a request basis, or when workers are working less than full time and the agency requests information, it is essential to the prompt processing of claims that the request be sent out promptly after the claim is filed and the employer be given a specific period within which to return the notice, preferably within 2 working days. When workers are separated and notices are obtained upon separation, it is essential that the employer be required to send the notice to the agency with sufficient promptness to ensure that, if a claim is filed, it may be processed promptly. Normally, it is desirable that such a notice be sent to the central office of the agency, since the employer may not know in which local office the workers will file his claim. The usual procedure is for the employer to give the worker a copy of the notice sent by the employer to the agency.

B. Information to worker.

1. Information required to be given. Employers are required to give their employees information and instructions concerning the employees’ potential rights to benefits and concerning registration for work and filing claims for benefits. The information furnished to employees under such a requirement need not be elaborate; it need only be adequate to insure that the worker who is separated or who is working less than full time knows he is potentially eligible for benefits and is informed as to what he is to do or where he is to go to file his
claim and register for work. When he files his claim, he can obtain more detailed information.

In States that do not require employers to furnish periodically to the State agency detailed reports of the wages paid to their employees, each employer is required to furnish to his employees information as to (a) the name under which he is registered by the State agency, (b) the address where he maintains his payroll records, and (c) the workers’ need for this information if and when they file claims for benefits.

2. Methods for giving information. The information and instructions required above may be given in any of the following ways:
   a. Posters prominently displayed in the employer’s establishment. The State agency should supply employers with a sufficient number of posters for distribution throughout their places of business and should see that the posters are conspicuously displayed at all times.
   b. Leaflets. Leaflets distributed either periodically or at the time of separation or reduction of hours. The State agency should supply employers with a sufficient number of leaflets.
   c. Individual notices. Individual notices given to each employee at the time of separation or reduction in hours. It is recommended that the State agency’s publicity program be used to supplement the employer-information requirements. Such a program should stress the availability and location of claim-filing offices and the importance of visiting those offices whenever the worker is unemployed, wishes to apply for benefits, and to seek a job.

6015 Evaluation of Alternative State Provisions with Respect to Claim Determinations and Separation Information. If the State law provisions do not conform to the suggested requirements set forth in sections 6013 and 6014, but the State law contains alternative provisions, the Bureau of Employment Security, in collaboration with the State agency, will study the actual or anticipated effects of the alternative provisions. If the Administrator of the Bureau concludes that the alternative provisions satisfy the criteria in section 6012, he will so notify the State agency. If the Administrator of the Bureau does not so conclude, he will submit the matter to the Secretary. If the Secretary concludes that the alternative provisions satisfy the criteria in section 6012, the State agency will be so notified. If the Secretary concludes that there is a question as to whether the alternative provisions satisfy the criteria, the State agency will be advised that unless the State law provisions are appropriately revised, a notice of hearing will be issued as required by the Code of Federal Regulations, title 20, section 601.5.

PART 603—INCOME AND ELIGIBILITY VERIFICATION SYSTEM

Sec.
603.1 Purpose.

Subpart A—Income and Eligibility Verification System

603.2 Definitions.

603.3 Eligibility condition for claimants.

603.4 Notification to claimants.

603.5 Disclosure of information.

603.6 Agreement between State unemployment compensation agency and requesting agency.

603.7 Protection of confidentiality.

603.8 Obtaining information from other agencies and crossmatching with wage information.

603.9 Effective date of rule.

Subpart B—Quarterly Wage Reporting

603.20 Effective date of rule.

603.21 Alternative system.


SOURCE: 51 FR 7207, Feb. 28, 1986, unless otherwise noted.

§ 603.1 Purpose.

(a) Section 2651 of Public Law 98–369 (the Deficit Reduction Act of 1984) amended title XI of the Social Security Act to include a requirement that States have an income and eligibility verification system in effect which would be used in verifying eligibility for, and the amount of, benefits available under several Federally assisted programs including the Federal-State unemployment compensation program. The Act requires that employers in each State make quarterly wage reports to a State agency, which may be the State unemployment compensation agency, and that wage information and benefit information obtained from other agencies be used in verifying eligibility for benefits. The requirement of quarterly wage reporting may be waived if the Secretary of Labor (in consultation with the Secretary of Health and Human Services and the Secretary of Agriculture) determines the State has in effect an alternative system which is as effective and timely as quarterly wage reporting for the purposes of providing employment related income and eligibility data.

(b) Section 2651(d) of Public Law 98–396 added a new section 303(f) of the Social Security Act (42 U.S.C. 503(f)), to provide that the agency charged with the administration of the State unemployment compensation law shall provide that information shall be requested and exchanged for purposes of income and eligibility verification in accordance with a State system which meets the requirements of section 1137 of the Social Security Act, as added by Public Law 98–369. The regulations in this part are issued to implement this requirement.

Subpart A—Income and Eligibility Verification System

§ 603.2 Definitions.

For the purposes of this part:

(a) State unemployment compensation agency means the agency charged with the administration of the unemployment compensation law approved by the Secretary of Labor under section 3304 of the Internal Revenue Code of 1954 (26 U.S.C. 3304).

(b) Wage information means information about wages as defined in the State’s unemployment compensation law and includes the Social Security Number (or numbers, if more than one) and quarterly wages of an employee, and the name, address, State, and (when known) Federal employer identification number of an employer reporting wages under a State unemployment compensation law, except that in a State in which wages are not required
APPENDIX B

• BAM Paid Claims Claimant Questionnaire

• Denials Monetary Claimant Questionnaire

• Denials Separations Claimant Questionnaire

• Denials Nonseparations Claimant Questionnaire
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Name (First, Middle, Last)</td>
<td></td>
</tr>
<tr>
<td>If you are also known by another name, enter it here:</td>
<td></td>
</tr>
<tr>
<td>2. Social Security Number</td>
<td></td>
</tr>
<tr>
<td>3. Street Address</td>
<td></td>
</tr>
<tr>
<td>Apt Number</td>
<td></td>
</tr>
<tr>
<td>4. City, State, ZIP:</td>
<td></td>
</tr>
<tr>
<td>5. Mailing Address (if different)</td>
<td></td>
</tr>
<tr>
<td>6. If you have moved since you first filed for unemployment benefits on</td>
<td></td>
</tr>
<tr>
<td>enter your address when you first filed:</td>
<td></td>
</tr>
<tr>
<td>7. Telephone Number (include area code)</td>
<td></td>
</tr>
<tr>
<td>8. Date of Birth (MO-DAY-YEAR)</td>
<td></td>
</tr>
<tr>
<td>9. Gender:</td>
<td>Male</td>
</tr>
<tr>
<td></td>
<td>Female</td>
</tr>
<tr>
<td>10. Ethnic Group - Indicate by selecting one of the following:</td>
<td>Not Hispanic or Latino</td>
</tr>
<tr>
<td></td>
<td>Hispanic or Latino</td>
</tr>
<tr>
<td></td>
<td>Unknown</td>
</tr>
<tr>
<td>11. Race - Indicate by selecting one or more of the following:</td>
<td></td>
</tr>
<tr>
<td>White</td>
<td>Unknown</td>
</tr>
<tr>
<td>Black or African-American</td>
<td></td>
</tr>
<tr>
<td>Asian</td>
<td></td>
</tr>
<tr>
<td>American Indian or Alaska Native</td>
<td></td>
</tr>
<tr>
<td>Native Hawaiian or other Pacific Islander</td>
<td></td>
</tr>
<tr>
<td>12. US Citizen?</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>No</td>
</tr>
<tr>
<td>If No, Alien Registration #</td>
<td></td>
</tr>
<tr>
<td>13. Highest level of education completed (circle one):</td>
<td></td>
</tr>
<tr>
<td>Grade School - 0 1 2 3 4 5 6 7 8</td>
<td></td>
</tr>
<tr>
<td>High School - 9 10 11 12</td>
<td></td>
</tr>
<tr>
<td>Some College</td>
<td></td>
</tr>
<tr>
<td>Associate Degree</td>
<td></td>
</tr>
<tr>
<td>BA/BS</td>
<td></td>
</tr>
<tr>
<td>Graduate School</td>
<td></td>
</tr>
<tr>
<td>Major Field of Study:</td>
<td></td>
</tr>
<tr>
<td>14. Have you had vocational or technical school training?</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Type of certificate:</td>
<td></td>
</tr>
<tr>
<td>15. Circle the days of the week you usually work.</td>
<td></td>
</tr>
<tr>
<td>SUN  MON TUES WED THURS FRI SAT</td>
<td></td>
</tr>
<tr>
<td>16. Circle the days of the week you are willing and able to work.</td>
<td></td>
</tr>
<tr>
<td>SUN  MON TUES WED THURS FRI SAT</td>
<td></td>
</tr>
<tr>
<td>17. What hours or shifts do you usually work?</td>
<td></td>
</tr>
<tr>
<td>18. What hours are you willing and able to work on a job?</td>
<td></td>
</tr>
<tr>
<td>FROM _____________am TO _______________ pm OR</td>
<td></td>
</tr>
<tr>
<td>FROM _____________am TO _______________ pm</td>
<td></td>
</tr>
<tr>
<td>19. Which shifts are you willing and able to work on a job?</td>
<td>1st shift – Day</td>
</tr>
<tr>
<td></td>
<td>2nd shift – Swing</td>
</tr>
<tr>
<td></td>
<td>3rd shift – Night</td>
</tr>
<tr>
<td></td>
<td>Other shift – including rotation</td>
</tr>
</tbody>
</table>
### BENEFITS ACCURACY MEASUREMENT
#### CLAIMANT QUESTIONNAIRE - PAID CLAIMS

<table>
<thead>
<tr>
<th>Question</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>20. What are your main job duties at your usual work?</td>
<td></td>
</tr>
<tr>
<td>21. What is your normal wage for the work you usually do? $ ____________ per _________</td>
<td></td>
</tr>
<tr>
<td>22. What is the lowest rate of pay you will accept for a job? $ ____________ per _________</td>
<td></td>
</tr>
<tr>
<td>23. Do you expect to be called back to work by any past employer? Yes No</td>
<td></td>
</tr>
<tr>
<td>If “Yes”, please answer the following:</td>
<td></td>
</tr>
<tr>
<td>Do you have or have you received a recall notice? Yes No</td>
<td></td>
</tr>
<tr>
<td>When were you told you would be recalled? __________/<em><strong><strong>/</strong></strong></em>. Month Day Year</td>
<td></td>
</tr>
<tr>
<td>Who notified you? _______________</td>
<td></td>
</tr>
<tr>
<td>When will you report back to work? _______________</td>
<td></td>
</tr>
<tr>
<td>Name, Address and Phone Number of employer:</td>
<td></td>
</tr>
</tbody>
</table>

#### WORK SEARCH

The next group of questions ask about your efforts to find work. Some of these questions will refer to a specific week, called “THE WEEK”. “THE WEEK” is the week that began on _________________ and ended on _______________. Please keep these dates in mind when answering the questions about “THE WEEK”.

<table>
<thead>
<tr>
<th>Question</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>24. How many miles are you willing to travel one-way daily to a job?</td>
<td></td>
</tr>
<tr>
<td>25. How many minutes or hours are you willing to travel one way daily to a job?</td>
<td></td>
</tr>
<tr>
<td>26. Do you have a valid driver’s license? Yes No</td>
<td></td>
</tr>
<tr>
<td>27. By what means do you normally travel to look for work? (Check all that apply)</td>
<td></td>
</tr>
<tr>
<td>Personally owned vehicle Borrow a vehicle</td>
<td></td>
</tr>
<tr>
<td>Ride with friends Public transportation or relatives Other (specify)</td>
<td></td>
</tr>
<tr>
<td>28. Would a job have to last a certain period of time before you would accept it? Yes No</td>
<td></td>
</tr>
<tr>
<td>If “Yes”, explain:</td>
<td></td>
</tr>
<tr>
<td>29. What is the type of work you are looking for?</td>
<td></td>
</tr>
<tr>
<td>a. _______________ b. _______________</td>
<td></td>
</tr>
<tr>
<td>What is the length and type of experience you have in these occupations?</td>
<td></td>
</tr>
<tr>
<td>a. _______________ b. _______________</td>
<td></td>
</tr>
<tr>
<td>30. Have you registered with the Job Service to find work since you first filed for unemployment benefits on ________________? Yes No</td>
<td></td>
</tr>
<tr>
<td>31. During “THE WEEK”, did the Job Service refer you to any jobs? Yes No</td>
<td></td>
</tr>
<tr>
<td>32. What were the results of these referrals?</td>
<td></td>
</tr>
<tr>
<td>33. Have you registered with a private employment agency since you first filed for unemployment benefits on ________________? Yes No</td>
<td></td>
</tr>
<tr>
<td>If “Yes”, when did you register with the agency?</td>
<td></td>
</tr>
<tr>
<td>Name, Address, Phone Number of Agency:</td>
<td></td>
</tr>
<tr>
<td>During “THE WEEK”, did the Agency refer you to any jobs? Yes No</td>
<td></td>
</tr>
<tr>
<td>If “Yes”, to how many jobs were you referred? __________</td>
<td></td>
</tr>
<tr>
<td>What were the results of these referrals?</td>
<td></td>
</tr>
</tbody>
</table>
### “THE WEEK” is the week that began on __________ and ended on __________.

<table>
<thead>
<tr>
<th>Question</th>
<th>Options</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>34. During <strong>THE WEEK</strong>, were you an active member of a union?</td>
<td>☐ Yes ☐ No</td>
<td>If “Yes”, complete the following:</td>
</tr>
<tr>
<td>Union Name:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local Number:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Address:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phone Number:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is your union a local hiring hall? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Whom do you contact at the local?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do you get work ONLY through the union? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Will you accept a non-union job? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>During <strong>THE WEEK</strong>, were you eligible to be referred to jobs by the union? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “No”, explain:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>During <strong>THE WEEK</strong>, were you on the out-of-work list? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “Yes”, when was the last time you signed the list?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “No”, explain:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>During <strong>THE WEEK</strong>, how many jobs were you referred to by the union?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>What were the results of these referrals?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>35. During <strong>THE WEEK</strong>, were you attending school or enrolled in a training program? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “Yes”, complete the following:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Name, Address, Phone Number of school or training program:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is the schooling or training related either to the type of work you usually do or the type of work you are seeking? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>36. During <strong>THE WEEK</strong>, did you have any health problem, handicap or disability that limited your ability to do your usual work or to look for work? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “Yes”, explain:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>37. During <strong>THE WEEK</strong>, did you have any dependent(s) or other person(s) for whom you provided care during your normal working hours? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “No” go to Question 38.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “Yes” was there some other person or place available to provide care?</td>
<td>☐ Yes ☐ No</td>
<td></td>
</tr>
<tr>
<td>If “Yes” provide the name, address and phone number of the care provider:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>38. During <strong>THE WEEK</strong>, was there any day(s) that you were NOT available for work? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “Yes” list the day(s) and reason(s) you were NOT available:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>39. During <strong>THE WEEK</strong>, was there any reason that you could NOT accept full-time work? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “Yes” explain:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>40. During <strong>THE WEEK</strong>, were you an officer of a corporation, union, or other organization? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “Yes” give name of organization and office held:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>41. During <strong>THE WEEK</strong>, did you need any special licenses or certificates to do the type of work you are seeking? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If “Yes”, did you have the license or certificate needed? ☐ Yes ☐ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>What kind of license or certificate is it?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>When does it expire?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 42. WORK SEARCH CONTACTS

Complete the following information for the job contacts you made during THE WEEK. If you had more than three job contacts, the interviewer will give you another worksheet. List all job contacts you made during THE WEEK, including those with unions, private employment agencies, and the State Job Service.

<table>
<thead>
<tr>
<th>Employer Name</th>
<th>Contact Date</th>
<th>Method of Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2.</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>3.</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>4.</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>5.</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **Address:**
- **Employer Phone (include area code):**
- **Application taken?** □ Yes □ No
- **Resume submitted?** □ Yes □ No
- **City/State/Zip**
- **Type of work applied for:**
- **Was a job offered?** □ Yes □ No
“THE WEEK” is the week that began on _______________ and ended on _______________.

43. During THE WEEK, did you get any job offers either from the contacts you listed in question 42 or from contacts you made in previous weeks?

☐ Yes  ☐ No

If “Yes”, did you accept any jobs offered to you?

☐ Yes  ☐ No

If “No”, why not?

If “Yes”, complete the following:

Date you accepted the offer: ________________

Date you began or will begin work: ________________

Name, address and phone number of employer:

_______________________________

_______________________________

_______________________________

45a. Check all of the following sources of income you had during THE WEEK, excluding unemployment compensation, and list the amount you received from each source for THE WEEK, even if you were paid at some other time.

☐ None  If “None”, go to Question 45b

☐ Wages $ __________________

☐ Earnings from self-employment or contract labor $ __________________

☐ Commission Payments $ __________________

☐ Reserve or National Guard Pay $ __________________

☐ Separation or Severance Pay $ __________________

☐ Holiday Pay $ __________________

☐ Wages in Lieu of Notice $ __________________

☐ Vacation Pay $ __________________

☐ Tips or Gratuities $ __________________

☐ Workers Compensation $ __________________

☐ Disability Payments $ __________________ (Do NOT include Social Security or Veteran’s Benefits)

☐ Other (specify): $ __________________

44. During THE WEEK, did you do work of any kind?

☐ Yes  ☐ No

If “Yes”, what type of work did you do?

Days and times worked:

Name, address and phone number of employer:

_______________________________

_______________________________

_______________________________

Reason no longer employed:

45b. During THE WEEK, were you entitled to any Social Security, pension, or retirement fund payments?

☐ Yes  ☐ No

If “No”, go to Question 46

If “Yes”, give the amount you received:

Social Security $ __________________

Veterans Benefits $ __________________

Railroad Retirement $ __________________

Federal Civil Service Retirement $ __________________

U.S. Military Retirement $ __________________

State/Local Government Retire. $ __________________

Private Employer or Union Pension $ __________________

Other $ __________________
<table>
<thead>
<tr>
<th>Question</th>
<th>Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>47. Have you had any problems with your unemployment insurance claim?</td>
<td>Yes ✧ No</td>
</tr>
<tr>
<td>If “Yes”, explain:</td>
<td></td>
</tr>
<tr>
<td>48. Do you have any questions to ask about your unemployment insurance claim or about your responsibilities and rights as an unemployment insurance claimant?</td>
<td>Yes ✧ No</td>
</tr>
<tr>
<td>If “Yes”, explain:</td>
<td></td>
</tr>
</tbody>
</table>

Please complete your work history on the following page.

I have understood the questions on this form and I have answered them truthfully to the best of my knowledge. I know my answers will be used to determine if my unemployment benefits were paid properly. I know the law provides penalties for false statements made to obtain benefits. I also know that my answers will be verified.

Claimant’s Signature ___________________________ Date Signed ________________

Interviewer’s Signature ___________________________ Date Signed ________________

AGENCY USE ONLY

Information obtained by: Mail ✧ Fax ✧ Phone ✧ In-person ✧ E-mail

Please complete your work history on the following page.
Please provide the following information about employers for whom you worked. Begin with your most recent employer and work back. Include ALL employment (i.e. part time, out of state, federal employment),

**FROM THE PRESENT BACK TO** ___________________________ MONTH / DAY / YEAR

<table>
<thead>
<tr>
<th>MOST RECENT</th>
<th>2ND MOST RECENT</th>
<th>3RD MOST RECENT</th>
<th>4TH MOST RECENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employer Name</td>
<td>Employer Name</td>
<td>Employer Name</td>
<td>Employer Name</td>
</tr>
<tr>
<td>Address</td>
<td>Address</td>
<td>Address</td>
<td>Address</td>
</tr>
<tr>
<td>Location of Job Site</td>
<td>Location of Job Site</td>
<td>Location of Job Site</td>
<td>Location of Job Site</td>
</tr>
<tr>
<td>Telephone Number</td>
<td>Telephone Number</td>
<td>Telephone Number</td>
<td>Telephone Number</td>
</tr>
<tr>
<td>Length of Employment</td>
<td>Length of Employment</td>
<td>Length of Employment</td>
<td>Length of Employment</td>
</tr>
<tr>
<td>First day _____________</td>
<td>First day _____________</td>
<td>First day _____________</td>
<td>First day _____________</td>
</tr>
<tr>
<td>Last day _____________</td>
<td>Last day _____________</td>
<td>Last day _____________</td>
<td>Last day _____________</td>
</tr>
<tr>
<td>Your Job Title</td>
<td>Your Job Title</td>
<td>Your Job Title</td>
<td>Your Job Title</td>
</tr>
<tr>
<td>Your Usual Wages on this Job</td>
<td>Your Usual Wages on this Job</td>
<td>Your Usual Wages on this Job</td>
<td>Your Usual Wages on this Job</td>
</tr>
<tr>
<td>$________ Per_______</td>
<td>$________ Per_______</td>
<td>$________ Per_______</td>
<td>$________ Per_______</td>
</tr>
<tr>
<td>Reason for Separation</td>
<td>Reason for Separation</td>
<td>Reason for Separation</td>
<td>Reason for Separation</td>
</tr>
<tr>
<td>□ Lack of Work</td>
<td>□ Lack of Work</td>
<td>□ Lack of Work</td>
<td>□ Lack of Work</td>
</tr>
<tr>
<td>□ Discharge</td>
<td>□ Discharge</td>
<td>□ Discharge</td>
<td>□ Discharge</td>
</tr>
<tr>
<td>□ Quit or Retired</td>
<td>□ Quit or Retired</td>
<td>□ Quit or Retired</td>
<td>□ Quit or Retired</td>
</tr>
<tr>
<td>□ Labor Dispute</td>
<td>□ Labor Dispute</td>
<td>□ Labor Dispute</td>
<td>□ Labor Dispute</td>
</tr>
<tr>
<td>□ Other</td>
<td>□ Other</td>
<td>□ Other</td>
<td>□ Other</td>
</tr>
</tbody>
</table>

Are you entitled to any pension or retirement pay including Social Security?  □ Yes  □ No

If “Yes”: $__________ Per __________ Name of Employer: __________________________________________
### BENEFITS ACCURACY MEASUREMENT

#### CLAIMANT QUESTIONNAIRE - MONETARY DENIAL CLAIMS

Batch # ________________

Please answer the following questions as accurately as possible. If you do not know the answer, leave it blank. The interviewer will discuss it with you later. If you need help, please ask. Please print clearly. Your answers will be used to determine if the decision to deny your unemployment insurance benefits was proper. This information will be verified. The last page of this questionnaire is for recording your work history.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Name (First, Middle, Last)</strong></td>
<td><strong>11. Race - Indicate by selecting one or more of the following:</strong></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| If you are also known by another name, enter it here: | □ White
□ Black or African-American
□ Asian
□ American Indian or Alaska Native
□ Native Hawaiian or other Pacific Islander |
|   |   |
| **2. Social Security Number** | **12. US Citizen?**   □ Yes   □ No  |
|   |   |
| **3. Street Address** | **If No, Alien Registration #___________________________** |
| Apt Number |   |
| **4. City:** | **13. Highest level of education completed (circle one):** |
| **State:** | Grade School - 0 1 2 3 4 5 6 7 8  |
| **ZIP code:** | High School - 9 10 11 12  |
|   | Some College Associate Degree  |
|   | BA/BS Graduate School  |
|   | **Major Field of Study: _____________________________** |
| **5. Mailing Address (if different)** | **14. Have you had vocational or technical school training?**   □ Yes   □ No  |
|   | **Type of certificate: ________________________** |
| **6. If you have moved since you first filed for unemployment benefits on _________________, enter your address when you first filed:** | **15. Are you currently enrolled in school or training?**   □ Yes   □ No  |
|   | **Name, address, phone number of school:**   __________________________________ __________________________________ __________________________________ __________________________________ |
| **7. Telephone Number (include area code)** | **16. What is your usual occupation?** |
| **8. Date of Birth (MO-DAY-YEAR)** | **17. What type of work are you looking for?** |
| **9. Gender:**   □ Male   □ Female | **Months/Years experience in this type of work:**   __________________ |
|   |   |
| **10. Ethnic Group - Indicate by selecting one of the following:** | **18. What is the lowest rate of pay you will accept for a job?** $ ____________ per _________ (hour,week,etc.) |
| □ Not Hispanic or Latino | □ Yes   □ No |
| □ Hispanic or Latino | **If “Yes”, did you have the license or certificate needed?**   □ Yes   □ No  |
| □ Unknown |   |
|   | **What kind of license or certificate is it?________________** |
### BENEFITS ACCURACY MEASUREMENT
#### CLAIMANT QUESTIONNAIRE - MONETARY DENIAL CLAIMS

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>20. Did you receive information about your unemployment benefits, rights, and responsibilities when you first filed for benefits?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Yes □ No</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, how was this information given to you? (Check ALL that apply)

- □ In-person (individual) interview
- □ Group interview
- □ Booklet or Pamphlet
- □ Slides, Movies, or Video
- □ Other (specify) _________________________

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>21. Were you entitled to any Social Security, pension, or retirement fund payments since the effective date of your current claim?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>□ Yes □ No</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, give the amount you received:

- Social Security $ __________________
- Veterans Benefits $ __________________
- Railroad Retirement $ __________________
- Federal Civil Service Retirement $ __________________
- U.S. Military Retirement $ __________________
- State/Local Government Retire. $ __________________
- Private Employer or Union Pension $ __________________
- Other (specify) $ __________________

I have understood the questions on this form and I have answered them truthfully to the best of my knowledge. I know my answers will be used to determine if my unemployment benefits were denied properly. I know the law provides penalties for false statements made to obtain benefits. I also know that my answers will be verified.

______________________________  ____________________________
Claimant’s Signature               Date Signed

______________________________  ____________________________
Interviewer’s Signature             Date Signed

**AGENCY USE ONLY**
Information obtained by: □ Mail □ Fax □ Phone □ In-person □ E-mail

Please complete your work history on the following page.
Please provide the following information about employers for whom you worked. Begin with your most recent employer and work back. Include ALL employment (i.e. part time, out of state, federal employment),

**FROM THE PRESENT BACK TO ___________________________ MONTH / DAY / YEAR**

<table>
<thead>
<tr>
<th>MOST RECENT</th>
<th>2ND MOST RECENT</th>
<th>3RD MOST RECENT</th>
<th>4TH MOST RECENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employer Name</td>
<td>Employer Name</td>
<td>Employer Name</td>
<td>Employer Name</td>
</tr>
<tr>
<td>Address</td>
<td>Address</td>
<td>Address</td>
<td>Address</td>
</tr>
<tr>
<td>Location of Job Site</td>
<td>Location of Job Site</td>
<td>Location of Job Site</td>
<td>Location of Job Site</td>
</tr>
<tr>
<td>Telephone Number</td>
<td>Telephone Number</td>
<td>Telephone Number</td>
<td>Telephone Number</td>
</tr>
<tr>
<td>Length of Employment</td>
<td>Length of Employment</td>
<td>Length of Employment</td>
<td>Length of Employment</td>
</tr>
<tr>
<td>First day ___________</td>
<td>First day ___________</td>
<td>First day ___________</td>
<td>First day ___________</td>
</tr>
<tr>
<td>Last day ___________</td>
<td>Last day ___________</td>
<td>Last day ___________</td>
<td>Last day ___________</td>
</tr>
<tr>
<td>Your Job Title</td>
<td>Your Job Title</td>
<td>Your Job Title</td>
<td>Your Job Title</td>
</tr>
<tr>
<td>Your Usual Wages on this Job</td>
<td>Your Usual Wages on this Job</td>
<td>Your Usual Wages on this Job</td>
<td>Your Usual Wages on this Job</td>
</tr>
<tr>
<td>$________ Per________</td>
<td>$________ Per________</td>
<td>$________ Per________</td>
<td>$________ Per________</td>
</tr>
<tr>
<td>Reason for Separation</td>
<td>Reason for Separation</td>
<td>Reason for Separation</td>
<td>Reason for Separation</td>
</tr>
<tr>
<td>[ ] Lack of Work</td>
<td>[ ] Lack of Work</td>
<td>[ ] Lack of Work</td>
<td>[ ] Lack of Work</td>
</tr>
<tr>
<td>[ ] Discharge</td>
<td>[ ] Discharge</td>
<td>[ ] Discharge</td>
<td>[ ] Discharge</td>
</tr>
<tr>
<td>[ ] Quit or Retired</td>
<td>[ ] Quit or Retired</td>
<td>[ ] Quit or Retired</td>
<td>[ ] Quit or Retired</td>
</tr>
<tr>
<td>[ ] Labor Dispute</td>
<td>[ ] Labor Dispute</td>
<td>[ ] Labor Dispute</td>
<td>[ ] Labor Dispute</td>
</tr>
<tr>
<td>[ ] Other</td>
<td>[ ] Other</td>
<td>[ ] Other</td>
<td>[ ] Other</td>
</tr>
</tbody>
</table>

Are you entitled to any pension or retirement pay including Social Security?  [ ] Yes  [ ] No

If “Yes”: $__________ Per _______  Name of Employer: ________________________________
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Name (First, Middle, Last)</strong></td>
<td></td>
</tr>
<tr>
<td>If you are also known by another name, enter it here:</td>
<td></td>
</tr>
<tr>
<td><strong>2. Social Security Number</strong></td>
<td></td>
</tr>
<tr>
<td><strong>3. Street Address</strong></td>
<td></td>
</tr>
<tr>
<td>Apt Number</td>
<td></td>
</tr>
<tr>
<td><strong>4. City:</strong></td>
<td></td>
</tr>
<tr>
<td>State</td>
<td></td>
</tr>
<tr>
<td>ZIP code</td>
<td></td>
</tr>
<tr>
<td><strong>5. Mailing Address (if different)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>6. If you have moved since you first filed for unemployment benefits on</strong></td>
<td></td>
</tr>
<tr>
<td>enter your address when you first filed:</td>
<td></td>
</tr>
<tr>
<td><strong>7. Telephone Number (include area code)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>8. Date of Birth (MO-DAY-YEAR)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>9. Gender:</strong></td>
<td></td>
</tr>
<tr>
<td>Male</td>
<td>Female</td>
</tr>
<tr>
<td><strong>10. Ethnic Group - Indicate by selecting one of the following:</strong></td>
<td></td>
</tr>
<tr>
<td>Not Hispanic or Latino</td>
<td></td>
</tr>
<tr>
<td>Hispanic or Latino</td>
<td></td>
</tr>
<tr>
<td>Unknown</td>
<td></td>
</tr>
<tr>
<td><strong>11. Race - Indicate by selecting one or more of the following:</strong></td>
<td></td>
</tr>
<tr>
<td>White</td>
<td>Unknown</td>
</tr>
<tr>
<td>Black or African-American</td>
<td></td>
</tr>
<tr>
<td>Asian</td>
<td></td>
</tr>
<tr>
<td>American Indian or Alaska Native</td>
<td></td>
</tr>
<tr>
<td>Native Hawaiian or other Pacific Islander</td>
<td></td>
</tr>
<tr>
<td><strong>12. US Citizen?</strong></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>If No, Alien Registration #</td>
<td></td>
</tr>
<tr>
<td><strong>13. Highest level of education completed (circle one):</strong></td>
<td></td>
</tr>
<tr>
<td>Grade School - 0 1 2 3 4 5 6 7 8</td>
<td></td>
</tr>
<tr>
<td>High School - 9 10 11 12</td>
<td></td>
</tr>
<tr>
<td>Some College</td>
<td>Associate Degree</td>
</tr>
<tr>
<td>BA/BS</td>
<td>Graduate School</td>
</tr>
<tr>
<td>Major Field of Study:</td>
<td></td>
</tr>
<tr>
<td><strong>14. Have you had vocational or technical school training?</strong></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Type of certificate:</td>
<td></td>
</tr>
<tr>
<td><strong>15. Are you currently enrolled in school or training?</strong></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Name, address, phone number of school:</td>
<td></td>
</tr>
<tr>
<td><strong>16. What is your usual occupation?</strong></td>
<td></td>
</tr>
<tr>
<td><strong>17. What type of work are you looking for?</strong></td>
<td></td>
</tr>
<tr>
<td>Months/ Years experience in this type of work:</td>
<td></td>
</tr>
<tr>
<td><strong>18. What is the lowest rate of pay you will accept for a job?</strong></td>
<td></td>
</tr>
<tr>
<td>$ __________________ per _________ (hour, week, etc.)</td>
<td></td>
</tr>
<tr>
<td><strong>19. Do you need any special licenses or certificates to do the type of work you are seeking?</strong></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>If “Yes”, do you have the license or certificate needed?</td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>What kind of license or certificate is it?</td>
<td></td>
</tr>
</tbody>
</table>
## BENEFITS ACCURACY MEASUREMENT
### CLAIMANT QUESTIONNAIRE - SEPARATION DENIAL CLAIMS

20. Did you receive information about your unemployment benefits, rights, and responsibilities when you first filed for benefits?

- [ ] Yes  
- [x] No

If “Yes”, how was this information given to you? (Check ALL that apply)

- [ ] In-person (individual) interview
- [ ] Group interview
- [ ] Booklet or Pamphlet
- [ ] Slides, Movies, or Video
- [ ] Other (specify) _________________________

21. Name, address and telephone number of last employer:

___________________________________  
___________________________________  
___________________________________  
___________________________________  

Work site:  __________________________________

Your job title:  _______________________________

22. Reason for Separation (Check block that indicates why you are no longer working for this employer.)

- [ ] Laid off, RIF  
- [ ] Discharged  
- [ ] Quit or Retired  
- [ ] Labor Dispute  
- [ ] Other (specify) _________________________

23. Between the last day you worked for your last employer and the time you filed for unemployment benefits, did you work for any other employer?

- [ ] Yes  
- [x] No

If “Yes”, provide the name, address and phone number for this employer:

__________________________________  
__________________________________  
__________________________________  

Why are you no longer working for this employer?

---

I have understood the questions on this form and I have answered them truthfully to the best of my knowledge. I know my answers will be used to determine if my unemployment benefits were denied properly. I know the law provides penalties for false statements made to obtain benefits. I also know that my answers will be verified.

__________________________________  
Claimant’s Signature  

__________________________________  
Date Signed

__________________________________  
Interviewer’s Signature  

__________________________________  
Date Signed

---

**AGENCY USE ONLY**

Information obtained by:
- [ ] Mail  
- [ ] Fax  
- [ ] Phone  
- [ ] In-person  
- [ ] E-mail
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Name (First, Middle, Last)</td>
<td>If you are also known by another name, enter it here:</td>
</tr>
<tr>
<td>2. Social Security Number</td>
<td></td>
</tr>
<tr>
<td>3. Street Address</td>
<td>Apt Number</td>
</tr>
<tr>
<td>4. City:</td>
<td>State:</td>
</tr>
<tr>
<td>5. Mailing Address (if different)</td>
<td>ZIP code:</td>
</tr>
<tr>
<td>6. If you have moved since you first filed for unemployment benefits on</td>
<td>Enter your address when you first filed:</td>
</tr>
<tr>
<td>7. Telephone Number (include area code)</td>
<td></td>
</tr>
<tr>
<td>8. Date of Birth (MO-DAY-YEAR)</td>
<td></td>
</tr>
<tr>
<td>9. Gender:</td>
<td>Male □ Female □</td>
</tr>
<tr>
<td>10. Ethnic Group - Indicate by selecting one of the following:</td>
<td>Not Hispanic or Latino □ Hispanic or Latino □ Unknown</td>
</tr>
<tr>
<td>11. Race - Indicate by selecting one or more of the following:</td>
<td>White □ Black or African-American □ Asian □ American Indian or Alaska Native □ Native Hawaiian or</td>
</tr>
<tr>
<td>12. US Citizen?</td>
<td>Yes □ No</td>
</tr>
<tr>
<td>13. Highest level of education completed (circle one):</td>
<td>Grade School - 0 1 2 3 4 5 6 7 8 High School - 9 10 11 12 Some College Associate DegreeBA/BS</td>
</tr>
<tr>
<td>14. Have you had vocational or technical school training?</td>
<td>Graduation School</td>
</tr>
<tr>
<td>15. Are you currently enrolled in school or training?</td>
<td>Yes □ No</td>
</tr>
<tr>
<td>16. What is your usual occupation?</td>
<td></td>
</tr>
<tr>
<td>17. What type of work are you looking for?</td>
<td>Months/Years experience in this type of work:</td>
</tr>
<tr>
<td>18. What is the lowest rate of pay you will accept for a job?</td>
<td>$ _____________ per _________ (hour, week, etc.)</td>
</tr>
<tr>
<td>19. DO you need any special licenses or certificates to do the type of</td>
<td>Yes □ No</td>
</tr>
<tr>
<td>work you are seeking?</td>
<td>If “Yes”, did you have the license or certificate needed? Yes □ No</td>
</tr>
<tr>
<td></td>
<td>What kind of license or certificate is it ?</td>
</tr>
<tr>
<td>Question</td>
<td>Response Options</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>20. Did you receive information about your unemployment benefits, rights, and responsibilities when you first filed for benefits?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>If “Yes”, how was this information given to you?</td>
<td>(Check ALL that apply)</td>
</tr>
<tr>
<td>☐ In-person (individual) interview</td>
<td>☐ Group interview</td>
</tr>
<tr>
<td>☐ Booklet or Pamphlet</td>
<td>☐ Slides, Movies, or Video</td>
</tr>
<tr>
<td>☐ Other (specify)</td>
<td>☐ In-person (individual) interview</td>
</tr>
<tr>
<td>21. Are you entitled to any Social Security, pension, or retirement fund payments?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>If “Yes”, give the amount you received:</td>
<td>Social Security $ ____________ Veterans Benefits $ ____________ Railroad Retirement $ ____________ Federal Civil Service $ ____________ Retirement U.S. Military Retirement $ ____________ State/Local Government Retirement $ ____________ Private Employer or Union Pension $ ____________ Other (specify) $ ____________</td>
</tr>
<tr>
<td>22. Do you expect to be called back to work by any past employer?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>If “Yes”, please answer the following:</td>
<td>Do you have or have you received a recall notice? ☐ Yes ☐ No</td>
</tr>
<tr>
<td>When were you told you would be recalled?</td>
<td>Month/Day/Year</td>
</tr>
<tr>
<td>Who notified you?</td>
<td></td>
</tr>
<tr>
<td>When will you report back to work?</td>
<td></td>
</tr>
<tr>
<td>Name, Address and Phone Number of employer:</td>
<td></td>
</tr>
<tr>
<td>23. Have you registered with the Job Service since you filing for unemployment benefits on __________?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>If “Yes”, date: ____________ Number of referrals: __________</td>
<td></td>
</tr>
<tr>
<td>What were the results of these referrals?</td>
<td></td>
</tr>
<tr>
<td>24. Have you registered with a private employment agency since you first filed for unemployment benefits on __________?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>If “Yes”, number of referrals: _____</td>
<td></td>
</tr>
<tr>
<td>What were the results of these referrals?</td>
<td></td>
</tr>
<tr>
<td>25. Are you a member of a Union?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>If “Yes” complete the following:</td>
<td>Union Name: ____________ Local Number ____________ Address: ____________ Phone Number: ____________</td>
</tr>
<tr>
<td>Is your union a local hiring hall?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>Whom do you contact at the local?</td>
<td></td>
</tr>
<tr>
<td>Do you get work ONLY through the union?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>Will you accept a non-union job?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>Are you eligible to be referred to jobs by the union?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>If “No”, explain:</td>
<td></td>
</tr>
<tr>
<td>Are you on the out-of-work list?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>If “Yes”, when was the last time you signed the list?</td>
<td></td>
</tr>
<tr>
<td>If “No”, explain:</td>
<td></td>
</tr>
<tr>
<td>How many jobs were you referred to by the union? _____</td>
<td></td>
</tr>
<tr>
<td>What were the results of these referrals?</td>
<td></td>
</tr>
</tbody>
</table>
## BENEFITS ACCURACY MEASUREMENT
### CLAIMANT QUESTIONNAIRE - NONSEPARATION DENIAL CLAIMS

26. Did you actively seek work during the week of ____________________________?  □ Yes  □ No

If “Yes”, complete the following:

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Employer Name</td>
<td>Contact Date:</td>
</tr>
<tr>
<td></td>
<td>Address:</td>
<td>Employer Phone (include area code):</td>
</tr>
<tr>
<td></td>
<td>Application taken?  □ Yes  □ No</td>
<td>Resume submitted?  □ Yes  □ No</td>
</tr>
<tr>
<td></td>
<td>City/State/Zip</td>
<td>Type of work applied for:</td>
</tr>
<tr>
<td></td>
<td>Application taken?  □ Yes  □ No</td>
<td>Resume submitted?  □ Yes  □ No</td>
</tr>
<tr>
<td></td>
<td>Was a job offered?  □ Yes  □ No</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Employer Name</td>
<td>Contact Date:</td>
</tr>
<tr>
<td></td>
<td>Address:</td>
<td>Employer Phone (include area code):</td>
</tr>
<tr>
<td></td>
<td>Application taken?  □ Yes  □ No</td>
<td>Resume submitted?  □ Yes  □ No</td>
</tr>
<tr>
<td></td>
<td>City/State/Zip</td>
<td>Type of work applied for:</td>
</tr>
<tr>
<td></td>
<td>Application taken?  □ Yes  □ No</td>
<td>Resume submitted?  □ Yes  □ No</td>
</tr>
<tr>
<td></td>
<td>Was a job offered?  □ Yes  □ No</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Employer Name</td>
<td>Contact Date:</td>
</tr>
<tr>
<td></td>
<td>Address:</td>
<td>Employer Phone (include area code):</td>
</tr>
<tr>
<td></td>
<td>Application taken?  □ Yes  □ No</td>
<td>Resume submitted?  □ Yes  □ No</td>
</tr>
<tr>
<td></td>
<td>City/State/Zip</td>
<td>Type of work applied for:</td>
</tr>
<tr>
<td></td>
<td>Application taken?  □ Yes  □ No</td>
<td>Resume submitted?  □ Yes  □ No</td>
</tr>
<tr>
<td></td>
<td>Was a job offered?  □ Yes  □ No</td>
<td></td>
</tr>
</tbody>
</table>

I have understood the questions on this form and I have answered them truthfully to the best of my knowledge. I know my answers will be used to determine if my unemployment benefits were denied properly. I know the law provides penalties for false statements made to obtain benefits. I also know that my answers will be verified.

________________________________________________     ____________________________________________
Claimant’s Signature                                                            Date Signed

_______________________________________________     ____________________________________________
Interviewer’s Signature                                                       Date Signed

AGENCY USE ONLY
Information obtained by:  □ Mail  □ Fax  □ Phone  □ In-person  □ E-mail

Please complete your work history on the following page.
Please provide the following information about employers for whom you worked. Begin with your most recent employer and work back. Include ALL employment (i.e. part time, out of state, federal employment),

FROM THE PRESENT BACK TO ___________________________ MONTH / DAY / YEAR

<table>
<thead>
<tr>
<th>MOST RECENT</th>
<th>2ND MOST RECENT</th>
<th>3RD MOST RECENT</th>
<th>4TH MOST RECENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employer Name</td>
<td>Employer Name</td>
<td>Employer Name</td>
<td>Employer Name</td>
</tr>
<tr>
<td>Address</td>
<td>Address</td>
<td>Address</td>
<td>Address</td>
</tr>
<tr>
<td>Location of Job Site</td>
<td>Location of Job Site</td>
<td>Location of Job Site</td>
<td>Location of Job Site</td>
</tr>
<tr>
<td>Telephone Number</td>
<td>Telephone Number</td>
<td>Telephone Number</td>
<td>Telephone Number</td>
</tr>
<tr>
<td>Length of Employment</td>
<td>Length of Employment</td>
<td>Length of Employment</td>
<td>Length of Employment</td>
</tr>
<tr>
<td>First day _________</td>
<td>First day _________</td>
<td>First day _________</td>
<td>First day _________</td>
</tr>
<tr>
<td>Last day _________</td>
<td>Last day _________</td>
<td>Last day _________</td>
<td>Last day _________</td>
</tr>
<tr>
<td>Your Job Title</td>
<td>Your Job Title</td>
<td>Your Job Title</td>
<td>Your Job Title</td>
</tr>
<tr>
<td>Your Usual Wages on this Job</td>
<td>Your Usual Wages on this Job</td>
<td>Your Usual Wages on this Job</td>
<td>Your Usual Wages on this Job</td>
</tr>
<tr>
<td>$________ Per_______</td>
<td>$________ Per_______</td>
<td>$________ Per_______</td>
<td>$________ Per_______</td>
</tr>
<tr>
<td>Reason for Separation</td>
<td>Reason for Separation</td>
<td>Reason for Separation</td>
<td>Reason for Separation</td>
</tr>
<tr>
<td>□ Lack of Work</td>
<td>□ Lack of Work</td>
<td>□ Lack of Work</td>
<td>□ Lack of Work</td>
</tr>
<tr>
<td>□ Discharge</td>
<td>□ Discharge</td>
<td>□ Discharge</td>
<td>□ Discharge</td>
</tr>
<tr>
<td>□ Quit or Retired</td>
<td>□ Quit or Retired</td>
<td>□ Quit or Retired</td>
<td>□ Quit or Retired</td>
</tr>
<tr>
<td>□ Labor Dispute</td>
<td>□ Labor Dispute</td>
<td>□ Labor Dispute</td>
<td>□ Labor Dispute</td>
</tr>
<tr>
<td>□ Other</td>
<td>□ Other</td>
<td>□ Other</td>
<td>□ Other</td>
</tr>
</tbody>
</table>

Are you entitled to any pension or retirement pay including Social Security?  □ Yes  □ No

If “Yes”: $_________ Per ________ Name of Employer: ________________________________
APPENDIX C

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

1. That all procedures of the BAM process are being followed.
2. That a general review of all questionnaire items is conducted with the claimant as part of the normal BAM process.
3. That the Summary of Investigation will be used to explain each case.

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

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

<table>
<thead>
<tr>
<th>DATA ELEMENTS</th>
<th>DATA SOURCE</th>
<th>ACTION REQUIRED</th>
<th>DOCUMENTATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Social Security Number</td>
<td>Claimant S.S. Card&lt;br&gt;SWA Records&lt;br&gt;Claimant Questionnaire&lt;br&gt;Employer Records</td>
<td>Verify S.S. from sources against claimant S.S. card if possible</td>
<td>Photocopy S.S. card if possible</td>
</tr>
<tr>
<td>2. Week Ending Date of KW</td>
<td>SWA Records</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>3. Case Type</td>
<td>BAM System Generated</td>
<td>Verify the case is a regular Core BAM case and not part of special study</td>
<td>None</td>
</tr>
<tr>
<td>4. Batch Number</td>
<td>BAM System Generated</td>
<td>Compare to correct number assignment from OWS Issuance</td>
<td>None</td>
</tr>
<tr>
<td>5. Sequence Number</td>
<td>BAM System Generated</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>6. State I.D. Code</td>
<td>BAM System Generated</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>7. Local Office Number</td>
<td>SWA Records local office of record for the claim</td>
<td>Determine if proper local office assignment</td>
<td>None</td>
</tr>
<tr>
<td>8. Investigator ID Code</td>
<td>ID Number Assigned by Supervisor</td>
<td>Compare to valid Investigator ID Nos</td>
<td>None</td>
</tr>
<tr>
<td>DATA ELEMENTS</td>
<td>DATA SOURCE</td>
<td>ACTION REQUIRED</td>
<td>DOCUMENTATION</td>
</tr>
<tr>
<td>--------------------------------------</td>
<td>-----------------------</td>
<td>------------------------------------------</td>
<td>---------------------------------------------------</td>
</tr>
<tr>
<td>1. Method Clm’t Info Obtained</td>
<td>Questionnaire</td>
<td>None if obtained</td>
<td>Explanation if not Obtained</td>
</tr>
<tr>
<td></td>
<td>Case Documentation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. U.S. Citizen</td>
<td>Questionnaire</td>
<td>- If citizen - None</td>
<td>Photocopy Alien Reg. Card</td>
</tr>
<tr>
<td></td>
<td>SWA Records</td>
<td>- If not, verify status with INS</td>
<td>INS Report</td>
</tr>
<tr>
<td></td>
<td>Alien Reg. Card</td>
<td></td>
<td>Factfinding statement if an issue</td>
</tr>
<tr>
<td></td>
<td>Employer(s)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Immigration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Education</td>
<td>Questionnaire</td>
<td>None</td>
<td>Non</td>
</tr>
<tr>
<td></td>
<td>Job Service Records</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Voc/Tech Training</td>
<td>Questionnaire</td>
<td>Compare sources to determine proper code</td>
<td>None</td>
</tr>
<tr>
<td></td>
<td>Job Service Records</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Currently in Training</td>
<td>Questionnaire</td>
<td>Verify and compare information from</td>
<td>Factfinding statement if applicable</td>
</tr>
<tr>
<td></td>
<td>SWA Records</td>
<td>sources to determine proper code</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Training Facility</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Last Occupation</td>
<td>Employer SWA Records</td>
<td>Verify and compare information from</td>
<td>Separating Employer Verification and claimant</td>
</tr>
<tr>
<td></td>
<td>Questionnaire proper code</td>
<td>sources to determine proper code</td>
<td>questionnaire</td>
</tr>
<tr>
<td>7. Primary Occupation</td>
<td>Employer SWA Records</td>
<td>Compare sources to determine proper code</td>
<td>BAM Wage Verification</td>
</tr>
<tr>
<td></td>
<td>Questionnaire</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Normal Hourly Wage</td>
<td>Employer SWA Records</td>
<td>Compare sources to determine proper code</td>
<td>BAM Wage Verification</td>
</tr>
<tr>
<td></td>
<td>Questionnaire</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Seeking Work Occupation</td>
<td>Questionnaire SWA</td>
<td>Review claimant’s interest and work</td>
<td>Factfinding Statement if an issue</td>
</tr>
<tr>
<td></td>
<td>Records</td>
<td>history to determine proper code</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Job Service if reg.</td>
<td>Compare sources for consistency</td>
<td></td>
</tr>
<tr>
<td>10. Lowest Wage will accept</td>
<td>Questionnaire SWA</td>
<td>Compare claimant’s wage demand to</td>
<td>Factfinding Statement if wage restriction</td>
</tr>
<tr>
<td></td>
<td>Records</td>
<td>prevailing wage for occupation</td>
<td></td>
</tr>
<tr>
<td>11. Date of Birth</td>
<td>Questionnaire SWA</td>
<td>Compare sources for consistency</td>
<td>None</td>
</tr>
<tr>
<td></td>
<td>Records</td>
<td>Review with claimant</td>
<td></td>
</tr>
<tr>
<td>12. Sex</td>
<td>Questionnaire SWA</td>
<td>Compare sources for consistency</td>
<td>None</td>
</tr>
<tr>
<td></td>
<td>Records</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. Ethnic Group</td>
<td>Questionnaire SWA</td>
<td>Compare sources for consistency</td>
<td>None</td>
</tr>
<tr>
<td></td>
<td>Records</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## PART C - BENEFIT YEAR INFORMATION

<table>
<thead>
<tr>
<th>DATA ELEMENTS</th>
<th>DATA SOURCE</th>
<th>ACTION REQUIRED</th>
<th>DOCUMENTATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Program Code</td>
<td>SWA Records Employer(s) records</td>
<td>Verify accuracy during wage verify.</td>
<td>Wage verification</td>
</tr>
<tr>
<td>2. Combine Wage Claim</td>
<td>SWA Records Employer(s) records</td>
<td>Review work history with claimant. Verify with employer during wage verification</td>
<td>Wage verification IB-4 copy</td>
</tr>
<tr>
<td>3. Benefit Year Beginning</td>
<td>SWA Records</td>
<td>Compare initial claim filing date to BYB.</td>
<td>Initial claim</td>
</tr>
<tr>
<td>4. Init./AC Clm Filing Method</td>
<td>SWA Records</td>
<td>None</td>
<td>Initial claim</td>
</tr>
<tr>
<td>5. Benefit Rights Given</td>
<td>SWA Records Questionnaire</td>
<td>Compare sources for consistency</td>
<td>Copy of BRI record</td>
</tr>
<tr>
<td>6. Number of ERPs</td>
<td>SWA Records</td>
<td>Sum from SWA records</td>
<td>Copy of ERI record</td>
</tr>
<tr>
<td>7. Last ERP Date</td>
<td>SWA Records</td>
<td>None</td>
<td>Copy of ERI record</td>
</tr>
<tr>
<td>8. Number of Nonsep issues</td>
<td>SWA Records</td>
<td>Sum from SWA records</td>
<td>Copy of all non-sęp non-mon records</td>
</tr>
<tr>
<td>9. Number of Nonsep DQ’d</td>
<td>SWA Records</td>
<td>None</td>
<td>Copy of all non-sęp non-mon records</td>
</tr>
</tbody>
</table>
## PART D - SEPARATION INFORMATION

<table>
<thead>
<tr>
<th>DATA ELEMENTS</th>
<th>DATA SOURCE</th>
<th>ACTION REQUIRED</th>
<th>DOCUMENTATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Sep. Reason (Before)</td>
<td>SWA records</td>
<td>None</td>
<td>SWA records</td>
</tr>
<tr>
<td>2. Sep. Reason (After)</td>
<td>Questionnaire</td>
<td>Compare sources for proper determination</td>
<td>Factfinding statements from ERs and claimant</td>
</tr>
<tr>
<td></td>
<td>Employer</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Date of Sep. (Before)</td>
<td>SWA records</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>4. Date of Sep. (After)</td>
<td>Questionnaire</td>
<td>Compare sources for proper data and potential</td>
<td>Factfinding statements from ERs and claimant if an</td>
</tr>
<tr>
<td></td>
<td>Employer</td>
<td>unreported earnings</td>
<td>issue</td>
</tr>
<tr>
<td></td>
<td>SWA records</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Recall Status (Before)</td>
<td>SWA records</td>
<td>None</td>
<td>Work Search exemption policy if applicable</td>
</tr>
<tr>
<td>6. Recall Status (After)</td>
<td>Employer</td>
<td></td>
<td>Factfinding statements from ERs and claimant</td>
</tr>
<tr>
<td></td>
<td>Questionnaire</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>SWA records</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Tax Rate (Last Employer)</td>
<td>SWA records</td>
<td>None</td>
<td>Employer Qtrly report</td>
</tr>
<tr>
<td>8. Industry Code (Last Employer)</td>
<td>Separation</td>
<td>Review sources for accurate code assignment</td>
<td>None</td>
</tr>
<tr>
<td></td>
<td>Employer</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>SWA records</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Questionnaire</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>NAICS Handbook</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DATA ELEMENTS</td>
<td>DATA SOURCE</td>
<td>ACTION REQUIRED</td>
<td>DOCUMENTATION</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>-----------------------------</td>
<td>-------------------------------------------------------</td>
<td>---------------------------------------</td>
</tr>
<tr>
<td>1. No. of BP Empls (Before)</td>
<td>Monetary determination</td>
<td>None</td>
<td>Monetary determination</td>
</tr>
<tr>
<td>2. No. of BP Empls (After)</td>
<td>Employer(s), Monetary</td>
<td>Verify wages with all base period ERs to determine</td>
<td>Wage verification</td>
</tr>
<tr>
<td></td>
<td>determination</td>
<td>proper #</td>
<td></td>
</tr>
<tr>
<td>3. BP Period Wages (Before)</td>
<td>Monetary determination</td>
<td>None</td>
<td>Monetary determination</td>
</tr>
<tr>
<td>4. BP Wages (After)</td>
<td>Employer(s), Monetary</td>
<td>Verify wages with all base period ERs to determine</td>
<td>Wage verification</td>
</tr>
<tr>
<td></td>
<td>determination</td>
<td>proper amount</td>
<td></td>
</tr>
<tr>
<td>5. High Qtr Wages (Before)</td>
<td>Monetary determination</td>
<td>None</td>
<td>Monetary determination</td>
</tr>
<tr>
<td>6. High Qtr Wages (After)</td>
<td>Employer(s), Monetary</td>
<td>Verify wages with all base period ERs to determine</td>
<td>Wage verification</td>
</tr>
<tr>
<td></td>
<td>determination</td>
<td>proper amount</td>
<td></td>
</tr>
<tr>
<td>7. BP Wks Worked (Before)</td>
<td>SWA records</td>
<td>None</td>
<td>Monetary determination</td>
</tr>
<tr>
<td>8. BP Wks Worked (After)</td>
<td>SWA records</td>
<td>Verify weeks with employer(s) to determine proper #</td>
<td>Wage verification</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Base Period employer</td>
<td></td>
</tr>
<tr>
<td>9. WBA (Before)</td>
<td>Monetary determination</td>
<td>None</td>
<td>Monetary determination</td>
</tr>
<tr>
<td>10. WBA (After)</td>
<td>Employer(s), Monetary</td>
<td>Verify that WBA is based on employ./wage verify</td>
<td>Wage verification</td>
</tr>
<tr>
<td></td>
<td>determination</td>
<td>Monetary redetermination if appl.</td>
<td></td>
</tr>
<tr>
<td>11. MBA (Before)</td>
<td>Monetary determination</td>
<td>None</td>
<td>Monetary determination</td>
</tr>
<tr>
<td>12. MBA (After)</td>
<td>Employer(s), Monetary</td>
<td>Verify that MBA is based on employ./wage verify</td>
<td>Wage verification</td>
</tr>
<tr>
<td></td>
<td>determination</td>
<td>Monetary redetermination if appl.</td>
<td></td>
</tr>
<tr>
<td>13. # Depends Claimed (Before)</td>
<td>SWA records</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>14. # Depends Claimed (After)</td>
<td>Questionnaire, SWA records</td>
<td>Verify as required by SWA procedures</td>
<td>Verification document(s)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Dependent award</td>
<td></td>
</tr>
<tr>
<td>15. Dependent Allowance (B)</td>
<td>SWA records</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>16. Dependent Allowance (A)</td>
<td>Questionnaire, Dependency</td>
<td>Compare sources to determine correct amount</td>
<td>Dependent Award (monetary det.)</td>
</tr>
<tr>
<td></td>
<td>SWA records</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17. Primary BPE Industry</td>
<td>Employer(s), SWA records</td>
<td>Review sources for accurate code</td>
<td>Wage verification</td>
</tr>
<tr>
<td></td>
<td>NAICS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18. Monetary Redet</td>
<td>Monetary redet.</td>
<td>None</td>
<td>Copy of redet.</td>
</tr>
<tr>
<td>19. Remaining Balance</td>
<td>Benefit history</td>
<td>None</td>
<td>Benefit history</td>
</tr>
</tbody>
</table>
## INVESTIGATIVE GUIDE

### PART F - BENEFIT PAYMENT HISTORY

<table>
<thead>
<tr>
<th>DATA ELEMENTS</th>
<th>DATA SOURCE</th>
<th>ACTION REQUIRED</th>
<th>DOCUMENTATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Amt KW Earnings (Before)</td>
<td>SWA records</td>
<td>Compare sources to determine proper amount</td>
<td>SWA records Benefit history Weekly certification</td>
</tr>
<tr>
<td>2. Amt KW Earnings (After)</td>
<td>Employer(s) Questionnaire SWA records</td>
<td>Compare sources to determine proper amount</td>
<td>Factfinding statement re: wage verification if applicable</td>
</tr>
<tr>
<td>3. Earn. Deduction (Before)</td>
<td>SWA records Benefit history Weekly certification</td>
<td>Compare sources to determine earnings deduction</td>
<td>SWA records Benefit history Weekly certification</td>
</tr>
<tr>
<td>4. Earn. Deduction (After)</td>
<td>Employer(s) Questionnaire SWA records</td>
<td>Compare sources to determine proper amount deducted</td>
<td>Wage verification</td>
</tr>
<tr>
<td>5. Other Deduct. Income (B)</td>
<td>SWA records Benefit history Weekly certification</td>
<td>Compare sources to determine all other deductible income</td>
<td>SWA records Benefit history Weekly certification</td>
</tr>
<tr>
<td>6. Other Deduct. Income (A)</td>
<td>SWA records Benefit history Weekly certification</td>
<td>Compare sources to determine proper amount</td>
<td>Wage verifications Pension verification if applicable</td>
</tr>
<tr>
<td>7. Other Deductions (B)</td>
<td>SWA records Benefit history Weekly certification</td>
<td>Compare sources to determine amount of deduction</td>
<td>SWA records Benefit history Weekly certification</td>
</tr>
<tr>
<td>8. Other Deductions (A)</td>
<td>Employer(s) Questionnaire</td>
<td>Compare sources to determine proper amount deducted</td>
<td>Wage verifications Pension verification</td>
</tr>
<tr>
<td>9. 1st Comp. WE Date</td>
<td>SWA records</td>
<td>None</td>
<td>Benefit history</td>
</tr>
<tr>
<td>10. Date of First Payment</td>
<td>SWA records</td>
<td>None</td>
<td>Benefit history</td>
</tr>
<tr>
<td>11. KW Filing Method</td>
<td>SWA records</td>
<td>None</td>
<td>KW Certification</td>
</tr>
<tr>
<td>12. KW Cert. Procedure</td>
<td>SWA records</td>
<td>None</td>
<td>KW Certification</td>
</tr>
<tr>
<td>13. Amount Paid/Offset</td>
<td>SWA records</td>
<td>None</td>
<td>Benefit history</td>
</tr>
<tr>
<td>DATA ELEMENTS</td>
<td>DATA SOURCE</td>
<td>ACTION REQUIRED</td>
<td>DOCUMENTATION</td>
</tr>
<tr>
<td>--------------</td>
<td>-------------</td>
<td>----------------</td>
<td>---------------</td>
</tr>
<tr>
<td>1. Required to seek work</td>
<td>SWA records</td>
<td>If required to seek work, obtain official policy/requirement</td>
<td>Agency policy statement</td>
</tr>
<tr>
<td>2. JS Registration required</td>
<td>SWA records</td>
<td>If JS registration required, obtain official policy/req.</td>
<td>Agency policy statement</td>
</tr>
<tr>
<td>3. Registered with JS</td>
<td>SWA records, Questionnaire, Status with JS</td>
<td>Verify if claimant is referable</td>
<td>ES 511 records</td>
</tr>
<tr>
<td>4. Reason JS Regis. deferred</td>
<td>SWA records, Questionnaire</td>
<td>If deferred, obtain explanation; i.e. official policy</td>
<td>Deferral explanation</td>
</tr>
<tr>
<td>5. # of JS referrals</td>
<td>SWA records, Questionnaire</td>
<td>Compare sources to determine proper number</td>
<td>ES 511 records</td>
</tr>
<tr>
<td>6. Private Employ. registered</td>
<td>Questionnaire</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>7. # Priv. Employ. referrals</td>
<td>Questionnaire, Private agency</td>
<td>If information available, verify as part of verification</td>
<td>Work search verification</td>
</tr>
<tr>
<td>8. Union referral status</td>
<td>Union, SWA records, Questionnaire</td>
<td>Verify with union claimant’s standing and its effect on eligibility</td>
<td>Union verification, Factfinding statement if applicable</td>
</tr>
<tr>
<td>9. # Union referrals – KW</td>
<td>Union, Questionnaire</td>
<td>Sum of sources</td>
<td>Union verification</td>
</tr>
<tr>
<td>10. # Work search Contacts-KW</td>
<td>Employer(s), Unions, Priv. Employment agencies, Questionnaire</td>
<td>Sum from all sources</td>
<td>None</td>
</tr>
<tr>
<td>11. # WS contacts outside KW</td>
<td>SWA records, Employer(s), Union, Priv. Employment agencies, Questionnaire</td>
<td>Sum from all sources</td>
<td>None</td>
</tr>
<tr>
<td>12. # WS contacts investigated</td>
<td>Employer(s), Union, Priv. Employment agencies</td>
<td>Sum from all sources contacted for verification</td>
<td>Work search verification for each source</td>
</tr>
<tr>
<td>13. # WS contacts acceptable</td>
<td>Employer(s), Union, Priv. Employment agencies</td>
<td>Record number of contacts verified as valid</td>
<td>Work search verification</td>
</tr>
<tr>
<td>14. # WS contacts-unacceptable</td>
<td>Employer(s), Union, Priv. Employment agencies</td>
<td>Record number of contacts verified as invalid Conduct factfinding on WS issue</td>
<td>Work search verification, Explanation in SOI, Factfinding statement if applicable</td>
</tr>
<tr>
<td>15. # WS contacts-unverifiable</td>
<td>Employer(s), Union, Priv. Employ. agencies</td>
<td>Record number of contacts that couldn’t be verified</td>
<td>Work search verification, Explanation in SOI</td>
</tr>
</tbody>
</table>
## PART H - ERROR CLASSIFICATION/COMPLETION INFORMATION

<table>
<thead>
<tr>
<th>DATA ELEMENTS</th>
<th>DATA SOURCE</th>
<th>ACTION REQUIRED</th>
<th>DOCUMENTATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Action Code</td>
<td>BAM Invest. file</td>
<td>None on proper payment; appropriate action on improper payments</td>
<td>Explanation in summary Copy of official agency actions if applicable</td>
</tr>
<tr>
<td>2. Am’t. should have been pd</td>
<td>BAM Invest. file</td>
<td>None on proper payment. Compute correct amount for improper payments</td>
<td>Explanation in summary Copy of official agency actions if applicable</td>
</tr>
<tr>
<td>3. Total $ Am’t of OP (inc.KW)</td>
<td>BAM Invest. file</td>
<td>Determine sum of OP and complete official action</td>
<td>SOI Copy of official agency actions if applicable</td>
</tr>
<tr>
<td>4. Total $ Am’t of UP (inc.KW)</td>
<td>BAM Invest. file</td>
<td>Determine sum of UP and complete official action</td>
<td>Monetary predets. Printout of supp. checks</td>
</tr>
<tr>
<td>5. Total OP for KW</td>
<td>BAM Invest. file</td>
<td>Determine am’t of KW OP and complete official action</td>
<td>Explanation in summary Copy of official agency actions if applicable</td>
</tr>
<tr>
<td>6. Total UP for KW</td>
<td>BAM Invest. file</td>
<td>Determine am’t of KW UP and complete official action</td>
<td>Explanation in summary Copy of official agency actions if applicable</td>
</tr>
<tr>
<td>7. Invest. completed</td>
<td>Investigator</td>
<td>All investigation information is complete &amp; entered in database</td>
<td>Summary of investigation</td>
</tr>
<tr>
<td>8. Invest. completed date</td>
<td>BAM system gen.</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>9. Supervisory review compld.</td>
<td>BAM Supervisor</td>
<td>All official action completed and approval code entered</td>
<td>Supervisor sign off</td>
</tr>
<tr>
<td>10. Supervisory complete date</td>
<td>BAM system gen.</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>11. Supervisor ID</td>
<td>BAM system gen.</td>
<td>None</td>
<td>None</td>
</tr>
</tbody>
</table>
## PART I - ERROR ISSUE(S) CLASSIFICATION

<table>
<thead>
<tr>
<th>DATA ELEMENTS</th>
<th>DATA SOURCE</th>
<th>ACTION REQUIRED</th>
<th>DOCUMENTATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Dollar Amount of KW Error</td>
<td>BAM Investigative</td>
<td>Determine amount</td>
<td>Explanation in summary Cpy of official agency act</td>
</tr>
<tr>
<td></td>
<td>File</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. KW Action:</td>
<td>BAM Investigative</td>
<td>Complete error classification procedures</td>
<td>Explanation in summary Cpy of official agency act</td>
</tr>
<tr>
<td>OP codes</td>
<td>File</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UP codes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 20</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11 21</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12 22</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13 23</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Error Cause</td>
<td>BAM Investigative</td>
<td>Complete error classification procedures</td>
<td>Explanation in summary Copy of off. agency act</td>
</tr>
<tr>
<td>Series:</td>
<td>File</td>
<td></td>
<td></td>
</tr>
<tr>
<td>100- Benefit Year errors</td>
<td>Classification</td>
<td></td>
<td></td>
</tr>
<tr>
<td>200- Base Period errors</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>300- Separation issue errors</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>400- Eligibility issue errors</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>500- Dependents’ Allow. errors</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>600- Other issue errors</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Error Responsibility</td>
<td>BAM Investig. File</td>
<td>Complete error classification procedures</td>
<td>Explanation in summary Copy of off. agency act</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Detection Point</td>
<td>BAM Investigative</td>
<td>Complete error classification procedures</td>
<td>Explanation in summary Copy of official agency act</td>
</tr>
<tr>
<td>10- WS verification</td>
<td>File</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20- Wage/sep. verification</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>30- Claimant interview</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>40- 3rd party verification</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>50- UI records</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>60- JS/ES records</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>70- Union verification</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Prior Agency Action</td>
<td>BAM Investigative</td>
<td>Complete error classification procedures</td>
<td>Explanation in summary Copy of official agency act</td>
</tr>
<tr>
<td>10- Not detectable normally</td>
<td>File</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20- SWA in process of correction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>30- Identified; took wrong action</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>40- Suff. info. but took no action</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>50- Official actions not properly followed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Prior Employer Action</td>
<td>BAM Investigative</td>
<td>Complete error classification procedures</td>
<td>Explanation in summary Copy of official agency act</td>
</tr>
<tr>
<td>10- ER provide timely/adeq. info</td>
<td>File</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20- ER provide timely/late info</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>30- ER provide wrong/timely info</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>40- ER provide wrong/late info</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>50- ER did not respond</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>60- ER not asked for info</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>70- Not an employer-related issue</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DATA ELEMENTS</td>
<td>DATA SOURCE</td>
<td>ACTION REQUIRED</td>
<td>DOCUMENTATION</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>-------------------</td>
<td>----------------------------------------</td>
<td>----------------------------------------</td>
</tr>
<tr>
<td>8. Appeal Action</td>
<td>BAM Investigative</td>
<td>Complete error classification procedures</td>
<td>Explanation in summary</td>
</tr>
<tr>
<td>1- No appeal filed/NA</td>
<td>File</td>
<td></td>
<td>Copy of official agency action</td>
</tr>
<tr>
<td>2- Cl't appeal det/ER interested</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3- Cl't appeal det/ER not interest</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4- ER appeal det/cl't interested</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5- Cl't/ER appeal BAM det.</td>
<td>BAM Investigative</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6- SWA appealed BAM det.</td>
<td>File</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10- Cl't provide timely/adeq. info</td>
<td>File</td>
<td></td>
<td>Copy of official agency action</td>
</tr>
<tr>
<td>20- Cl't provide timely/late info</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>30- Cl't provide wrong/timely info</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>40- Cl't provide wrong/late info</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>50- Cl't did not respond</td>
<td>BAM Investigative</td>
<td></td>
<td></td>
</tr>
<tr>
<td>60- SWA did not request info</td>
<td>File</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### SCREEN R - REOPEN TABLE

<table>
<thead>
<tr>
<th>DATA ELEMENTS</th>
<th>DATA SOURCE</th>
<th>ACTION REQUIRED</th>
<th>DOCUMENTATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Batch Number</td>
<td>See Master Table</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>Sequence Number</td>
<td>See Master Table</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>Case Type</td>
<td>See Master Table</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>Reopen Case</td>
<td>BAM investigative file</td>
<td>Verify correct code has been entered</td>
<td>None</td>
</tr>
<tr>
<td>Reopen Case Date</td>
<td>BAM system generated</td>
<td>None</td>
<td>None</td>
</tr>
<tr>
<td>Reopen Case Identification</td>
<td>Staffing file</td>
<td>Compare to list of valid ID numbers</td>
<td>None</td>
</tr>
<tr>
<td>Reopen Case Date</td>
<td>BAM system generated</td>
<td>None</td>
<td>None</td>
</tr>
</tbody>
</table>
APPENDIX D

DCA Database Specifications
CASE CONTROL AND CLAIMANT INFORMATION

(1)  NAME: Batch Number
SHORT NAME: batch
FieldType: Integer (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.

(2)  NAME: Sequence Number
SHORT NAME: seq
FieldType: Numeric (2)
Edits: The sequence number cannot be NULL. The sequence number values are from 01-99.

(3)  NAME: Sample Type
SHORT NAME: samptype
FieldType: Numeric (1)
Edits: Must be for PCA and 2, 3, or 4 for DCA.

(4)  NAME: Social Security Number
SHORT NAME: ssn
FieldType: Numeric (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, 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. The areas that have been allocated but have not yet been assigned include: 588, 650, 665, 667-669, and 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 00001-9999.
(5) **NAME**: Claim Date  
SHORT NAME: clmdate  
Field Type: Date (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”.

(6) **NAME**: Claim Type  
SHORT NAME: clmtype  
Field Type: Smallint  
Edits: Must be 0-5.  
Claim Type cannot be NULL.

(7) **NAME**: State  
SHORT NAME: state  
Field Type: Character (2)  

<table>
<thead>
<tr>
<th>STATE CODE</th>
<th>STATE NAME</th>
<th>STATE CODE</th>
<th>STATE NAME</th>
<th>STATE CODE</th>
<th>STATE NAME</th>
</tr>
</thead>
<tbody>
<tr>
<td>AL</td>
<td>Alabama</td>
<td>LA</td>
<td>Louisiana</td>
<td>OK</td>
<td>Oklahoma</td>
</tr>
<tr>
<td>AK</td>
<td>Alaska</td>
<td>ME</td>
<td>Maine</td>
<td>OR</td>
<td>Oregon</td>
</tr>
<tr>
<td>AZ</td>
<td>Arizona</td>
<td>MD</td>
<td>Maryland</td>
<td>PA</td>
<td>Pennsylvania</td>
</tr>
<tr>
<td>AR</td>
<td>Arkansas</td>
<td>MA</td>
<td>Massachusetts</td>
<td>PR</td>
<td>Puerto Rico</td>
</tr>
<tr>
<td>CA</td>
<td>California</td>
<td>MI</td>
<td>Michigan</td>
<td>RI</td>
<td>Rhode Island</td>
</tr>
<tr>
<td>CO</td>
<td>Colorado</td>
<td>MN</td>
<td>Minnesota</td>
<td>SC</td>
<td>South Carolina</td>
</tr>
<tr>
<td>CT</td>
<td>Connecticut</td>
<td>MS</td>
<td>Mississippi</td>
<td>SD</td>
<td>South Dakota</td>
</tr>
<tr>
<td>DE</td>
<td>Delaware</td>
<td>MO</td>
<td>Missouri</td>
<td>TN</td>
<td>Tennessee</td>
</tr>
<tr>
<td>DC</td>
<td>District of Columbia</td>
<td>MT</td>
<td>Montana</td>
<td>TX</td>
<td>Texas</td>
</tr>
<tr>
<td>FL</td>
<td>Florida</td>
<td>NE</td>
<td>Nebraska</td>
<td>UT</td>
<td>Utah</td>
</tr>
<tr>
<td>GA</td>
<td>Georgia</td>
<td>NV</td>
<td>Nevada</td>
<td>VT</td>
<td>Vermont</td>
</tr>
<tr>
<td>HI</td>
<td>Hawaii</td>
<td>NH</td>
<td>New Hampshire</td>
<td>VA</td>
<td>Virginia</td>
</tr>
<tr>
<td>ID</td>
<td>Idaho</td>
<td>NJ</td>
<td>New Jersey</td>
<td>VI</td>
<td>Virgin Islands</td>
</tr>
<tr>
<td>IL</td>
<td>Illinois</td>
<td>NM</td>
<td>New Mexico</td>
<td>WA</td>
<td>Washington</td>
</tr>
<tr>
<td>IN</td>
<td>Indiana</td>
<td>NY</td>
<td>New York</td>
<td>WV</td>
<td>West Virginia</td>
</tr>
<tr>
<td>IA</td>
<td>Iowa</td>
<td>NC</td>
<td>North Carolina</td>
<td>WI</td>
<td>Wisconsin</td>
</tr>
<tr>
<td>KS</td>
<td>Kansas</td>
<td>ND</td>
<td>North Dakota</td>
<td>WY</td>
<td>Wyoming</td>
</tr>
<tr>
<td>KY</td>
<td>Kentucky</td>
<td>OH</td>
<td>Ohio</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
(8) **NAME:** Local Office  
**SHORT NAME:** locoff  
**Field Type:** Character (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`.

(9) **NAME:** Investigator Identification  
**SHORT NAME:** invid  
**Field Type:** Smallint (2)  
**Edits:** The edits of this field are state dependent. Specifically, the values used for validation can be derived from `uidb.b_uaf.id`.

(10) **NAME:** Primary Method Claimant Information Obtained  
**SHORT NAME:** methinfoobt  
**Field Type:** Character (2)  
**Edits:**  
First position is reserved for minus sign.  
Must be 1, 2, 3, or -1.  
Must be -2 if 90-Action Flag is 8.

(11) **NAME:** U.S. Citizen  
**SHORT NAME:** citizen  
**Field Type:** Character (2)  
**Edits:**  
First position is reserved for minus sign.  
Must be 1, 2, 3, or -1.  
Can be -2 if 90-Action Flag is 8.

(12) **NAME:** Date of Birth  
**SHORT NAME:** dob  
**Field Type:** Date (MM/DD/YYYY)  
**Edits:**  
Must be 1900 ~ Current.  
Cannot be later than 24-Benefit Year Beginning.  
Can be “01/01/0001”.  
Can be “02/02/0002” if 90-Action Flag is 8.

(13) **NAME:** Gender  
**SHORT NAME:** gender  
**Field Type:** Character (2)  
**Edits:**  
Must be 1, 2, or -1.  
Can be -2 if 90-Action Flag is 8.
(14) **NAME:** Race / Ethnic Classification  
**SHORT NAME:** ethnic  
**Field Type:** Character (2)  
**Edits:** Must be a valid code from the table below.  
Can be 99.  
Can be -2 if 90-Action Flag is 8.

<table>
<thead>
<tr>
<th>FIRST POSITION</th>
<th>SECOND POSITION</th>
<th>0 – Not Hispanic or Latino</th>
<th>1 – Hispanic or Latino</th>
<th>9 – Ethnicity Unknown</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – White</td>
<td></td>
<td>01</td>
<td>11</td>
<td>91</td>
</tr>
<tr>
<td>2 – Black or African American</td>
<td></td>
<td>02</td>
<td>12</td>
<td>92</td>
</tr>
<tr>
<td>3 – Asian</td>
<td></td>
<td>03</td>
<td>13</td>
<td>93</td>
</tr>
<tr>
<td>4 – American Indian or Alaska Native</td>
<td></td>
<td>04</td>
<td>14</td>
<td>94</td>
</tr>
<tr>
<td>5 – Native Hawaiian or Other Pacific Islander</td>
<td></td>
<td>05</td>
<td>15</td>
<td>95</td>
</tr>
<tr>
<td>6 – Multiple Categories Reported</td>
<td></td>
<td>06</td>
<td>16</td>
<td>96</td>
</tr>
<tr>
<td>9 – Race Unknown</td>
<td></td>
<td>09</td>
<td>19</td>
<td>99</td>
</tr>
</tbody>
</table>

(15) **NAME:** Education  
**SHORT NAME:** educ  
**Field Type:** Character (2)  
**Edits:** Must be 00, 01 to 12, 14 to 16, 20, or -1.  
Can be -2, if 90-Action Flag is 8.

(16) **NAME:** Vocational or Technical School Training  
**SHORT NAME:** voctech  
**Field Type:** Character (2)  
**Edits:** First position is reserved for minus sign  
Must be 1, 2, 3, -1, or -2.  
Must be -2, if 90-Action Flag is 8.

(17) **NAME:** Training Status  
**SHORT NAME:** trainstat  
**Field Type:** Character (2)  
**Edits:** Must be 00, 11 to 14, 21 to 24, -1, or -2.  
Must be -2 if 90-Action Flag is 8.
(18) **NAME**: Occupation Code for Usual Job  
**SHORT NAME**: usualocc  
**Field Type**: Character (3)  
**Edits**: The first two digits must be a valid code from the table below.  
Must be -2 if **90-Action Flag** is 8.

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

(19) **NAME**: Occupation Code (Seeking Work)  
**SHORT NAME**: seekocc  
**Field Type**: Character (3)  
**Edits**: The first two digits must be a valid code from the table in **18- Occupation Code for Usual Job**.  
Must be -2 if **90-Action Flag** is 8.

(20) **NAME**: Normal Hourly Wage, Usual Job  
**SHORT NAME**: ushrwage  
**Field Type**: Money (5,2)  
**Edits**: Must be in the validation range set by SWA.  
Must be -2 if **90-Action Flag** is 8.

(21) **NAME**: Lowest Acceptable Hourly Wage  
**SHORT NAME**: lohrwage  
**Field Type**: Money (5,2)  
**Edits**: Must be in the validation range set by SWA.  
Must be -2 if **90-Action Flag** is 8.
BENEFIT YEAR INFORMATION

(22) NAME: Program Code
SHORT NAME: program
Field Type: Character (1)
Edits: Must be 1 to 8

(23) NAME: Combined Wage Claim
SHORT NAME: cwc
Field Type: Numeric (1)
Edits: Must be 1 to 6.
Cannot be 1 or 4 if 44-BP Emps. Before is 1.

(24) NAME: Benefit Year Beginning
SHORT NAME: byb
Field Type: Date (MM/DD/YYYY or MMDDYYYY)
Edits: Cannot be less than “01/01/1980”.
Can be “02/02/0002”.
Must be “02/02/0002” if 90-Action Flag is 8.
Must be earlier than or equal to the Batch Ending Date and be greater than or equal to the Batch Ending Date minus 731 days, if Claim Date is “02/02/0002”.
Must be earlier than or equal to compensable week ending date if Claim Date is not “02/02/0002”.
Cannot be more than 731 days prior to the Claim Date if Claim Date is not “02/02/0002”.
Cannot be earlier than 12-Date of Birth.

(25) NAME: Initial (New/Additional) Claim Filing Method
SHORT NAME: icfilmeth
Field Type: Character (2)
First position is reserved for minus sign.
Edits: Must be 1 to 6, -1, or -2.
Must be -2 if 90-Action Flag is 8.
Stamp Edits: Must be 1 to 6, or NULL.

(26) NAME: Benefit Rights Given
SHORT NAME: bri
Field Type: Character (4)
Edits: Must be a combination of 0 through 4, -1, or -2.
Must be -2 if 90-Action Flag is 8.
(27) NAME: Industry Code of Primary Base Period Employer  
SHORT NAME: priempsic  
Field Type: Character (4)  
Edits: First two positions of code must be a valid two-digit NAICS code defined below.  
Must be -2 if 90-Action Flag is 8.

<table>
<thead>
<tr>
<th>Code</th>
<th>Industry Description</th>
<th>Code</th>
<th>Industry Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>11</td>
<td>Agriculture, Forestry, Fishing, Hunting</td>
<td>53</td>
<td>Real Estate, Rental and Leasing</td>
</tr>
<tr>
<td>21</td>
<td>Mining</td>
<td>54</td>
<td>Professional, Scientific, and Technical Services</td>
</tr>
<tr>
<td>22</td>
<td>Utilities</td>
<td>55</td>
<td>Management of Companies and Enterprises</td>
</tr>
<tr>
<td>23</td>
<td>Construction</td>
<td>56</td>
<td>Administrative Support, Waste Management and Remediation Services</td>
</tr>
<tr>
<td>31-33</td>
<td>Manufacturing</td>
<td>61</td>
<td>Education Services</td>
</tr>
<tr>
<td>42</td>
<td>Wholesale Trade</td>
<td>62</td>
<td>Health Care and Social Assistance</td>
</tr>
<tr>
<td>44-45</td>
<td>Retail Trade</td>
<td>71</td>
<td>Arts, Entertainment and Recreation</td>
</tr>
<tr>
<td>48-49</td>
<td>Transportation and Warehousing</td>
<td>72</td>
<td>Accommodation and Food Services</td>
</tr>
<tr>
<td>51</td>
<td>Information</td>
<td>81</td>
<td>Other Services (except Public Administration)</td>
</tr>
<tr>
<td>52</td>
<td>Finance and Insurance</td>
<td>92</td>
<td>Public Administration</td>
</tr>
</tbody>
</table>

(28) NAME: Industry Code of Last Employer  
SHORT NAME: lastempsic  
Field Type: Character (4)  
Edits: First two positions of code must be a valid two-digit NAICS code defined in 27- Industry Code of Primary Base Period Employer.  
Must be -2 if 90-Action Flag is 8.

(29) NAME: Method for Filing Week Claimed  
SHORT NAME: wkfilmeth  
Field Type: Character (2)  
Edits: First position is reserved for minus sign.  
Must be 0 to 6, -1, or -2.  
Must be -2 if 90-Action Flag is 8.  
Stamp Edits: Must be 1 to 6, or NULL.

(30) NAME: Original Amount Paid and/or Offset for Denial Period / Week  
SHORT NAME: origamtpd  
Field Type: Money (5,0)  
Edits: Can be 0.  
Must be -2 if 90-Action Flag is 8.  
Must be less than or equal to 35-MBA Before.  
30-Orig Amt Paid + 69-Earn Deduct Before + 73-Other Income Deductions Before must be less than or equal to 35-MBA Before.

(31) NAME: Number of Weeks Denied Before Investigation  
SHORT NAME: wksdenbef  
Field Type: Numeric (2)  
Edits: Must be 0 to 52 (or 53), 99, or -2.  
Must be -2 if 90-Action Flag is 8.
(32) **NAME:** Number of Weeks Denied After Investigation  
**SHORT NAME:** wksdenaft  
**Field Type:** Numeric (2)  
**Edits:** Must be 0 to 52 (or 53), 99, or -2.  
Must be -2 if 90-Action Flag is 8.

(33) **NAME:** Weekly Benefit Amount (WBA) Before Investigation  
**SHORT NAME:** wbabef  
**Field Type:** Money (3,0)  
**Edits:** Must be in the range set by SWA.  
Can be 0.  
Must be -2 if 90-Action Flag is 8.  
Must be 0 if 44-BP Emps Before = 0.  
Must be less than or equal to 35-MBA Before.

(34) **NAME:** Weekly Benefit Amount (WBA) After Investigation  
**SHORT NAME:** wbaaft  
**Field Type:** Money (3,0)  
**Edits:** Must be in the range set by SWA.  
Can be 0.  
Must be -2 if 90-Action Flag is 8.  
Must be 0 if 45-BP Emps After = 0.  
Must be less than or equal to 36-MBA After.

(35) **NAME:** Maximum Benefit Amount (MBA) Before Investigation  
**SHORT NAME:** mbabef  
**Field Type:** Money (5,0)  
**Edits:** Must be in the range set by SWA.  
Can be 0.  
Must be -2 if 90-Action Flag is 8.  
Must be greater than the Remaining Balance (RB) as of Date of Determination / Compensable Week Ending Date, Before Investigation.  
Must be greater than or equal to 33-WBA Before.

(36) **NAME:** MBA After Investigation  
**SHORT NAME:** mbaaft  
**Field Type:** Money (5,0)  
**Edits:** Must be in the range set by SWA.  
Can be 0.  
Must be -2 if 90-Action Flag is 8.  
Must be 0 if 45-BP Emps After is 0.
MONETARY INFORMATION

(42) NAME: Reason for Monetary Denial Before Investigation  
SHORT NAME: monstatbef  
Field Type: Character (2)  
Edits: Must be 10 to 59.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 3 or 4.

(43) NAME: Reason for Monetary Denial After Investigation  
SHORT NAME: monstataft  
Field Type: Character (2)  
Edits: Must be 10 to 59.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 3 or 4.

(44) NAME: Number of Base Period Employers Before Investigation  
SHORT NAME: bpempbef  
Field Type: Numeric (2)  
Edits: Must be within the validation range set by SWA.  
Can be zero (0).  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 3 or 4.

(45) NAME: Number of Base Period Employers After Investigation  
SHORT NAME: bpempaft  
Field Type: Numeric (2)  
Edits: Must be within the validation range set by SWA.  
Can be zero (0).  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 3 or 4.  
34-WBA After, 36-MBA After, and 47-BP Wages After must be 0 if 45-BP Emps After is 0.  
49-HQ Wages After, 51-Wks Worked After, 53-Depend After and 55-Depend Allow After must be 0 or -2 if 45-BP Emps After is 0.

(46) NAME: Base Period Wages Before Investigation  
SHORT NAME: bpwbef  
Field Type: Money (6,0)  
Edits: Must be within the validation range set by SWA.  
Can be 0.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 3 or 4.  
Must be greater than or equal to 48-HQ Wages Before.
(47) **NAME**: Base Period Wages After Investigation  
**SHORT NAME**: bpwaft  
**Field Type**: Money (6,0)  
**Edits**: Must be within the validation range set by SWA.  
Can be 0.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 3 or 4.  
Must be 0 if 45-BP Emps After is 0.  
Cannot be 0 if 45-BP Emps After is greater than 0.  
Must be greater than or equal to 49-HQ Wages After.

(48) **NAME**: High Quarter Wages Before Investigation  
**SHORT NAME**: hqwbef  
**Field Type**: Money (5,0)  
**Edits**: Must be within the validation range set by SWA.  
Can be 0, -1, or -2.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 3 or 4.  
Must be greater than 0 if 46-BP Wages Before is greater than 0.  
Must be less than or equal to 46-BP Wages Before.

(49) **NAME**: High Quarter Wages After Investigation  
**SHORT NAME**: hqwaft  
**Field Type**: Money (5,0)  
**Edits**: Must be within the validation range set by SWA.  
Can be 0, -1, or -2.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 3 or 4.  
Must be 0 or -2 if 45-BP Emps After is 0.  
Cannot be 0 if 47-BP Wages After is not 0.  
Must be less than or equal to 47-BP Wages After.

(50) **NAME**: Number of Weeks Worked in BP Before Investigation  
**SHORT NAME**: bpwksbef  
**Field Type**: Numeric (3)  
**Edits**: Must be within the validation range set by SWA.  
Can be -2 if not required by state law for eligibility.  
Must be greater than 0 or -2 if 44-BP Emps Before is greater than 0 and 46-BP Wages Before is greater than 0.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 3 or 4.  
**Stamp Edits**: Must be 0 to 53, -2, or NULL.
(51) NAME: Number of Weeks Worked in BP After Investigation
SHORT NAME: bpwksaft
Field Type: Numeric (3)
Edits: Must be within the validation range set by SWA.
Can be -2 if not required by state law for eligibility.
Must be 0 or -2 if 45-BP Emps After is 0.
Must be greater than 0 or -2 if 45-BP Emps After is greater than 0 and 47-BP Wages After is greater than 0.
Must be -2 if 90-Action Flag is 8.
Must -2 if Sample Type is 3 or 4.
Stamp Edits: Must be 0 to 53, -2, or NULL.

(52) NAME: Number of Dependents Claimed Before Investigation
SHORT NAME: depbef
Field Type: Numeric (2)
Edits: Must be within the validation range set by SWA.
Must be 0 if 54-Depend Allow Before is 0.
Cannot be 0 if 54-Depend Allow Before is 0.
Must be -2 if 54-Depend Allow Before is -2.
Cannot be -2 if 54-Depend Allow Before is -2.
Must be -2 if 90-Action Flag is 8.
Must -2 if Sample Type is 3 or 4.
Stamp Edits: Must -2 or NULL.
If 52-Depend Before is set to -2 or NULL then 53-Depend After, 54-Depend Allow Before, and 55-Depend Allow After will be set to -2 or NULL respectively.

(53) NAME: Number of Dependents Claimed After Investigation
SHORT NAME: depaft
Field Type: Numeric (2)
Edits: Must be within the validation range set by SWA.
Must be 0 or -2 if 45-BP Emps After is 0.
Must be 0 if 55-Depend Allow After is 0.
Cannot be 0 if 55-Depend Allow After is not 0.
Must be -2 if 55-Depend Allow After is -2.
Cannot be -2 if 55-Depend Allow After is not equal to -2.
Must be -2 if 90-Action Flag is 8.
Must -2 if Sample Type is 3 or 4.
Stamp Edits: Must -2 or NULL.
If 53-Depend After is set to -2 or NULL then 52-Depend Before, 54-Depend Allow Before, and 55-Depend Allow After will be set to -2 or NULL respectively.
(54) **NAME:** Dependents’ Allowance Before Investigation  
**SHORT NAME:** allowbef  
**Field Type:** Money (3,0)  
**Edits:** Must be within the validation range set by SWA.  
- Must be less than 33-WBA Before except for Alaska (AK)  
- Must be 0 if 52-Depend Before is 0.  
- Cannot be 0 if 52-Depend Before is greater than 0.  
- Must be -2 if 52-Depend Before is -2.  
- Cannot be -2 if 52-Depend Before is not equal to -2.  
- Must be -2 if 90-Action Flag is 8.  
- Must be -2 if Sample Type is 3 or 4.  
**Stamp Edits:** Must -2 or NULL.  
If 54-Depend Allow Before is set to -2 or NULL then 52-Depend Before, 53-Depend After, and 55-Depend Allow After will be set to -2 or NULL respectively.

(55) **NAME:** Dependents’ Allowance After Investigation  
**SHORT NAME:** allowaft  
**Field Type:** Money (3,0)  
**Edits:** Must be within the validation range set by SWA.  
- Must be less than 34-WBA After except for Alaska (AK)  
- Must be 0 or -2 if 45-BP Emps After is 0.  
- Must be 0 if 53-Depend After is 0.  
- Cannot be 0 if 53-Depend After is not 0.  
- Must be -2 if 53-Depend After is -2.  
- Cannot be -2 if 53-Depend After is not equal to -2.  
- Must be -2 if 90-Action Flag is 8.  
- Must be -2 if Sample Type is 3 or 4.  
**Stamp Edits:** Must -2 or NULL.  
If 55-Depend Allow After is set to -2 or NULL then 52-Depend Before, 53-Depend After, and 55-Depend Allow After will be set to -2 or NULL respectively.

(56) **NAME:** Monetary Redetermination  
**SHORT NAME:** monredet  
**Field Type:** Character (2)  
- First position is reserved for minus sign.  
**Edits:** Must be 1, 2 or -2.  
- Must be -2 if 90-Action Flag is 8.  
- Must be -2 if Sample Type is 3 or 4.
SEPARATION INFORMATION

(57) NAME: Separation Issue Number
SHORT NAME: sepnum
Field Type: Numeric
Edits: Must be 0 to 99 or -2.
        Default value is 0.
        Must be -2 if 90-Action Flag is 8.
        Must -2 if Sample Type is 2 or 4.

(58) NAME: Reason for Separation Determination Before Investigation
SHORT NAME: sepbef
Field Type: Character (2)
Edits: Must be 10 to 69.
        Must be -2 if 90-Action Flag is 8.
        Must -2 if Sample Type is 2 or 4.

(59) NAME: Reason for Separation After Investigation
SHORT NAME: sepaft
Field Type: Character (2)
Edits: Must be 00 to 69.
        Must be -2 if 90-Action Flag is 8.
        Must -2 if Sample Type is 2 or 4.

(60) NAME: Date of Separation Before Investigation
SHORT NAME: sepdatebef
Field Type: Date (MM/DD/YYYY or MMDDYYYY)
Edits: Cannot be less than “01/01/1900”.
        Must be less than or equal to 5-Claim Date plus 14 days, and greater than or equal to
        5-Claim Date minus 731 days if 5-Claim Date is not “02/02/0002”.
        Must be less than or equal to the Batch Week Ending Date and greater than or equal to
        the Batch Week Ending Date minus 731 days if 5-Claim Date is “02/02/0002”.
        Can be “01/01/0001”.
        Must be “02/02/0002” if 90-Action Flag is 8.
        Must “02/02/0002” if Sample Type is 2 or 4.
(61) **NAME:** Date of Separation After Investigation  
**SHORT NAME:** sepnateaft  
**Field Type:** Date (MM/DD/YYYY or MMDDYYYY)  
**Edits:** Cannot be less than “01/01/1900”. Must be less than or equal to 5-Claim Date plus 14 days, and greater than or equal to 5-Claim Date minus 731 days if 5-Claim Date is not “02/02/0002”. Must be less than or equal to the Batch Week Ending Date and greater than or equal to the Batch Week Ending Date minus 731 days if 5-Claim Date is “02/02/0002”. Can be “01/01/0001”. Must be “02/02/0002” if 90-Action Flag is 8. Must be “02/02/0002” if Sample Type is 2 or 4. Must be “02/02/0002” if 59-Reason Sep. After = “00” series.
NONSEPARATION INFORMATION

(62) NAME: Nonseparation Issue Number
SHORT NAME: sepnum
Field Type: Numeric
Edits: Must be 0 to 99 or -2.
   Default value is 0.
   Must be -2 if 90-Action Flag is 8.
   Must -2 if Sample Type is 2 or 3.

(63) NAME: Reason for Nonseparation Determination Before Investigation
SHORT NAME: nonsepbef
Field Type: Character (2)
Edits: Must be 10 to 79.
   Must be -2 if 90-Action Flag is 8.
   Must -2 if Sample Type is 2 or 3.

(64) NAME: Reason for Nonseparation Determination After Investigation
SHORT NAME: nonsepaft
Field Type: Character (2)
Edits: Must be 00 to 79.
   Must be -2 if 90-Action Flag is 8.
   Must -2 if Sample Type is 2 or 3.

(65) NAME: Recall Status Before Investigation
SHORT NAME: rclstatbef
Field Type: Character (2)
Edits: Must be 0, 1, 2, -1 or -2.
   Must be -2 if 90-Action Flag is 8.
   Must -2 if Sample Type is 2 or 3.

(66) NAME: Recall Status After Investigation
SHORT NAME: relstataft
Field Type: Character (2)
Edits: Must be 0, 1, 2, -1 or -2.
   Must be -2 if 90-Action Flag is 8.
   Must -2 if Sample Type is 2 or 3.
(67) **NAME:** Total Earnings for Week(s) Before Investigation  
**SHORT NAME:** totearnbef  
**Field Type:** Money (4,0)  
**Edits:** Can be 0 or -2.  
   - 69-Earn Deduct Before must be 0 if 67-Earnings Before is 0.  
   - Must be greater than or equal to 69-Earn Deduct Before.  
   - Must be -2 if 90-Action Flag is 8.  
   - Must -2 if **Sample Type** is 2 or 3.

(68) **NAME:** Total Earnings for Week(s) After Investigation  
**SHORT NAME:** totearnaft  
**Field Type:** Money (4,0)  
**Edits:** Can be 0 or -2.  
   - Must be greater than or equal to 70-Earn Deduct After.  
   - Must be -2 if 90-Action Flag is 8.  
   - Must -2 if **Sample Type** is 2 or 3.

(69) **NAME:** Earnings Deduction for Week(s) Before Investigation  
**SHORT NAME:** earndedbef  
**Field Type:** Money (4,0)  
**Edits:** Can be -2.  
   - Cannot exceed: 33-WBA Before x 31-No. Wks Denied Before.  
   - Must be 0 if 67-Earnings Before is 0.  
   - Must be less than or equal to 67-Earnings Before  
   - 30-Orig Amt Paid + 69-Earn Deduct Before + 73-Other Income Deduct Before must be less than or equal to 35-MBA Before.  
   - Must be -2 if 90-Action Flag is 8.  
   - Must -2 if **Sample Type** is 2 or 3.

(70) **NAME:** Earnings Deduction for Week(s) After Investigation  
**SHORT NAME:** earndedaft  
**Field Type:** Money (4,0)  
**Edits:** Cannot exceed: 34-WBA After x 32-No. Wks Denied After.  
   - Must be 0 if 68-Earnings After is 0.  
   - Must be less than or equal to 68-Earnings After  
   - 70-Earn Deduct After + 74-Other Income Deduct After must be less than or equal to 36-MBA After.  
   - Must be -2 if 90-Action Flag is 8.  
   - Must -2 if **Sample Type** is 2 or 3.
(71) **NAME:** Total Other Deductible Income for Week(s) Before Investigation  
**SHORT NAME:** othdedincbef  
**Field Type:** Money (6,0)  
**Edits:** Can be 0 or -2.  
73-Other Income Deduct Before must be 0 if 71-Other Deduct Inc Before is 0.  
Must be greater than or equal to 73-Other Income Deduct Before.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 2 or 3.

(72) **NAME:** Total Other Deductible Income for Week(s) After Investigation  
**SHORT NAME:** othdedincaft  
**Field Type:** Money (6,0)  
**Edits:** Can be 0 or -2.  
74-Other Income Deduct After must be 0 if 72-Other Deduct Inc After is 0.  
Must be greater than or equal to 74-Other Income Deduct After.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 2 or 3.

(73) **NAME:** Other Income Deductions for Week(s) Before Investigation  
**SHORT NAME:** othdedsbef  
**Field Type:** Money (5,0)  
**Edits:** Can be 0.  
Cannot exceed 33-WBA Before × 31-No Wks Denied Before.  
Must be 0 if 71-Other Deduct Inc Before is 0.  
Must be less than or equal to 73-Other Income Deduct Before.  
Must be greater than or equal to 73-Other Income Deduct Before.  
30-Orig Amt Paid + 69-Earn Deduct Before + 73-Other Income Deduct Before must be less than or equal to 35-MBA Before.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 2 or 3.

(74) **NAME:** Other Income Deductions for Week(s) After Investigation  
**SHORT NAME:** othdedsaft  
**Field Type:** Money (5,0)  
**Edits:** Can be 0.  
Cannot exceed 34-WBA After × 32-No Wks Denied After.  
Must be 0 if 72-Other Deduct Inc After is 0.  
Must be less than or equal to 72-Other Deduct Inc After.  
70-Earn Deduct After + 74-Other Income Deduct After must be less than or equal to 36-MBA After.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 2 or 3.
(75) **NAME:** Work Search Requirements  
**SHORT NAME:** wsreq  
**Field Type:** Numeric (2)  
**Edits:** Must be within the validation range set by SWA.  
- Can be 0, -1 or -2.  
- Must be -2 if 75-WS Requirement is -2.  
- Cannot be -2 if 75-WS Requirement is 1.  
- Must be -2 if 90-Action Flag is 8.  
- Must -2 if Sample Type is 2 or 3.  
**Stamp Edits:** Must be -2 or NULL.  
- Cannot be -2 if 75-WS Requirement is 1.

(76) **NAME:** Number of Job Contacts Listed  
**SHORT NAME:** jobcon  
**Field Type:** Numeric (2)  
**Edits:** Must be within the validation range set by SWA.  
- Can be 0, -1 or -2.  
- Must be -2 if 75-WS Requirement is -2.  
- Cannot be -2 if 75-WS Requirement is 1.  
- Must be -2 if 90-Action Flag is 8.  
- Must -2 if Sample Type is 2 or 3.  
**Stamp Edits:** Must be -2 or NULL.  
- Cannot be -2 if 75-WS Requirement is 1.

(77) **NAME:** Number of Job Contacts Made Prior to the Denial Period but Used to Satisfy Work Search Requirements for the Denial Period  
**SHORT NAME:** prjobcon  
**Field Type:** Numeric (2)  
**Edits:** Must be within the validation range set by SWA.  
- Can be 0, -1 or -2.  
- Must be -2 if 75-WS Requirement is -2.  
- Must be -2 if 90-Action Flag is 8.  
- Must -2 if Sample Type is 2 or 3.  
**Stamp Edits:** Must be -2 or NULL.
(78) **NAME:** Number of Work Search Contacts Investigated for Eligibility  
**SHORT NAME:** wscinv  
**Field Type:** Numeric (2)  
**Edits:** Can be 0 or -2.  
Must be -2 if 75-WS Requirement is -2.  
Must be -2 if 76-Contacts and 77-Prior Contacts are less than 0.  
Must be less than or equal to 76-Contacts if 77-Prior Contacts are less than 0.  
Must be less than or equal to 77-Prior Contacts if 76-Contacts is less than 0.  
Must be less than or equal to the total of 76-Contacts and 77-Prior Contacts.  
Must be equal to the total of: 79-Contacts Acc + 80-Contacts Unacc + 81-Contacts Unver.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 2 or 3.  
**Stamp Edits:** Must be 0, -2 or NULL.

(79) **NAME:** Number of Acceptable Work Search Contacts  
**SHORT NAME:** wsconok  
**Field Type:** Numeric (2)  
**Edits:** Can be -2.  
Must be -2 if 75-WS Requirement is -2.  
Must be -2 if 78-Contacts Inv is -2.  
Cannot be -2 if 78-Contacts Inv is not -2.  
Must be 0 if 78-Contacts Inv is 0.  
Must be less than or equal to 78-Contacts Inv.  
79-Contacts Acc + 80-Contacts Unacc + 81-Contacts Unver must be equal to 78-Contacts Inv.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 2 or 3.

(80) **NAME:** Number of Unacceptable Work Search Contacts  
**SHORT NAME:** wsconnotok  
**Field Type:** Numeric (2)  
**Edits:** Can be -2.  
Must be -2 if 75-WS Requirement is -2.  
Must be -2 if 78-Contacts Inv is -2.  
Cannot be -2 if 78-Contacts Inv is not -2.  
Must be 0 if 78-Contacts Inv is 0.  
Must be less than or equal to 78-Contacts Inv.  
79-Contacts Acc + 80-Contacts Unacc + 81-Contacts Unver must be equal to 78-Contacts Inv.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 2 or 3.
(81) **NAME:** Number of Work Search Contacts for the Denial Period that Could Not Be Verified as Either Acceptable or Unacceptable  
**SHORT NAME:** wsconunver  
**Field Type:** Numeric (2)  
**Edits:** Can be -2.  
- Must be -2 if 75-WS Requirement is -2.  
- Must be -2 if 78-Contacts Inv is -2.  
- Cannot be -2 if 78-Contacts Inv is not -2.  
- Must be 0 if 78-Contacts Inv is 0.  
- Must be less than or equal to 78-Contacts Inv.  
- 79-Contacts Acc + 80-Contacts Unacc + 81-Contacts Unver must be equal to 78-Contacts Inv.  
- Must be -2 if 90-Action Flag is 8.  
- Must be -2 if Sample Type is 2 or 3.

(82) **NAME:** Labor Exchange Registration Required  
**SHORT NAME:** jsregreq  
**Field Type:** Numeric (2)  
**Edits:** Must be 1 to 4 or -2.  
- 84-LE Deferred must be -2 if 82-LE Reg Req is 1, 3 or 4.  
- 84-LE Deferred must be 1 to 7 if 82-LE Reg Req is 2.  
- Must be -2 if 90-Action Flag is 8.  
- Must be -2 if Sample Type is 2 or 3.  
**Stamp Edits:** Must be 1 to 4, -2 or NULL.

(83) **NAME:** Actively / Currently Registered with Labor Exchange as of Determination Under Investigation  
**SHORT NAME:** jsreg  
**Field Type:** Numeric (2)  
**Edits:** Must be 1 to 4 or -2.  
- 85-LE Referrals cannot be -2 if 83-LE Reg/Services is 1.  
- 85-LE Referrals must be -2 if 83-LE Reg/Services is 2.  
- 85-LE Referrals must be 0 if 83-LE Reg/Services is 4.  
- Must be -2 if 82-LE Reg Req is -2.  
- Must be -2 if 90-Action Flag is 8.  
- Must be -2 if Sample Type is 2 or 3.  
**Stamp Edits:** Must be 1, -2 or NULL.
(84) **NAME**: Reason Labor Exchange Registration Deferred  
**SHORT NAME**: jsregdef  
**Field Type**: Numeric (2)  
**Edits**: Can be 1 to 7 or -2.  
  Must be -2 if 82-LE Reg Req is 1 or -2.  
  Must be 1 to 7 if 82-LE Reg Req is 2.  
  Must be -2 if 90-Action Flag is 8.  
  Must -2 if Sample Type is 2 or 3.  
**Stamp Edits**: Must be -2 or NULL.

(85) **NAME**: Number of Labor Exchange Referrals  
**SHORT NAME**: jsref  
**Field Type**: Numeric (2)  
**Edits**: Must be within the validation range set by SWA.  
  Can be -1 or -2.  
  Cannot be -2 if 83-LE Reg/Services is 1.  
  Can be 0 only if 83-LE Reg/Services is 1.  
  Must be -2 if 83-LE Reg/Services is -2.  
  Must be -1 if 83-LE Reg/Services is -1.  
  Must be -2 if 90-Action Flag is 8.  
  Must -2 if Sample Type is 2 or 3.

(86) **NAME**: Registered with Private Employment Agency  
**SHORT NAME**: privagreg  
**Field Type**: Numeric (2)  
**Edits**: Must be 1, 2, -1 or -2.  
  Must be -2 if 90-Action Flag is 8.  
  Must -2 if Sample Type is 2 or 3.

(87) **NAME**: Number of Private Employment Agency Referrals  
**SHORT NAME**: privagref  
**Field Type**: Numeric (2)  
**Edits**: Must be within the validation range set by SWA.  
  Cannot be -2 if 86-Regis Priv Agency is 1.  
  Must be -2 if 86-Regis Priv Agency is 2.  
  Must be -1 if 86-Regis Priv Agency is -1.  
  Must be -2 if 90-Action Flag is 8.  
  Must -2 if Sample Type is 2 or 3.
(88) **NAME:** Union Referral Status  
**SHORT NAME:** unrefstat  
**Field Type:** Numeric (2)  
**Edits:** Must be 0 to 3, -1 or -2.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 2 or 3.

(89) **NAME:** Number of Union Referrals  
**SHORT NAME:** unref  
**Field Type:** Numeric (2)  
**Edits:** Must be within the validation range set by SWA.  
Can be -2.  
Must be -2 if 88-Union Referral Status is 0,2 or 3.  
Must be -1 if 88-Union Referral Status is -1.  
Can be 0 only if 88-Union Referral Status is 1.  
Cannot be -2 if 88-Union Referral Status is 1.  
Must be -2 if 90-Action Flag is 8.  
Must -2 if Sample Type is 2 or 3.
CASE ACTION INFORMATION

(90) NAME: Action Code Flag
SHORT NAME: actflag
Field Type: Numeric (1)
Edits: Must be 0, 1, 2, 3, 8 or 9.
Can be zero (0).
If 90-Action Flag is 0 Sample Type must be Monetary (2) and 22-Program must be 2, 3, 4, 5, 6 or 7 OR 23-CWC must be 1, 3, 4 or 6.
Neither 22-Program nor 23-CWC can be NULL when 90-Action Flag is 8.

(91) NAME: Initial Determination Appealed
SHORT NAME: detapp
Field Type: Numeric (1)
Edits: Must be 0 to 3 or -2.
92-Results of Appeal of Initial Det must be 0 if 91-Initial DetAppealed is 0.
92-Results of Appeal of Initial Det must be 1 to 6 if 91-Initial Det Appealed is 1, 2 or 3.

(92) NAME: Results of Appeal of Initial Determination
SHORT NAME: apprslt
Field Type: Numeric (1)
Edits: Must be 0 to 6 or -2.
91-Initial Det Appealed must be 0 if 92-Results of Appeal of Initial Det is 0.
91-Initial Det Appealed must be 1 to 3 if 92-Results of Appeal of Initial Det is 1 or 6.
91-Initial Det Appealed must be -2 if 92-Results of Appeal of Initial Det is -2.

(93) NAME: Investigation Completed
SHORT NAME: invcomp
Field Type: Character (1)
Edits: Must be 1.
No DCI field can be NULL.
Claim Type cannot be 0 when claim date is 02/02/0002 for Sample Type 2 cases.
Claim Type cannot be greater than 0 when claim date is 02/02/0002

(94) NAME: Date Investigator Completed Case
SHORT NAME: invcompdte
Field Type: Date (MM/DD/YYYY or MMDDYYYY)
(95) **NAME**: Supervisory Review Completed  
**SHORT NAME**: suprevcomp  
**Field Type**: Character (1)  
**Edits**: Must be 0 or 1.  
Will be allowed only if 93-Inv Completed is 1.

(96) **NAME**: Date Supervisor Completed Case  
**SHORT NAME**: supcomdate  
**Field Type**: Date (MM/DD/YYYY or MMDDYYYY)

(97) **NAME**: Supervisor Login  
**SHORT NAME**: supvid  
**Field Type**: Character (8)
ERROR ISSUE INFORMATION

(98) NAME: Dollar Amount of Error  
SHORT NAME: toamt  
Field Type: Money (5,O)  
Edits: Can be 0.  
Must be 0 if 99-Action Code is 24.  
Cannot exceed state Maximum Benefit Amount (MBA) + state Maximum Dependents Allowance (b-vallim.max-val[mbaft] + b-vallim.max-val[allowaft]).

(99) NAME: Error Issue Action Code  
SHORT NAME: action  
Field Type: Character (2)  
Edits: Must be 10-16, 20-24 or 30.  
100-Cause must be 700-709 if 99-Action Code is 30.  
100-Cause must be 710-729 if 99-Action Code is 24.  
Cannot be 14 if 75-WS Requirement is -2.

(100) NAME: Error Cause  
SHORT NAME: cause  
Field Type: Character (3)  
Edits: Must be 100-159, 200-229, 300-329,400-489, 500-519, 600-639 or 700-729.  
Must be 420 if the 99-Action Code is 14.  
Must be 700-709 if 99-Action Code is 30.  
Must be 710-719 if 99-Action Code is 24.  
Must be 720-729 if 99-Action Code is 24 and Sample Type is 3 or 4.  
Must be 420 if 75-WS Requirement is -2.

(101) NAME: Error responsibility  
SHORT NAME: resp  
Field Type: Character (4)  
Edits: Cannot have an Employer Responsibility entry if 104-Prior Employer Action has a series code of 70.  
Must have an Agency Responsibility entry 103-Prior Agency Action has a series code of 30,40, 50 or 80.

(102) NAME: Error Detection Point  
SHORT NAME: detectpt  
Field Type: Character (2)  
Edits: Must be 10 to 99.
(103) **NAME:** Prior Agency Action  
**SHORT NAME:** agact  
**Field Type:** Character (2)  
**Edits:** Must be 10 to 99.  
Cannot have a series entry of 30, 40, or 50 if **101-Responsibility** does not have an Agency Responsible entry (3).

(104) **NAME:** Prior Employer Action  
**SHORT NAME:** empact  
**Field Type:** Character (2)  
**Edits:** Must be 10 to 79.  
Cannot have a series entry of 70 if 101-if **101-Responsibility** has an Employer Responsibility Code (2).

(105) **NAME:** DCA Action Appealed  
**SHORT NAME:** actapp  
**Field Type:** Character (2)  
**Edits:** Must be 10 to 79.

(106) **NAME:** DCA Prior Claimant Action  
**SHORT NAME:** clmtact  
**Field Type:** Character (2)  
**Edits:** Must be 10 to 69.
**MASTER DATA PICK UP TABLE (b-dca-master)**

**FIELD NAME:** Master Table Data Pick Up Flag  
**SHORT NAME:** data-pickup-flag  
**Definition:** The data pickup flag is used by the data pickup program. The field value is stamped automatically by any module that permits record updating. During its nightly execution, the data pickup program looks for any record that 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:** Date time (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 NAME:** Case Modification User Identification Number  
**SHORT NAME:** lockid  
**Definition:** 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:** Numeric (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 NAME: Batch Number
SHORT NAME: batch
Definition: Enter number provided as output from Mainframe computer program that selects all sample cases - indicates calendar year (YYYY) and week (WW).
Field Type: Numeric (YYYYWW)
Edits: YYYY must be greater than or equal to 1985.
WW must be between 01 and 52, inclusive.
Exception: For leap years WW is between 01 and 53.
Batch number may never be NULL.

FIELD NAME: Sequence Number
SHORT NAME: seq
Definition: 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: Numeric (2)
Edits: The sequence number cannot be NULL.
The sequence number values are from 01-99.

FIELD NAME: Sample Type
SHORT NAME: samptype
Definition: Enter the code for the type of record selected or sampled.
Field Type: Numeric (1)
Edits: 1 = Benefit payment
2 = Monetary denial
3 = Nonmonetary/Separationissue denial
4 = Nonmonetary/Nonseparationissue denial
The sample type cannot be NULL.

FIELD NAME: Error Issue Index
SHORT NAME: index
Definition: 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: Numeric (5)

FIELD NAME: Error Issue Table Data Pick-up Flag
SHORT NAME: data-pickup-flag
Field Type: Date time (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.
<table>
<thead>
<tr>
<th>FIELD NAME</th>
<th>SHORT NAME</th>
<th>Definition</th>
<th>Field Type</th>
<th>Edits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Batch Number</td>
<td>batch</td>
<td>Enter number provided as output from BAMIDCA population edit and sample selection COBOL program that selects all sample cases – indicates calendar year (YYYY) and week (WW).</td>
<td>Date week (YYYY/WW or YYYYWW)</td>
<td>YYYY must be greater than or equal to 1985. WW must be between 01 and 52, inclusive. Exception: For leap years WW is between 01 and 53. Batch number may never be NULL.</td>
</tr>
<tr>
<td>Sample Type</td>
<td>samptype</td>
<td>Enter the code for the type of record selected or sampled.</td>
<td>Numeric (1)</td>
<td>1 = Benefit payment 2 = Monetary denial 3 = Nonmonetary/separation issue denial 4 = Nonmonetary/Nonseparation issue denial</td>
</tr>
<tr>
<td>Sample Size</td>
<td>sampsize</td>
<td>Number of paid or denied UC claims in the sample.</td>
<td>Numeric (2)</td>
<td>All numeric</td>
</tr>
<tr>
<td>Population Size</td>
<td>popsize</td>
<td>Number of paid or denied UC claims in the population (sampling frame).</td>
<td>Numeric (6)</td>
<td>All numeric</td>
</tr>
<tr>
<td>Male Sample</td>
<td>malesamp</td>
<td>Number of males in the sample.</td>
<td>Numeric (2)</td>
<td>All numeric</td>
</tr>
<tr>
<td>FIELD NAME</td>
<td>Definition</td>
<td>SHORT NAME</td>
<td>Field Type</td>
<td>Edits</td>
</tr>
<tr>
<td>---------------------</td>
<td>--------------------------------------</td>
<td>------------</td>
<td>------------</td>
<td>-----------</td>
</tr>
<tr>
<td>Male Population</td>
<td>Number of males in the population.</td>
<td>malepop</td>
<td>Numeric (6)</td>
<td>All numeric</td>
</tr>
<tr>
<td>Female Sample</td>
<td>Number of females in the sample.</td>
<td>femsamp</td>
<td>Numeric (2)</td>
<td>All numeric</td>
</tr>
<tr>
<td>Female Population</td>
<td>Number of females in the population.</td>
<td>fempop</td>
<td>Numeric (6)</td>
<td>All numeric</td>
</tr>
<tr>
<td>Missing Sample Gender</td>
<td>Number of cases in the sample where gender is unknown.</td>
<td>genmisssamp</td>
<td>Numeric (2)</td>
<td>All numeric</td>
</tr>
<tr>
<td>Missing Population Gender</td>
<td>Number of cases in the population where gender is unknown.</td>
<td>genmisspop</td>
<td>Numeric (6)</td>
<td>All numeric</td>
</tr>
<tr>
<td>White Sample</td>
<td>Number in the sample whose race/ethnic code is &quot;white&quot;</td>
<td>whsamp</td>
<td>Numeric (2)</td>
<td>All numeric</td>
</tr>
<tr>
<td>White Population</td>
<td>Number in the population whose race/ethnic code is &quot;white&quot;.</td>
<td>whpop</td>
<td>Numeric (6)</td>
<td>All numeric</td>
</tr>
</tbody>
</table>
FIELD NAME:  Non-white Sample  
SHORT NAME:  nonwhsamp  
Definition:  Number in the sample whose race/ethnic code is not "white".  
Field Type:  Numeric (2)  
Edits:  All numeric

FIELD NAME:  Non-white Population  
SHORT NAME:  nonwhpop  
Definition:  Number in the population whose race/ethnic code is not "white".  
Field Type:  Numeric (6)  
Edits:  All numeric

FIELD NAME:  Ethnic Missing in Sample  
SHORT NAME:  ethmisssamp  
Definition:  Number of cases in the sample where race/ethnic group is unknown.  
Field Type:  Numeric (2)  
Edits:  All numeric

FIELD NAME:  Ethnic Missing in Population  
SHORT NAME:  ethmisspop  
Definition:  Number of cases in the population where race/ethnic group is unknown.  
Field Type:  Numeric (6)  
Edits:  All numeric

FIELD NAME:  Age under 25 years in sample  
SHORT NAME:  ageund25samp  
Definition:  Number of cases in the sample where age is less than 25.  
Field Type:  Numeric (2)  
Edits:  All numeric

FIELD NAME:  Age under 25 years in population  
SHORT NAME:  ageund25pop  
Definition:  Number of cases in the population where age is less than 25.  
Field Type:  Numeric (6)  
Edits:  All numeric

FIELD NAME:  Age 25 - 34 in Sample  
SHORT NAME:  age25-34samp  
Definition:  Number of cases in the sample where age is 25 to 34 inclusive.  
Field Type:  Numeric (2)  
Edits:  All numeric

May/2005
FIELD NAME: Age 25 - 34 in Population  
SHORT NAME: age25-34pop  
Definition: Number of cases in the population where age is 25 to 34 inclusive.  
Field Type: Numeric (6)  
Edits: All numeric

FIELD NAME: Age 35 - 44 in Sample  
SHORT NAME: age35-44samp  
Definition: Number of cases in the sample where age is 35 to 44 inclusive.  
Field Type: Numeric (2)  
Edits: All numeric

FIELD NAME: Age 35 - 44 in Population  
SHORT NAME: age35-44pop  
Definition: Number of cases in the population where age is 35 to 44 inclusive.  
Field Type: Numeric (6)  
Edits: All numeric

FIELD NAME: Age 45 - 64 in Sample  
SHORT NAME: age45-64samp  
Definition: Number of cases in the sample where age is 45 to 64 inclusive.  
Field Type: Numeric (2)  
Edits: All numeric

FIELD NAME: Age 45 - 64 in Population  
SHORT NAME: age45-64pop  
Definition: Number of cases in the population where age is 45 to 64 inclusive.  
Field Type: Numeric (6)  
Edits: All numeric

FIELD NAME: Age 65+ in Sample  
SHORT NAME: age65oversamp  
Definition: Number of cases in the sample where age is 65 and over.  
Field Type: Numeric (2)  
Edits: All numeric

FIELD NAME: Age 65+ in Population  
SHORT NAME: age65overpop  
Definition: Number of case in the population where age is 65 and over.  
Field Type: Numeric (6)  
Edits: All numeric
FIELD NAME: Age unknown in Sample
SHORT NAME: agemisssamp
Definition: Number of cases in the sample where age is missing.
Field Type: Numeric (2)
Edits: All numeric

FIELD NAME: Age unknown in Population
SHORT NAME: agemisspop
Definition: Number of cases in the population where age is missing.
Field Type: Numeric (6)
Edits: All numeric

FIELD NAME: UI Program Codes within the Sample
SHORT NAME: uiprogssamp
Definition: Number of cases in the sample that are UI Program Codes (1 - 4).
Field Type: Numeric (2)
Edits: All numeric

FIELD NAME: UI Program Codes within the Population
SHORT NAME: uiprogpop
Definition: Number of cases in the population that are UI Program Codes (1 - 4)
Field Type: Numeric (6)
Edits: All numeric

FIELD NAME: Federal Program Codes within the Sample
SHORT NAME: fedprogsamp
Definition: Number of cases in the sample that are federal Program Codes (5 - 7).
Field Type: Numeric (2)
Edits: All numeric

FIELD NAME: Federal Program Codes within the Population
SHORT NAME: fedprogpop
Definition: Number of cases in the population that are federal Program Codes (5 - 7).
Field Type: Numeric (6)
Edits: All numeric

FIELD NAME: Case Program Code Unknown in Sample
SHORT NAME: progmisssamp
Definition: Number of cases in the sample in which the Program Codes are unknown.
Field Type: Numeric (2)
Edits: All numeric
FIELD NAME: Case Program Code Unknown in Population  
SHORT NAME: progmisspop  
Definition: Number of cases in the population in which the Program Codes are unknown.  
Field Type: Numeric (6)  
Edits: All numeric

FIELD NAME: Comparison Table Data Pick Up Flag  
SHORT NAME: data-pickup-flag  
Definition: The data pickup flag is used by the data pickup program. The field value is stamped automatically by any module that permits record updating. During its nightly execution, the data pickup program looks for any record that 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: Date time (YYYY-MM-DD hh:mm:ss)
### Case Assignment Table (b-dca-assigndate)

<table>
<thead>
<tr>
<th>FIELD NAME</th>
<th>SHORT NAME</th>
<th>Definition</th>
<th>Field Type</th>
<th>Edits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Batch Number</td>
<td>batch</td>
<td>Enter number provided as output from Mainframe computer program that selects all sample cases - indicates calendar year (YYYY) and week (WW).</td>
<td>Date week (YYYY/WW or YYYYWW)</td>
<td>YYYY must be greater than or equal to 1985. WW must be between 01 and 52, inclusive. Exception: For leap years WW is between 01 and 53. Batch number may never be NULL.</td>
</tr>
<tr>
<td>Sequence Number</td>
<td>seq</td>
<td>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.</td>
<td>Numeric (2)</td>
<td>The sequence number cannot be NULL. The sequence number values are from 01-99.</td>
</tr>
<tr>
<td>Sample Type</td>
<td>samptype</td>
<td>Enter the code for the type of record selected or sampled.</td>
<td>Numeric (1)</td>
<td>1 = Benefit payment 2 = Monetary denial 3 = Nonmonetary/separation issue denial 4 = Nonmonetary/Nonseparation issue denial</td>
</tr>
<tr>
<td>Assigndate Index</td>
<td>index</td>
<td>Internal index key entered by DCA software. The index field keeps track of how many times a case record was reassigned for modification.</td>
<td>Numeric (5)</td>
<td>The sample type cannot be NULL.</td>
</tr>
<tr>
<td>Assignment Date</td>
<td>assigndate</td>
<td>The assignment date records when the case was assigned or reassigned. The date is auto-stamped by the DCA software during assignment/reassignment.</td>
<td>Date (MMDDYYYY)</td>
<td></td>
</tr>
</tbody>
</table>
FIELD NAME: Investigator Identification  
SHORT NAME:  invid  
Definition: 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: Numeric (2)

FIELD NAME: Supervisor Identification  
SHORT NAME: supid  
Definition: 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: Numeric (2)

FIELD NAME: Assignment Flag  
SHORT NAME: assignflag  
Definition: 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 (1)  
Edits: 0 = The case has been assigned.  
1 = The case has been reassigned.

FIELD NAME: Assignment Table Data Pick-up Flag  
SHORT NAME: data-pickup-flag  
Definition: The data pickup flag is used by the data pickup program. The field value is stamped automatically by any module that permits record updating. During its nightly execution, the data pickup program looks for any record that 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: Date time 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.
Reopen Case Table (b-dca-reopen)

FIELD NAME: Batch Number
SHORT NAME: batch
Definition: Enter number provided as output from Mainframe computer program that selects all sample cases - indicates calendar year (YYYY) and week (WW).
Field Type: Date week (YYYY/WW or YYYYWW)
Edits: YYYY must be greater than or equal to 1985.
WW must be between 01 and 52, inclusive.
Exception: For leap years WW is between 01 and 53.
Batch number may never be NULL.

FIELD NAME: Sequence Number
SHORT NAME: seq
Definition: 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: Numeric (2)
Edits: The sequence number cannot be NULL. The sequence number values are from 01-99.

FIELD NAME: Sample Type
SHORT NAME: samptype
Definition: Enter the code for the type of record selected or sampled.
Field Type: Numeric (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 NAME: Reopen Index
SHORT NAME: index
Definition: 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: Numeric (5)
FIELD NAME:  Reopen Case  
SHORT NAME:  reoptype  
Definition:  Enter one of the following codes. Entries will automatically enter the current date in the next computer field.  
3 = when SWA realizes an error is 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:  Numeric (1)  
Edits:  Must be "3", "4", "5", or "6".

FIELD NAME:  Reopen Case Date  
SHORT NAME:  reopdate  
Definition:  The current system date is auto stamped by the DCA software when the reopen type is 3, 4, or 5.  
Field Type:  Date (MMDDYYYY)

FIELD NAME:  Reopen Case Identification  
SHORT NAME:  reopid  
Definition:  The login ID of the person performing the reopen function. This value will be auto stamped via the DCA software.  
Field Type:  Character (1)

FIELD NAME:  Reopen Table Data Pick-up Flag  
SHORT NAME:  data-pickup-flag  
Definition:  The data pickup flag is used by the data pickup program. The field value is stamped automatically by any module that permits record updating. During its nightly execution, the data pickup program looks for any record that 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:  Date time (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).
Database Description

Naming Conventions

The DCA system utilizes the following naming conventions within the UI database:

- Each table will have a prefix of **b-dca-xxxx**. (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 that 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.

Denials Tables

<table>
<thead>
<tr>
<th>DENIED CLAIMS ACCURACY TABLES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Table Name</td>
</tr>
<tr>
<td>--------------------------</td>
</tr>
<tr>
<td>b-dca-comparison</td>
</tr>
<tr>
<td>b-dca-master</td>
</tr>
<tr>
<td>b-dca-errisu</td>
</tr>
<tr>
<td>b-dca-assigndate</td>
</tr>
<tr>
<td>b-dca-reopen</td>
</tr>
</tbody>
</table>

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.
### Primary Keys

<table>
<thead>
<tr>
<th>FIELD</th>
<th>KEY</th>
<th>DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>batch</td>
<td>Primary</td>
<td>Batch identifies the year (YYYY) and week (WW) of the record. The format of the field is: YYYYWW.</td>
</tr>
<tr>
<td>seq</td>
<td>Primary</td>
<td>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.</td>
</tr>
<tr>
<td>samptype</td>
<td>Primary</td>
<td>Sample Type identifies the specific record type within the batch. 1 - BAM paid claim 2 - Monetary denials 3 - Separation denials 4 - Nonmonetary nonseparation denials</td>
</tr>
</tbody>
</table>

Example: **batch** = 200003; **seq** = 3; **samptype** = 2 identifies the record as the third sampled monetary denied case within the third week of 2000.
Database Schema Master Table (b-dca-master-)

**ssn char(9) not null constraint**, allowbef money(3,0),
**clmdate date not null constraint**, allowaft money(3,0),
**clmtype smallint**, priempsic char(4),
**samptype smallint**, monredet char(1),
**batch integer not null constraint**, balbef money(5,0),
**seq smallint not null constraint**, balaft money(5,0),
**state char(2) not null constraint**, monstatbef smallint,
**locoff char(4) not null constraint**, monstataft smallint,
invid smallint, totearnbef money(4,0),
methinfoobt char(2), totearnaft money(4,0),
citizen char(2), earnedebef money(4,0),
educ char(2), earnedaft money(4,0),
voctech char(2), othdedincbef money(4,0),
trainstat char(2), othdedincaft money(4,0),
lastempsic char(4), othdedsbef money(4,0),
usualoc char(3), othdedsaft money(4,0),
ushrwage money(5,2), wkfilmeth char(2),
seekocc char(3), origamtpd money(5,0),
lohrwage money(5,2), wksdenbef smallint,
dob date, wksdenaft smallint,
gender char(2), wsreq smallint,
ethnic char(2), jsregreq smallint,
program char(1), jsreg smallint,
ewc smallint, jsregdef smallint,
byb date, jsref smallint,
ifilmeth char(2), privagreg smallint,
bi char(4), privagref smallint,
sepbef char(2), unrefstat smallint,
sepaf char(2), unref smallint,
sepdtebef date, unserv smallint,
sepdteaf date, unastreq smallint,
nonsepbef char(2), unast smallint,
nonsepaft char(2), jobcon smallint,
rlstatbef char(2), prjobcon smallint,
rlstataft char(2), wsconiny smallint,
bpemtpbef smallint, wsconok smallint,
bpempaft smallint, wsconnotok smallint,
bpwbef money(6,0), wscounver smallint,
bpwaft money(6,0), actflag smallint,
hqwbef money(5,0), dctapp smallint,
hquaft money(5,0), apprslt smallint,
hqwbksbef smallint, invcomp char(1),
hqwksaft smallint, invcommpdate date,
bpwbef money(3,0), supcomp char(1),
bpwaft money(3,0), supcommpdate date,
mbbef money(5,0), suplogin char(10),
mbaft money(5,0), lockid smallint,
mwksbef smallint, data-pickup-date datetime year to minute,
Comparison Table (b-dca-comparison)

<table>
<thead>
<tr>
<th>Column Name</th>
<th>Type</th>
<th>Constraint</th>
</tr>
</thead>
<tbody>
<tr>
<td>batch</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>samptype</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>sampsize</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>popsize</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>malesamp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>malepop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>femsamp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>fempop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>genmisssamp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>genmisspop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>whsamp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>whpop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>nonwhsamp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>nonwhpop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>ethmissamp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>ethmisspop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>ageund25samp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>ageund25pop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>age25-34samp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>age25-34pop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>age35-44samp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>age35-44pop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>age45-64samp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>age45-64pop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>age65oversamp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>age65overpop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>agemissamp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>agemisspop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>uiprogssamp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>uiprogpop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>fedprogsamp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>fedprogpop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>progmisssamp</td>
<td>smallint</td>
<td>not null constraint</td>
</tr>
<tr>
<td>progmisspop</td>
<td>integer</td>
<td>not null constraint</td>
</tr>
<tr>
<td>data-pickup-date</td>
<td>datetime</td>
<td>year to minute</td>
</tr>
</tbody>
</table>
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
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