APPENDIX "C"

INVESTIGATIVE GUIDE

Investigative Guide
Source, Action, and Documentation

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:

- That all procedures of the BAM process are being followed.

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

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

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

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

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

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
	PART B - CLAIMANT INFORMATION		
1. Method Clm't Info Obtained	Questionnaire Case Documentation	None if obtained	Explanation if not Obtained
2. U.S. Citizen	Questionnaire SESA Records Alien Reg. Card Employer(s) Immigration	-If citizen - None -If not, verify status with INS	Photocopy Alien Reg. Card INS Report Factfinding statement if an issue
3. Education	Questionnaire Job Service Records	None	None
4. Voc/Tech Training	Questionnaire Job Service Records	Compare sources to determine proper code	None
5. Currently in Training	Questionnaire SESA Records Training Facility 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	Verify and compare information from sources to determine proper code	Factfinding statement if applicable

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
		PART B - CLAIMANT INFORMATION (Continued)	
6. Last Occupation	Employer SESA Records Questionnaire proper code	Verify and compare information from sources to determine	Separating Employer Verification and claimant questionnaire
7. Primary Occupation	Employer SESA Records Questionnaire	Compare sources to Determine proper code	BAM Wage Verification
8. Normal Hourly Wage	Employer Questionnaire SESA Records	Compare sources to determine proper code	BAM Wage Verification
9. Seeking Work Occupation	Questionnaire SESA Records Job Service if reg.	Review claimant's interest and work history to determine proper code	Factfinding Statement if an issue
10. Lowest Wage will accept	Questionnaire SESA Records	Compare claimant's wage demand to prevailing wage for occupation	Factfinding Statement ir Wage Restriction
11. Date of Birth	Questionnaire SESA Records Drivers License	Compare sources for consistency Review with claimant	None
12. Sex	Questionnaire SESA Records Observation	Compare sources for consistency	None
13. Ethnic Group	Questionnaire SESA Records Observation	Compare sources for consistency	None

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
		PART C - BENEFIT YEAR INFORMATION	
1. Program Code	SESA Records Employer(s) records	Verify accuracy during Wage verification	Wage Verification
2. Combined Wage Claim	SESA Records Employer(s) records	Review work history with claimant. Verify with employer during wage verification	Wage Verification IB-4 copy
3. Benefit Year Beginning	SESA Records	Compare initial claim filing date to BYB	Initial Claim
4. Init./AC Clm Filing Method	SESA Records	None	Initial Claim
5. Benefit Rights Given	SESA Records Questionnaire	Compare sources for consistency	Copy of BRI Record
6. Number of ERPs	SESA Records	Sum from SESA Records	Copy of ERI Record
7. Last ERP Date	SESA Records	None	Copy of ERI Record
8. Number of Nonsep Issues	SESA Records	Sum from SESA records	Copy of All Non-Sep Non-Mon Records
9. Number of Nonsep DQ'd	SESA Records	None	Copy of All Non-Sep Non-Mon Records

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
		PART D - SEPARATION INFORMATION	
1. Sep. Reason (Before)	SESA records	None	SESA Records
2. Sep. Reason (After)	Questionnaire Employer	Compare sources for proper determination	Factfinding Statements from Employer & Claimant
3. Date of Sep. (Before)	SESA Records	None	None
4. Date of Sep. (After)	Questionnaire Employer	Compare sources for proper data and potential unreported earnings	Factfinding Statements from employer & Claimant if an issue
5. Recall Status (Before)	SESA Records	None	Work Search Exemption Policy if applicable
6. Recall Status (After)	Employer Questionnaire SESA Records	Compare sources for proper determination	Factfinding Statements from Employer & Claimant if an issue
7. Tax Rate (Last Employer)	SESA Records	None	Employer Qtrly Report
8. Industry Code(Last Employer)	Separation Employer SESA Records Questionnaire NAICS Handbook	Review sources for accurate code assignment	None

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
		PART ME - MONETARY ELIGIBILITY	
1. No. of BP Empls (Before)	Monetary Determination	None	Monetary Determination
2. No. of BP Empls (After)	Employer(s) Monetary Determination Claimant	Verify wages with all base period employers to determine proper no.	Wage Verification
3. Base Period Wages (Before)	Monetary Determination	None	Monetary Determination
4. Base Period Wages (After)	Employer(s) Monetary Determination	Verity wages with all Base period employers to determine proper amount	Wage Verification
5. High Qtr Wages (Before)	Monetary Determination State Records	None	Monetary Determination SESA Records
6. High Qtr Wages (After)	Employer(s) Monetary Determination Claimant	Verify wages with base period employers to determine proper amount	Wage Verification
7. BP Wks Worked (Before)	SESA Records	None	Monetary Determination
8. BP Wks Worked (After)	SESA Records	Verify weeks with Employer(s) to determine proper number	Wage Verification Base Period Employer
9. WBA (Before)	Monetary Determination	None	Monetary Determination

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
		PART ME - MONETARY ELIGIBILITY (Continued)	
10. WBA (After)	Employer(s) Monetary Determination Claimant	Verify that WBA is based on employ./wage verification	Wage Verification Monetary Redetermination if applicable
11. MBA (Before)	Monetary Determination	None	Monetary Determination
12. MBA (After)	Employer(s) Monetary Determination	Verify that MBA is based on employ./wage	Wage Verification Monetary Redetermination if applicable
13. # Dependents Claimed (Before)	SESA Records	None	None
14. # Dependents Claimed (After)	Questionnaire SESA Records	Verify as required by SESA procedures	Verification document(s) Dependent Award
15. Dependent Allowance (Before)	SESA Records	None	None
16. Dependent Allowance (After)	Questionnaire Dependency SESA Records	Compare sources to determine correct amount	Dependent Award (Monetary Determination)
17. Primary BP Employ Industry	Employer(s) SESA Records NAICS	Review Sources for accurate code	Wage Verification
18. Monetary Redet. (Before)	Monetary Redetermination	None	Copy of Redetermination

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION

<div align="center">PART ME - MONETARY ELIGIBILITY (Continued)</div>

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
19. Remaining Balance	Benefit History	None	Benefit History

<div align="center">PART F - BENEFIT PAYMENT HISTORY</div>

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
1. Amt KW Earnings (Before)	SESA records Benefit History Weekly Certification	Compare sources to determine proper amount	SESA records Benefit History Weekly Certification
2. Amt KW Earnings (After)	Employer(s) Questionnaire SESA Records	Compare sources to determine proper amount	Factfinding statement re: wage verification if applicable
3. Earn. Deduction (Before)	SESA Records Benefit History Weekly Certification	Compare sources to determine earnings deduction	SESA records Benefit History Weekly Certification
4. Earn. Deduction (After)	Employer(s) Questionnaire SESA records	Compare sources to determine proper amount deducted	Wage Verification
5. Other Deductible Income (Before)	SESA records Benefit History Weekly Certification	compare sources to determine all other deductible income	SESA records Benefit History Weekly Certification
6. Other Deductible Income (After)	Employer(s) Questionnaire	compare sources to determine proper amount	Wage Verifications Pension Verification if applicable

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DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
		PART F - BENEFIT PAYMENT HISTORY (Continued)	
7. Other Deductions (Before)	SESA Records Benefit History Weekly Certification	Compare sources to determine amount of deduction	SESA records Benefit History Weekly certification
8. Other Deductions (After)	Employer(s) Questionnaire	compare sources to determine proper amount deducted	Wage Verifications Pension Verification
9. 1st Comp Wk. Ending Date	SESA Records	None	Benefit History
10. Date of First Payment	SESA Records	None	Benefit History
11. KW Filing Method	SESA Records	None	Key Week Certification
12. KW Cert. Procedure	SESA Records	None	Key Week Certification
13. Amount Paid/Offset	SESA Records	None	Benefit History

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
		PART G - REGISTRATION/WORK SEARCH INFORMATION	
1. Required to Seek Work	SESA Records	If required to seek work, obtain official policy/requirement	Agency Policy Statement
2. JS Registration Required	SESA Records	If JS Reg. required obtain official policy/requirement	Agency Policy Statement

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
PART G - REGISTRATION/WORK SEARCH INFORMATION			
3. Registered with JS	SESA records Questionnaire Status with JS	Verify if claimant is referable	ES 511 Records
4. Reason JS Reg. Deferred	SESA Records Questionnaire	If Deferred, obtain explanation, i.e. official policy	Deferral explanation
5. Number of JS Referrals	SESA Records Questionnaire	Compare sources to determine proper number	ES 511 Records
6. Priv. Employ. Reg.	Questionnaire	None	None
7. # Priv. Employ. Referrals	Questionnaire Private Employment Agency	If Info available, verify as part of verification	Work Search Verification
8. Union Referral Status	Union SESA Records Questionnaire	Verify with Union claimant's standing and its effect on eligibility	Union Verification Factfinding statement if applicable
9. # of Union Referrals during KW	Union	Sum of sources Questionnaire	Union Verification
10. # Wk Search Contacts For Key Week	Employer(s) Unions Priv. Empls. Agencies Questionnaire	Sum from all sources	None
11. # Work Search Contacts Outside Key Week	SESA Records Employer(s) Unions Priv. Employ. Agencies	Sum from all sources	None

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
PART G - REGISTRATION/WORK SEARCH INFORMATION (Continued)			
12. # of WSC Investigated	Employer(s) Unions Priv. Employ. Agencies	Sum of all sources contacted for verification	Work Search Verification for each source
13. # of WSC Acceptable	Employer(s) Unions Priv. Employ. Agencies	Record No. of contacts verified as valid	Work Search Verification
14. # of WSC Unacceptable	Employer(s) Unions Priv. Employ. Agencies	Record No. of contacts verified as invalid Conduct factfinding on Work Search Issue	Work Search Verification Explanation in SOI Factfinding Statement if applicable
15. # of WSC Unverifiable	Employer(s) Unions Priv. Employ. Agencies	Record number of contacts that couldn't be verified	Work Search Verification Explanation in SOI

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
PART H - ERROR CLASSIFICATION/COMPLETION INFORMATION			
1. Action Code	BAM Investigative File	None on proper payment. Appropriate action on improper payments	Explanation in Summary Copy of Official Agency Actions, if applicable
2. Amount Claimant Should Have Been Paid	BAM Investigative File	None on proper payment. Compute correct amount for improper payments.	Explanation in Summary copy of Official Agency Actions, if applicable
3. Total $ Amount of Overpayment (including Key Week)	BAM Investigative File	Determine sum of Overpayment & complete official action	summary of Investigation Copy of Official Agency Action

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DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
PART H - ERROR CLASSIFICATION/COMPLETION INFORMATION			
4. Total $ Amount of Underpayments (including Key Week)	BAM Investigative File	Determine sum of Underpayment & complete official action	Monetary Predeterminations Print-out of Supplemental Check(s)
5. Total Overpayment for Key Week	BAM Investigative File	Determine amount of Key Week over-payment & complete official action, if applicable	Explanation in Summary copy of Official Agency Actions, if applicable
6. Total Underpayment for Key Week	BAM Investigative File	Determine amount of Key Week under-payment & complete official action, if applicable	Explanation in Summary copy of Official Agency Actions, if applicable
7. Investigation Completed	Investigator	All investigation information is complete & entered in the Data Base	Summary of Investigation
8. Investigation Completed Date	BAM System Generated	None	None
9. Supervisory Review Completed	BAM Supervisor	All Official Action completed & approval code entered	Supervisor sign off
10. Supervisor Completed Date	BAM System Generated	None	None
11. Supervisor ID	BAM System Generated	None	None

DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
		PART I - ERROR ISSUE(S) CLASSIFICATION	
1. Dollar Amount of Key Week Error	BAM Investigative File	Determine Amount if applicable	Explanation in Summary Copy of Official Agency Action, if applicable
2. KW Action	BAM Investigative File	complete Error Classification Procedures	Explanation in Summary Copy of Official Agency Action, if applicable
3. Error Cause (a) By unreported/incorrect earnings/day/hours due to:	BAM investigative File Classification	Complete Error Copy of Official Agency Procedures	Explanation in Summary Copy of Official Agency Action, if applicable
(b) BP unreported/incorrect earnings/days/hours due to:			
(c) Separation issues due to:			
(d) Eligibility issues due to:			
(e) Dependents' allowance incorrect due to:			
(f) Other causes due to:			
4. Error Responsibility	BAM Investigative File	complete Error Classification Procedures	Explanation in Summary Copy of Official Agency Action, if applicable
5. Detection Point	BAM investigative File	Complete Error Classification Procedure	Explanation in Summary Copy of Official Agency Action, if applicable
6. Prior Agency Action	BAM Investigative File	Complete Error Classification Procedures	Explanation in Summary Copy of Official Agency Action, if applicable

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DATA ELEMENTS	DATA SOURCE	ACTION REQUIRED	DOCUMENTATION
		PART I - ERROR ISSUE(S) CLASSIFICATION	
7. Prior Employer Action	BAM Investigative File	Complete Error Classification	Explanation in Summary Copy of Official Agency Action, if applicable
8. Appeal Action	BAM Investigative File	Complete Error Classification Procedures	Explanation in Summary Copy of Official Agency Action, if applicable
		ASSIGN DATE TABLE	
Batch Number	BAM System Generated	Compare to correct number assignment from OWS issuance	None
Sequence Number	BAM System Generated	None	None
Case Type	BAM System Generated	Verify whether regular Core BAM or special purpose or study	None
Assignment index	BAM System Generated	None	None
Assignment Date	BAM System Generated	None	None
Investigator ID	ID Number Assigned by Supervisor	Compare to list of Valid investigator ID Numbers	None
BAM Supervisor ID	Staffing File	Compare to list of Valid BAM supervisor ID numbers	None
Assignment/Reassignment Code	BAM System Generated	None	None

Batch Number	See Master Table	None	None
Sequence Number	See Master Table	None	None
Case Type	See Master Table	None	None
Reopen Case	BAM investigative File	Verify correct code has been entered and	None
Reopen Case Date	BAM System Generated	None	None
Reopen Case identification	Staffing File	Compare to List of Valid ID Numbers	None
Reopen Case Date	BAM System Generated	None	None