

CHECKLIST FOR SUBSEQUENT REVIEW

1. Methods and Procedures

a. Staffing and Resources. Is the number of staff assigned to QC and engaged in QC operations the same number as that in the allocation?

b. Organization

(1) Does the QC supervisor report to one of the following?

(a) A person who has no staff or line responsibility for any function audited by QC.

(b) The head or deputy head of the SESA.

(c) The head or deputy head of UI, or equivalent, who has staff or line management responsibility for other functions and activities in addition to benefits.

(2) Are the QC Supervisor and investigators covered by the State Merit System?

(3) Have no impediments (policies or procedures) been placed to the QC unit's access to the records or data bases necessary to carry out its functions?

c. Authority. Does one or more of the following describe the way determinations/redeterminations are issued?

(1) The SESA's written policies and procedures give the QC unit the authority to issue determinations/redeterminations when errors are found in a case.

(2) The SESA's written policy and procedures give the QC unit authority to instruct another unit to issue a determination/redetermination in accordance with the QC findings.

(3) Another unit has authority to issue determinations/redeterminations submitted by QC, and a mechanism is in place to have a higher authority resolve any disagreements between the QC unit and the unit that will issue the determination/redetermination.

d. Written Procedures

(1) Does the SESA QC Operations Handbook cover all investigative and administrative functions of the QC unit? These functions include but are not limited to:

- Responsibilities of QC staff
- Support - Data Processing
- Maintaining data files
- Sampling
- Assignment of cases
- Investigations
- Coding/error classification
- Records - data input, documentation, retention
- Relationships with other SESA units - BPC, Benefits, Tax, Appeals, LO's, JS
- Process for making determinations resulting from QC investigations
- Procedures for obtaining necessary dependency information, if applicable
- Procedures for contacts with non-English speaking claimants
- Others

(2) Have the procedures been adapted to particular circumstances of the State? These would include the following:

- Work search requirements, including union members
- ES registration requirements
- Law/policy which prohibits, in certain circumstances, prescribed QC procedures from being taken
- Others

(3) Have the contents of ET Handbook No. 395 been properly incorporated into the QC procedures and do they follow SESA procedures?

(a) Are the investigative procedures designed to accord with standard SESA fact-finding practices?

(b) Do the SESA procedures specify that hearings be attended by the investigator with first-hand knowledge of information from the QC investigation?

(c) Do the procedures conform to ET Handbook chapters concerning investigation, documentation, and data collection? (Refer to the Investigative Guide, Appendix C, of ETA Handbook No. 395.)

(d) Do the procedures include case completion timeliness as stated in section 13, chapter VI of ET Handbook No. 395?

(e) Do the procedures state that a case is complete when the investigation is concluded, all official actions (except appeals) have been concluded, results of the investigation have been entered into the system, and the supervisor has signed off?

e. Claimant Questionnaire

(1) Is the SESA using the standard Claimant Questionnaire, adapted to fit State laws? The following items and issues may be the source of SESA modification:

- SESA terminology
- Dependency allowances
- Base period separations
- Base period wages
- Lag period separations
- Work search requirements
- Union membership
- ES registration
- Income during Key Week
- Others

(2) If the Claimant Questionnaire was modified, has the SESA received written approval from the Department?

(3) If State law contains dependency allowance provisions, have appropriate questions been added to the Questionnaire and approved by the Department?

(4) If the Questionnaire has been translated into another language, has it been submitted to the Department for review?

f. Forms

(1) Work Search Verification - Employer

(a) Are questions on the form adequate to determine whether claimant's work search contacts were acceptable according to the SESA requirements?

(b) Is space provided for signature of investigator and date?

(c) Is space provided for investigator to certify that information was obtained by an in-person interview?

(d) Is space provided for investigator to detail attempts to interview employer in person and, if appropriate, reasons why other means were used to obtain the information?

(e) Is space provided for the signature of the person interviewed or reasons why it could not be obtained?

(2) Work Search Verification - Labor Organization

(a) Are questions on the form adequate to determine claimant's union status per SESA written law and policy?

(b) Are questions on the form adequate to determine, according to SESA requirements, if any issues resulted from referrals to employers, referral refusals, or job refusals per SESA written law and policy?

(c) Is space provided for signature of investigator and date?

(d) Is space provided for investigator to certify that information was obtained by an in-person interview?

(e) Is space provided for investigator to detail attempts to interview union representative in person and, if appropriate, reasons why other means were used to obtain the information?

(f) Is space provided for the signature of the person interviewed or statement of reasons why it could not be obtained?

(3) Employment/Wages/Earnings Verification

(a) Are questions on the form adequate to obtain, according to SESA requirements, reason for separation from employment, base period earnings, and earnings received during the benefit year?

(b) Is space provided for signature of investigator and date?

(c) Is space provided for investigator to certify that information was obtained by an in-person interview?

(d) Is space provided for investigator to detail attempts to interview employer in person and, if appropriate, reasons why other means were used to obtain the information?

(e) Is space provided for the signature of the person interviewed or statement of reasons why it could not be obtained?

(4) Disqualifying/Deductible Income Verification

(a) Are questions on the form adequate to determine eligibility or reductions to benefits, according to SESA requirements, regarding receipt of or application for pension/income/other remuneration?

(b) Is space provided for signature of investigator and date?

(c) Is space provided for investigator to enter how the information was obtained?

(5) Authorization to Release Information. If required by the State, is the form used/developed for QC adequate according to SESA requirements?

(6) Fact-Finding Statement. Does the form used/developed for QC provide space for the signature of the person providing the information and the date?

(7) Dependency Eligibility Verification

(a) Are the questions on the form adequate to obtain, according to the SESA requirements, the information necessary to determine eligibility?

(b) Is space provided for signature of the investigator and the date?

(8) Summary of Investigation Narrative

(a) Is adequate space provided on the form to enter pertinent facts of the case?

(b) If a "fill-in-the-blank" summary is used, is it adequate to summarize pertinent facts of cases?

(c) Is space provided for signature of the investigator and date?

g. Timeliness of Case Completion. Has a minimum of 70 percent of cases been completed within 60 days of the week ending date of the batch, and has a minimum of 98 percent of cases been completed within 90 days of the week ending date of the batch?

2. Case Review

a. Have completed cases been investigated thoroughly and documented properly?

b. Have the data collected through the investigations been accurately coded and entered into the micro computer?