

CHAPTER III

PREPARING FOR THE REVIEW

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The information provided in this chapter outlines the SWA activities required in preparation for conducting the quality reviews. The activities include identifying the appropriate sample frames from which the sample is drawn, validating the sample for compliance with the selection criteria, and assigning the cases to the tripartite quality review team.

SAMPLING METHODOLOGY

The sample frame, sample size, and sampling frequency for conducting nonmonetary determination quality reviews are summarized in this chapter. Appendix A provides detailed procedures for selecting nonmonetary determination samples.

A. Sampling Frequency.

The nonmonetary determination quality samples are drawn quarterly, as soon as possible after the close of the quarter to be reviewed. To assure timely completion of quality reviews, SWAs are encouraged to draw their samples on the first business day of the first month following the end of the review quarter. All reviews are to be completed and the results entered into the UIR database by the 20th day of the second month following the review quarter.

B. Sample Frames.

Two populations of nonmonetary determinations comprise the respective sample frames from which nonmonetary determination samples are drawn. The first sample frame consists of all Intrastate and Interstate separation determinations reported for time lapse for the quarter. The second sample frame consists of all Intrastate and Interstate nonseparation determinations reported for time lapse for the same quarter.

C. Sample Sizes.

Sample sizes are set annually and depend on the volume of nonmonetary determinations reported to the Department on the ETA 9052 reports for the prior calendar year. States are classified as large or small based on this caseload. Large states are those that issued 100,000 or more nonmonetary determinations in the prior calendar year. Small states are those that issued fewer than 100,000 nonmonetary determinations in the prior calendar year.

Large states will draw a minimum sample of 100 determinations (50 separation issues and 50 nonseparation issues) per quarter for review. Small states will

draw a minimum sample of 60 determinations (30 separation issues and 30 nonseparation issues) per quarter for review. States must select additional sample cases in the subsequent quarter to make up for the cases that could not be scored because the case materials could not be found. For example, if during the review of a state's 50 separation cases, 3 were identified as "case material not found" and therefore could not be evaluated for quality, the separation sample selected for the following quarter would be 53 cases. If 2 of the 50 nonseparation cases were identified as "case material not found" and not be evaluated for quality, the nonseparation sample selected for the following quarter would be 52 cases.

States are not required to select additional samples cases in the subsequent quarter to make up for cases that were not included in the calculation of the nonmonetary determination quality score after being identified as "no issue" or "outside the scope of the review". States must review all cases selected for their quarterly samples and 1) score them, 2) determine that they cannot be scored because case materials cannot be found, or 3) determine that they are "no issue" or "outside the scope of the review" cases, which are not scored.

The nonmonetary codes used by the SWA may not match the codes required for the sample selection; however the state selection routine is programmed to roll all state specific codes into the appropriate codes required by the review.

D. Sample Size Flexibility.

States must select and review their respective minimum sample size. However, to provide a higher degree of confidence in the results, states may, at their own discretion, increase the sample size above the minimum required. If the sample size is increased, reviews of **all determinations** selected must be completed and entered into the UIR database. Another option is to pull and review a totally separate sample for state use.

E. Selecting and Identifying the Sampled Determinations.

Basic information or "skeleton" data that uniquely identifies each determination selected must be entered via the SWA's SUN system into the UIR database by the 15th of the first month following the end of the review quarter. Skeleton data will either be automatically loaded into the database as part of the SWA's sample selection program or will be manually entered by a data entry operator. Once all the skeleton information is entered for all determinations in the sample, the SWA will invoke a sample validation computer program, as described below, to verify that the determinations selected meet the parameters of a valid sample.

F. Validating the Sample.

Once the state draws its sample, **all required skeleton fields must be filled in order to complete the validation process prior to the quality review of the**

determinations. The validation program compares the SWA's sample size against the caseload the SWA reported based on the prior calendar year's ETA 9052 reports. The program also determines if the sample selected is based on nonmonetary determinations made during the review quarter.

For a sample to be valid, it must meet the following criteria:

1. Nonmonetary determination dates must fall within the quarter sampled;
2. Sample sizes must not fall below the minimum number prescribed depending on state nonmonetary determination workload size; and
3. Identification numbers for the sample determinations in the same quarter cannot be duplicates.

If the minimum sample size does not correspond to the reported annual caseload or if the determinations selected are not from the review quarter, the sample fails validation and an error report is generated. The SWA must correct the sampling program errors and rerun or reenter the corrected sample until it passes validation.

Once the skeleton data passes sample validation, the SWA will invoke a program to freeze or "lock" the data. After this process is complete, case results can be entered as soon as the review is completed and the official outcome is established.

G. Assembling the Case Review File

DO NOT BEGIN ASSEMBLING CASE REVIEW FILES UNTIL THE SAMPLE HAS BEEN VALIDATED AND THE SKELETON DATA ARE "LOCKED."

A case review file must be assembled for each determination selected for review in the sample. The case file, depending on the issue adjudicated, should contain a copy of the:

1. initial/additional claim, if applicable;
2. separation notice, if applicable;
3. formal written determination or a computer generated copy, when required;
4. factfinding documentation, and other relevant documentation such as doctor's certificate, notice of refusal of suitable work or referral to work from either the Employment Service (ES), One Stop Career

Centers or an employer, pension information, alien verification documentation from INS, etc.;

5. claim history record (all pertinent screens containing any documentation needed for review) including but not limited to the:
 - claimant's nonmonetary determination history
 - payment history showing all claimed weeks
 - comment screens, if any, showing electronic notes
 - screens showing claim type, date filed, work registration, etc.;
6. Data Collection Instrument (DCI) on which the data will be recorded.



SWAs may wish to request ADP units to automatically generate copies of all relevant screens as a time saving measure. Paper files are only necessary when participating in a review with other states. Documents used to determine eligibility, e.g., a doctor's statement used as documentation must be included in the paper file or the information would have to be scored as Inadequate.